DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
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Office of Information Services

DATE: April 7, 2006

TO: All Medicare Advantage, Prescription Drug Plan, Cost, PACE, and
                  Demonstration Organizations

FROM: Julie Boughn, Director /s/
                  Information Systems Modernization Group

SUBJECT: **Important Enrollment System Updates**

The following change to the Monthly Membership Detail has been implemented:
Please be aware that a change was made to the Monthly Membership Detail Data file to provide more comprehensive information on the reason for entitlement:

Field #43, Position 192-192, is defined as 'Previously Disabled' and prior to the April MMR contained a value of Y or blank. As of the April Payment Month MMR, the field contains the following values:
        0 = person entitled based on age
        1 = person entitled based on disability
        2 = person entitled based on ESRD
        3 = person entitled based on disability and ESRD

The heading for this field on the MMR Report is currently "PRDIB", however this will be changed in an upcoming release to "OREC".

The following changes are planned for April 17, 2006 implementation: Plans will begin seeing the impacts of these changes with the processing of enrollments for the June payment.

    1. **Batch Completion Status Summary change**
    2. **New Enrollment Transmission Message File**
    3. **Failed File**
    4. **Monthly Membership Report and Detail**
    5. **Weekly TRR update**
    6. **Other updates**
    7. **Appendix - Layouts**

1. Changes in the Batch Completion Status Summary (BCSS)

The Batch Completion Status Summary will be generated for each file submitted to CMS rather than one BCSS per day per submitter. This file will not be generated when a bad header is found on the submission file. Naming conventions will change; Plans should be ready to accommodate this change. The 'hour' and 'minute' components are replaced by the input transaction data file's unique batch ID number (as assigned by the enrollment system). The batch ID number is split into two halves and is represented by the "Annnnn" and "Bnnnnn" nodes. The report mnemonic name remains unchanged.

The Batch Completion Status Summary header record will also be changed. Positions 75 – 116 that were previously FILLER will now contain data. Please see the Appendix for a detail description of this format change to the Summary header.

GENTRAN
Original Filename: uuuu.@BGD5050.YMyyyymm.Ddd.HMhhmm.BATCHSTD.xx
New Filename: **uuuu.@BGD5050.Dyymmdd.Annnnn.Bnnnnn.BATCHSTD.xx**

CONNECT:DIRECT (MAINFRAME)
Original Filename: zzzzzzzz.uuuu.YMyyyymm.Ddd.HMhhmm.BATCHSTD
New Filename: **zzzzzzzz.uuuu.Dyymmdd.Annnnn.Bnnnnn.BATCHSTD**

CONNECT:DIRECT (SERVER)
Original Filename: \directory\uuuu.YMyyyymm.Ddd.HMhhmm.BATCHSTD
New Filename:
\directory\uuuu.@BGD5050.Dyymmdd.Annnnn.Bnnnnn.BATCHSTD

Where:
uuuu = four character RACF ID of transmitting user
yymmdd = two-digit calendar year followed by month and day
nnnnn = MARx batch transaction ID, nnnnnnnnnn split into two nodes A…and B…with leading zeroes as necessary to complete ten character batch ID
BATCHSTD = original report mnemonic name
xx = processing number of varying length assigned by Gentran and not relevant for Connect:Direct users
zzzzzzzz = Plan provided high-level qualified
\directory = optional directory specification from non-mainframe Connect:Direct Clients

2. Enrollment Transmission Message File ***New 80 byte File – see Appendix ***

CMS will begin notifying submitters when CMS has received their batch enrollment transaction file. This notification will be via a transmission status message file that CMS will generate as soon as a file has been received on the CMS mainframe. It will summarize the contents of the batch file by providing counts of transactions by type. It will contain a unique Batch ID that can be used to associate submissions to the Batch

Completion Status Summary. Plans should use this file to monitor the receipt and the successful (or unsuccessful) processing of their batch transaction files.

Files that CMS cannot process due to errors will receive this file with a specific message. Types of file errors include: Failed File (failed file will still be generated), Invalid User ID, Invalid Header Date, Missing Header Record, Future Header Date, and Header Date Earlier than current processing month (CPM). CMS will also use this file to notify plans when an enrollment file will be held temporarily due to system activities such as monthly processing or special clean up (referred to as 'Capture Mode'). When in Capture Mode, plans will not receive bad header notifications until the file is actually processed. Capture Mode does not apply to retro files that have a natural delay while approval is confirmed.

