

# Technical Notes on a Microsoft Access Tool for Prioritizing the Daily Transaction Record Report

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**IN BRIEF:** States participating in the capitated model Medicare-Medicaid Financial Alignment Initiative demonstrations submit information on potential enrollees to the Centers for Medicare & Medicaid Services' (CMS) Medicare Advantage and Prescription Drug (MARx) system. The MARx system returns a Daily Transaction Reply Report (DTRR) that includes requests to reconcile beneficiary information that does not match existing CMS records. The volume of information in the DTRR sometimes makes it difficult for a state staff to identify and prioritize the records that need to be reconciled. To assist in this process, staff from Virginia's Medicaid agency created a tool using Microsoft Access that prioritizes the information in the DTRR. This technical assistance tool describes the Microsoft Access tool and explains how other states can use it to improve the timeliness and efficiency of their demonstration enrollment processes.

This document describes a tool developed in Microsoft Access that states can use to help reconcile enrollment in the Medicare Advantage and Prescription Drug (MARx) system with comparable information found in their own systems.<sup>1</sup> It is intended to simplify an administrative process that is often cumbersome and confusing for states. The tool lets users locate and identify records from the Daily Transaction Reply Report (DTRR) that require immediate action. It includes two simple queries, which return only those records from the DTRR that a state considers essential for daily operations. Users familiar with Microsoft Access can modify the queries to meet their individual needs. Use of the tool requires some familiarity with Microsoft Access, but it is designed to work with little or no customization.

## Introduction

When a state submits an enrollment file to the MARx system, MARx reviews each transaction, processes it, and sends the state a reply record. The DTRR includes replies to all of the records processed each day. It includes Transaction Codes (TCs) and Transaction Reply Codes (TRCs) that confirm each beneficiary's enrollment status. In addition to confirming an acceptance or rejection, MARx uses TRCs to communicate other information and updates about enrollees (e.g., loss of Medicare eligibility or a name change).

The appendices of the MARx system's Plan Communications User Guide (PCUG) contain a complete list of the 20 TCs and nearly 300 TRCs used to describe a beneficiary's current status. Some TRCs contain information that is not needed for daily enrollment processing. Others include data that directly affect a beneficiary's Medicare-Medicaid Plan (MMP) enrollment status, like death or loss of Medicare eligibility.

Many states find that working with TRCs is confusing and time-consuming. The Centers for Medicare & Medicaid Services (CMS) most often sends multiple records that communicate different information about a beneficiary. DTRRs may include data about enrollment transactions, as well as updates about low-income subsidies, copay amounts, etc.

States often find that working with DTRRs is especially difficult when they implement passive enrollment in large waves. They need to quickly identify enrollment related records to confirm that they were processed successfully. Also, records that MARx rejects may require additional review, correction or resubmission.

The Microsoft Access tool includes two simple queries. One query returns records from the DTRR that a state has determined are essential to daily operations (for example, TC '51' – Disenrollment). The second lets the state select

all transaction records in the DTRR for a single beneficiary. Users familiar with Access can modify these queries or add others to meet specific needs.

## Process Overview

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Users of the Microsoft Access tool most likely will be familiar with the process of enrollment reconciliation. However, for states just starting out and new staff, a summary of the process follows.

1. The state submits an enrollment file to Infocrossing (IFOX) using one of the following methods:
  - Manual upload of a batch file via the IFOX secure website; or
  - Automated file transfer of an encrypted input file.
2. IFOX validates the file, converts it into a MARx Batch Input Transaction Data File, and transmits it to CMS via a direct T1 line.
3. CMS processes the enrollment file and transmits a DTRR to:
  - IFOX and the beneficiary's MMP simultaneously. This is called "Dual Routing"; or
  - For MMPs using Infocrossing as a third-party administrator, CMS transmits the DTRR to IFOX only. IFOX then pushes it out to the state and the appropriate MMP.
  - All historical DTRRs are housed and available for download for users who have access to Infocrossing's Web Portal.
4. Each record in the DTRR includes a TC and TRC indicating that an enrollment was processed successfully or rejected. A DTRR may also include records with other information about a beneficiary (e.g., a DOB correction).
5. From all of the DTRR records, the state must determine: (a) which of them affect a beneficiary's MMP enrollment status; and (b) which require the state's immediate attention for reconciliation purposes.
6. The state reconciles information in the DTRR against information in its eligibility or other systems.
7. The state and the MMP send out appropriate notices and materials to each beneficiary.

## The Input File: MCO002

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The DTRR includes the details of most transactions related to a beneficiary's status, enrollment or otherwise. The reconciliation tool accepts input from the DTRR, queries it, and returns a table of selected records. Although the tool already includes a query, users can change it to select specific records as needed.

The reconciliation tool accepts a modified version of the original DTRR, called MCO002. MCO002 includes the first 73 fields from the DTRR. Users can find the specification of MCO002 in the Appendix tab labeled Table MCO002 of the Microsoft Excel file that accompanies the Access file.<sup>2</sup> Column A of the layout (labeled VA Field) lists the fields as they appear in the query. Column C (labeled DTRR Field) lists them as they appear in the original DTRR.

Most users will find it easy to navigate around this tool. However, we have included screen shots of the MCO002 table and both queries for clarity.

