



CENTER FOR MEDICARE

TO: All Part D Sponsors

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SUBJECT: Summer Update Window for CY 2020 Formularies

DATE: July 23, 2019

CY 2020 Formulary Timelines and Processes

CMS is currently granting conditional approvals for CY 2020 formularies and is in the process of contacting those organizations that still have outstanding formulary issues. CMS reminds all plans of the importance of resolving any outstanding formulary concerns in an expeditious manner.

Summer Update Window for CY 2020 Formulary Submissions

Only formularies that are in an approved status within the Health Plan Management System (HPMS) are eligible to be updated during the summer update window. Part D sponsors will have the opportunity to make limited updates, as outlined below, to their conditionally approved CY 2020 formulary submissions from **12:00 a.m. EDT August 6, 2019 through 5:00 p.m. EDT August 8, 2019**. An updated CY 2020 Formulary Reference File (FRF) will be available within the CY 2020 HPMS Formulary Submission Module on or around July 30, 2019.

As described in the CY 2020 Call Letter, during the summer update window, Part D sponsors will be able to add new FRF drugs to their approved formularies. Part D sponsors may also submit negative changes to existing formulary drugs, if an equivalent generic or therapeutically similar drug is available on the FRF and is submitted on the corresponding formulary file within the same category and class, at the same tier or lower, and with no more restrictive utilization management (UM) than what was applied to the existing formulary drug. We do not expect sponsors to make significant enhancements or significant negative changes to existing formulary drugs during this window, since the formulary version that was initially submitted to CMS for review was considered in the bid and Part D benefits review. Plan sponsors will also be able to update step therapy (ST) criteria files if other formulary updates necessitate a change (e.g., adding a new generic to an existing ST group).

Step Therapy (ST) File Updates

If there are existing ST group descriptions that need to be revised, sponsors should submit the UM Criteria Change Request template (attached) prior to the summer update window. The group descriptions included on the template **must exactly match** the group descriptions from the formulary file, including spacing, commas, hyphen, and other characters. If the group description

does not exactly match, the HPMS ST gates will not open.

The template must be completed as follows:

- a) **FID:** Enter only one valid 5-digit CY 2020 formulary ID per line item. However, you may enter more than one FID per template.
- b) **UM Type:** Select ST type from drop-down menu.
- c) **Step Group Description:** Enter the step group description that was submitted with the formulary submission for CY 2020.

Submit the completed template to the CMS UM Criteria Requests mailbox:

umcriteriarequests@cms.hhs.gov by 5:00 p.m. EDT on August 2, 2019. During the summer update window you should submit a partial ST file containing an “UPD” record for revising existing ST group description(s). Any PA and ST group descriptions that are being added to the partial PA or ST file, need to contain an “ADD” record for new UM group description(s). PA and ST group descriptions that are being deleted based on your formulary file submission will automatically be deleted from the PA/ST files if they are deleted from the formulary (i.e., a deletion record, “DEL”, should not be uploaded on the partial PA or ST files). You will receive a confirmation of these deletions in the “Formulary Processing Results” email.

During the update window, Part D sponsors will select the “Revise Formulary” option in HPMS to submit their partial formulary files. Following the update window, Part D sponsors must check the status of formulary approvals in HPMS. Formulary approvals will be entered into HPMS by August 27, 2019.

If you have any questions regarding this summer update window, please email PartDFormularies@cms.hhs.gov.