GENTRAN
File Name: uuuu.@BGD5050.YMyyyymm.Ddd.HMhhmm.STATUS.xx

CONNECT:DIRECT (MAINFRAME)
File Name: zzzzzzzz.uuuu.YMyyyymm.Ddd.HMhhmm.STATUS

CONNECT:DIRECT (SERVER)
File Name: \directory\uuuu.@BGD5050.YMyyyymm.Ddd.HMhhmm.STATUS

Where:
uuuu = four character RACF ID of transmitting user
yyyymm = four-digit calendar year followed by month
dd = day of month
hhmm = hour and minute of file creation
xx = processing number of varying length assigned by Gentran and not relevant for Connect:Direct users
zzzzzzzz = Plan provided high-level qualified
\directory = optional directory specification from non-mainframe Connect:Direct Clients

3. Failed File
The Transmission Failed file will now include a Header (See the Appendix). Note that the Failed file is not generated when a bad header is found on the submission file.

4. Monthly Membership Report and Detail
The Monthly Membership Report and Detail Data file will reflect the following changes:
- The MMR will display the correct values in the 'Age Category' field.
- The MMR will reflect the new Working Aged/Medicare as Secondary Payer (WA/MSP) flag that comes from the annual WA/MSP survey completed by the plans. This is field 16 of the MMR and is "Y" for members that were included in the computation of your contract-level factors. The factors and the associated WA/MSP reduction amounts are shown on your plan payment report.

5. Weekly Transaction Reply Report and Data File
Changes have been made to ensure that the State/County Codes reported on the TRR are correct and are consistent between the TRR and MMR

6. Other Changes
- BIPA606 - Report Plan name and segment where previously blank and will now reflect the correct values.
- Modifications were made to the Beneficiary Snapshot screen (M203) so that:
    - Low income status data are provided for the bene (subsidy start/end dates; LI premium subsidy level; co-payment level).
    - Previously displayed elements that are not used in the computation of the bene's Total Part D Premium are deleted from the display to eliminate confusion (Part D Basic Premium, Rebate for Part D Premium, Reduction, Part D Basic Premium Total).
- Processing of PBP change transactions (type 72) received TRC 165 – System Error, when the error should have been TRC107 - Rejected; Missing or Invalid PBP Number. A software change has been implemented to correct this. Plans should review their 72 transaction responses that received TRC165, address the invalid PBP issue and resubmit.
- Processing for disenrollments has been revised to prevent some TRC009 No Match rejections caused by the software incorrectly formatting the beneficiary date of birth for beneficiary match logic. Plans should review their 51 transactions with TRC009 rejects, verify the beneficiary information, (First Name, Last Name, Gender and DOB), and resubmit these transactions.

Questions regarding these changes should be directed to the MMA Help Desk on (800) 927-8069 or e-mail MMAHelp@cms.hhs.gov.

7. Appendix - Layouts

Transmission Status Message File: This is a new file and will contain the following elements for each received transaction file:

- Explanatory text message summarizing related error condition
- Submitter ID of the user who transmitted the file
- Batch ID assigned by the MARx System
- Date Stamp of transaction file received by MARx
- Time Stamp of transaction file received by MARx
- Number of received records in the transaction file
- Count of the number of transactions of type 01
- Count of the number of transactions of type 51
- Count of the number of transactions of type 61
- Count of the number of transactions of type 71
- Count of the number of transactions of type 72
- Count of the number of transactions of type unknown (sum count of all other transaction codes)

The status message will always include the unique batch ID except when the transaction file does not contain a header record. In this case, the status message file will not contain the batch ID or the transaction counts since there is not a place to store these data. The formats of the Transmission Status Messages are described below for the cases where the transaction file processes normally, an error condition prevents processing, the transaction file is a RETRO file, and when CAPTURE mode is in effect.

