



MEDICARE DRUG & HEALTH PLAN CONTRACT ADMINISTRATION GROUP

DATE: July 30, 2014

TO: All Medicare Advantage Organizations, including Special Needs Plans, Prescription Drug Plan Sponsors, and Section 1876 Cost Contractors

FROM: Kathryn A. Coleman, Acting Director

SUBJECT: Contract Year 2015 Annual Notice of Change/Evidence of Coverage Submission Requirements and Yearly Assessment

The Centers for Medicare & Medicaid Services (CMS) conducts an annual analysis of the timeliness and accuracy of the Annual Notice of Change/Evidence of Coverage (ANOC/EOC) documents. CMS considers the ANOC/EOC an important document as it provides vital information to beneficiaries regarding benefits and cost-sharing. CMS expects Plans/Part D Sponsors to send correct ANOC/EOCs to its members per the required timeframe. (42 C.F.R. §422.111(a), 422.111(d)(2), 42 C.F.R. §423.128(a), Medicare Marketing Guidelines Section 60.7)

Based on our analyses in recent years, CMS is reminding Plans/Part D Sponsors of the following:

Material Type/Code*

When submitting the ANOC/EOC in the Health Plan Management System (HPMS), Plans/Part D Sponsors must carefully select the appropriate material type/code within the ANOC/EOC/LIS Rider (1100) category:

<u>Organization/Plan Type</u>	<u>Material Type/Code</u>
All MAOs, PDPs, and Cost Plans operating in contract years 2014 and 2015	Combined ANOC/EOC Document (1127)**
D-SNPs that choose to send the ANOC (with the Summary of Benefits (SB)) for member receipt by September 30	D-SNP ANOC (ML) (1101)
D-SNPs that mailed the ANOC with the SB (above) and choose to send the EOC for member receipt by December 31; all new PBPs	Evidence of Coverage - D-SNPs and New PBPs Only (ML) (1110)

*Clarification and correction to 2015 ANOC/EOC Instructions

**Plans/Part D Sponsors sending stand-alone EOCs to new enrollees with effective dates of January 1 and later may edit the document to remove all references to the ANOC (even if not bracketed), and send the EOC portion only. Those doing so do not need to resubmit the stand-alone EOC in HPMS.

Actual Mail Date

To account for timeliness of mailing, Plans/Part D Sponsors must input the actual mail date (AMD) in HPMS within 15 days of mailing. For instructions on technical aspects of submitting, refer to the Update Material Link/Function section of the Marketing Review Users Guide in HPMS. When inputting the AMDs, please note the following:

- Enter the AMD for ANOC/EOC mailings to existing members. (Do not enter AMDs for October 1, November 1, or December 1 effective enrollment dates.)
- If another version, (e.g., non-English), was submitted as an Alternate Format for the purpose of making it available upon the member's request, input the submission date as the AMD and enter "1" for number of beneficiaries.
- If both the original (English) and alternate versions are mailed, enter the AMD and number of beneficiaries in the corresponding material submission. This would be applicable to Plans/Part D Sponsors that maintain a list of members who have requested to receive an alternate version instead of the English version.
- If all mailed documents are in the alternate format, Plans/Part D Sponsors should input the submission date as the AMD for the English version and enter "1" for number of beneficiaries.

Additional SA/LIS Submission

As stated in the Users Guide, HPMS restricts submissions of materials that have a "Y" in the plan designation column in the Marketing Code Lookup to one document per PBP. After the initial submission, the plan should use the SA/LIS functionality to upload additional version(s) of the material for other PBPs; this functionality should not be used for any other purpose.

Errata Sheets

To identify and notify beneficiaries of inaccuracies, Plans/Part D Sponsors must use the standardized ANOC/EOC errata model and submit it (under Errata Model - ANOC/EOC (1125)) for review via the New Errata Material Link/Screen in HPMS by **October 31, 2014** for Plans/Part D Sponsors that are required to send the ANOC/EOCs for member receipt by September 30 or **January 15, 2015** for Plans/Part D Sponsors required to send the documents for member receipt by December 1 or December 31.

When submitting the errata, Plans/Part D Sponsors should upload a zipped file that includes the errata material and the corrected version of the original document. For example, an organization that finds an error in the EOC should submit the errata and corrected EOC document in one zip file. Do not submit a revised ANOC/EOC as a new material.

Compliance

CMS will be assessing the timeliness of mailings and reviewing the errors in the ANOC/EOCs. CMS may take compliance actions for late mailings and/or inaccurate documents. CMS will also be conducting a retrospective review of ANOC/EOCs. CMS may issue separate compliance actions for inaccuracies identified in that review of ANOC/EOC materials (not previously identified by the organization via an errata sheet).

If you have any questions, please email Marie Gutierrez at: marie.gutierrez1@cms.hhs.gov and copy your Account Manager.