A. File Processes Normally

(The FAIL message occurs only if transactions failed.)

```
******************************* Top of Data ***************************
TRANSACTIONS RECEIVED ON 2006-01-30 AT 17.04.11

TRANSACTIONS PROCESSED ON 2006-01-30 AT 17.04.27

HEADER CODE= AAAAAAHEADER
HEADER DATE= 032006
BATCH ID   = 015953955
USER ID    = P218
TRAN CNTS1 = 00000043 T01 00000013 T51 00000001 T60 00000004 T61 00000008
TRAN CNTS2 =          T71 00000006 T72 00000007 TXX 00000004

TOTAL TRANSACTIONS PROCESSED=          43
TOTAL REJECTED TRANSACTIONS =           5
TOTAL FAILED TRANSACTIONS   =          17

DATA FAILED
CHECK FAIL FILE FOR FAILED TRANSACTIONS
CORRECT FAILED RECORDS AND RESUBMIT
```

```
******************************* Bottom of Data *************************
```

B. Invalid User Id
```
******************************* Top of Data ***************************
TRANSACTIONS RECEIVED ON 2006-01-27 AT 16.59.49

PROCESSING STOPPED    ON 2006-01-27 AT 17.00.39
USER ID (OB13    ) NOT AUTHENTICATED: 2-USER ID NOT FOUND
HEADER CODE= AAAAAAHEADER
HEADER DATE= 012006
BATCH ID   = 015953937
USER ID    = OB13
TRAN CNTS1 = 00000043 T01 00000013 T51 00000003 T60 00000004 T61 00000009
TRAN CNTS2 =          T71 00000006 T72 00000007 TXX 00000001
******************************* Bottom of Data ************************
```

C. Invalid header date
```
******************************* Top of Data ***************************
TRANSACTIONS RECEIVED ON 2006-01-27 AT 16.23.22

PROCESSING STOPPED    ON 2006-01-27 AT 16.23.42
HEADER RECORD IS MISSING OR INVALID
HEADER CODE= AAAAAAHEADER
HEADER DATE= XX2006
BATCH ID   = 015953933
USER ID    = P218
TRAN CNTS1 = 00000068 T01 00000000 T51 00000017 T60 00000000 T61 00000019
TRAN CNTS2 =          T71 00000017 T72 00000015 TXX 00000000
******************************* Bottom of Data ************************
```

D. Missing Header record
```
******************************* Top of Data ***************************
TRANSACTIONS RECEIVED ON            AT

PROCESSING STOPPED    ON 2006-01-25 AT 18.11.38
HEADER RECORD IS MISSING OR INVALID
HEADER CODE= XXXHEADERZZZ
HEADER DATE= 112005
BATCH ID   =
USER ID    =
TRAN CNTS1 =
TRAN CNTS2 =
******************************* Bottom of Data ************************
```

E. Future Header Date
```
******************************* Top of Data ***************************
TRANSACTIONS RECEIVED ON 2006-01-30 AT 16.48.37

PROCESSING STOPPED    ON 2006-01-30 AT 16.48.55
HEADER RECORD DATE IS A FUTURE PROCESSING MONTH
RESUBMIT DURING THE CORRECT PROCESSING MONTH
PROCESSING MONTH=032006
HEADER CODE= AAAAAAHEADER
HEADER DATE= 032007
BATCH ID   = 015953953
USER ID    = P218
TRAN CNTS1 = 00000043 T01 00000013 T51 00000001 T60 00000004 T61 00000008
```

```
TRAN CNTS2 =          T71 00000006 T72 00000007 TXX 00000004
****************************** Bottom of Data ************************
```

F. Header Date earlier than CPM
```
****************************** Top of Data **************************
TRANSACTIONS RECEIVED ON 2006-01-30 AT 16.54.05

PROCESSING STOPPED    ON 2006-01-30 AT 16.54.13
```
<mark>HEADER RECORD DATE IS NOT EQUAL TO THE CURRENT PAYMENT MONTH</mark>
```
PROCESSING MONTH=032006
HEADER CODE= AAAAAAHEADER
HEADER DATE= 092005
BATCH ID   = 015953954
USER ID    = P218
TRAN CNTS1 = 00000043 T01 00000013 T51 00000001 T60 00000004 T61 00000008
TRAN CNTS2 =          T71 00000006 T72 00000007 TXX 00000004
****************************** Bottom of Data ************************
```

G. Retro File
```
****************************** Top of Data **************************
TRANSACTIONS RECEIVED ON 2006-01-27 AT 14.23.05

HEADER CODE= AAAAAAHEADER RETRO
HEADER DATE= 012006
BATCH ID   = 015953928
USER ID    = P218
TRAN CNTS1 = 00000068 T01 00000000 T51 00000017 T60 00000000 T61 00000019
TRAN CNTS2 =          T71 00000017 T72 00000015 TXX 00000000

PROCESSING STOPPED ON 2006-01-27 AT 14:23:39
```
<mark>RETRO FILE DETECTED FOR USERID P218</mark>
```
HEADER CODE= AAAAAAHEADER RETRO
HEADER DATE= 012006
****************************** Bottom of Data ************************
```

H. CAPTURE Mode – Capture mode is defined as a temporary period of time
when CMS is holding processing a file due to system circumstances such as
payment processing or clean-up activities.
```
****************************** Top of Data **************************
TRANSACTIONS RECEIVED ON 2006-01-27 AT 16.11.03

HEADER CODE= AAAAAAHEADER
HEADER DATE= 012006
BATCH ID   = 015953932
USER ID    = P218
TRAN CNTS1 = 00000068 T01 00000000 T51 00000017 T60 00000000 T61 00000019
TRAN CNTS2 =          T71 00000017 T72 00000015 TXX 00000000

PROCESSING STOPPED ON 2006-01-27 AT 16:11:44
MARX MONTH END CAPTURE MODE IS IN EFFECT
****************************** Bottom of Data ************************
```

Batch Completion Status Summary header record. The Summary header record will include the submitter ID of the user who transmitted the file, date/time stamp of transaction file received by MARx, and the number of records received in the transaction file.

Summary Record:

#	Field Name	Len	Pos	Description
1	Batch Completion Status Summary Record	12	1-12	Content: "#BATCHDSPSTN"
2	Batch ID	12	13-24	MARx System Assigned
3	Batch Run Start Date	10	25-34	Format: YYYY-MM-DD
4	Batch Run Start Time	8	35-42	Format: HH-MM-SS
5	Total Transactions in Batch	8	43-50	Counts, ZZZZZZZ9
6	Transaction Status Accepted	8	51-58	Counts, ZZZZZZZ9
7	Transaction Status Rejected	8	59-66	Counts, ZZZZZZZ9, of rejected transaction records attached
8	Transaction Status Failed	8	67-74	Counts, ZZZZZZZ9
9	Transaction Status Pending	8	75-82	Counts, ZZZZZZZ9
10	Transactions Received	8	83-90	Count, 99999999,of the total number received transaction records in batch
11	Submitter ID	8	91-98	Submitter ID
12	Date Stamp of transaction file	10	99-108	Format: YYYY-MM-DD
13	Time Stamp of transaction file	8	109-116	Format: HH.MM.SS
14	FILLER	145	117-261	Release 2.0 Use
15	End of Status Summary Record	1	262	Content: ";"

Failed Transaction Data file header record: This new header record will include the submitter ID of the user who transmitted the file, the time stamp when the header record was created, the MARx System assigned batch ID, the header identifier, and the transaction file receipt date/time stamp.

Header Record:

#	Field Name	Len	Pos	Description
1	User ID	8	1-8	Submitter identification, left justified, tailing blanks
2	Timestamp	26	9-34	Year, month, day, hours, minutes, seconds, and fraction of second YYYY-MM-DD-HH-MM-SS.ssssss
3	Spaces	3	35-37	Spaces
4	Transaction Batch Number	9	38-46	MARx batch ID, right justified, leading zeroes
5	Header Message	12	47-58	'AAAAAAHEADER'
6	Spaces	2	59- 60	Spaces
7	Date Stamp of Receipt of Transaction File by MARx	10	61-70	Format: YYYY-MM-DD
8	Space	1	71	Space
9	Time Stamp of Receipt of Transaction File by MARx	8	72-79	Format: HH.MM.SS
10	Spaces	145	80-224	Spaces