Users can import MCO002 into the tool in text, Excel or Access format by selecting the appropriate function on the Access tab labeled EXTERNAL DATA. In general, however, the DTRR is normally downloaded in .txt format. Exhibits 1 and 2 are screenshots of MCO002's format and as it appears after importing it.

## Exhibit 1: The MCO002 File Format

The screenshot shows the Microsoft Access interface in Design view for the MCO002 table. The table structure is as follows:

Field Name	Data Type	Description (Optional)
HICN	Short Text	
Surname	Short Text	
Firstname	Short Text	
Middlename	Short Text	
Gender	Number	
DoB	Number	
Recordtype	Short Text	
PlanID	Short Text	
Field9	Long Text	
Field10	Short Text	

The Field Properties window for Field9 shows the following settings:

Property	Value
Field Size	Long Integer
Format	
Decimal Places	Auto
Input Mask	
Caption	
Default Value	
Validation Rule	
Validation Text	
Required	No
Indexed	No
Text Align	General

A note on the right side of the screen states: "The field description is optional. It helps you describe the field and is also displayed in the status bar when you select this field on a form. Press F1 for help on descriptions."

## Exhibit 2: The MCO002 File Imported

The screenshot shows the Microsoft Access interface in Datasheet view for the MCO002 table. The data is as follows:

ID	HICN	Surname	Firstname	Middlename	Gender	DoB	RecordType	PlanID
1	Z999000170	FELINE	RAY	L	1	19210830	T	
2	Z999000170	FELINE	RAY	L	1	19210830	T	
3	999900990A	JERSEY	MARK		1	19550611	T	
4	999900990A	JERSEY	MARK		1	19550611	T	
5	999900990A	JERSEY	MARK		1	19550611	T	
6	999900850A	VEEVEE	MAXIMO	A	1	19411114	T	
7	999900166A	FELINE	DARLENE	I	2	19481226	T	
8	999900166A	FELINE	DARLENE	I	2	19481226	T	
9	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
10	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
11	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
12	999900060C1	CATS	PINKY	K	2	19790702	T	
13	999900190A	RANGES	WAYNE	R	1	19751027	T	
14	999900460A	EXTINCT	JAMES	A	1	19611219	T	
15	999900196A	PUMA	POLLY	A	2	19730901	T	
16	999900196A	PUMA	POLLY	A	2	19730901	T	
17	999900680A	FORREST	ELISA	M	2	19770327	T	
18	999900184A	BYE	KENNETH	C	1	19380921	T	
19	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
20	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
21	Z999000190	HOUSECAT	WILLIAM	T	1	19410827	T	
22	999900920A	LILLY	COLLEEN	M	2	19680113	T	
23	Z999000140	ASSET	JOHN	F	1	19460404	T	

## Running the Revised Daily DTRR Review Query

The Revised Daily DTRR Review query in this Microsoft Access tool selects specified records from Table MCO002 for review. It uses a set of TCs and TRCs, defined below, as selection criteria. Exhibits 3 and 4 are screenshots of the DTRR Review Query and the results after running it.

1. The TC identifies the type of transaction that the record represents (e.g., ‘61’ is an Enrollment record; ‘51’ is a Disenrollment record).
2. The TRC explains the action taken by the system in response to new information from CMS systems or in response to input from MCOs, CMS, or other users (e.g., ‘019’ is Enrollment Rejected – No Part A and Part B Entitlement).

Users can view or modify the query by selecting the Revised Daily DTRR Review object in the Access Tool. Open the tool and choose the Revised Daily DTRR Query. Open it in Design View. Scroll right to Fields 15 and 16, which correspond to the TRC and TC in the DTRR (See the tab labeled Table MCO02 Layout in the Appendix of the accompanying Microsoft Excel file.)

The tab Daily DTRR Review Query in the Appendix lists all of the TC and TRC values used in the Access query. Continue scrolling right to Field 22, which corresponds to Transaction Date in the DTRR. It is an 8-character field in YYYYMMDD format. The query can be set to run for a specific transaction date by modifying this value.

Users can run the query by selecting the Run option located in the upper left of the tab FILE. Access will run the query and return only those records which meet the selection criteria defined in the query. Users can then export the result to Excel for follow up, using the export function found on the EXTERNAL DATA tab.

### Exhibit 3: Daily DTRR Query

Field	PlanID	Field16	Field15	Field68	Field18	Field22	Field43	Field24	Field37	Field
3	H9999	51	015		20131001	20131007	9.18.23.369779		B	
39	H9988	54	013		20131031	20131007	2.27.07.308540	20131031	B	
3	H9999	54	013		20131031	20131007	2.27.09.302608	20131031	B	
39	H9988	54	120		20130101	20131007	2.27.07.308540		B	
39	H9988	54	185		20130101	20131007	2.27.07.308540		B	
3	H9999	54	241		20131101	20131007	2.27.09.302608		B	
22	H9999	61	036		20131101	20131007	1.03.01.938265	20131101	J	

## Exhibit 4: Daily DTRR Query Results

The screenshot shows the Microsoft Access interface with the 'Revised Daily DTRR Review' query design grid. The grid is as follows:

Field:	PlanID	Field16	Field15	Field68	Field18
Table:	MCO002	MCO002	MCO002	MCO002	MCO002
Total:	Group By	Group By	Group By	Group By	Group By
Sort:		Ascending	Ascending		
Show:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Criteria:					
or:	'61'		'009' Or '019' Or '032'		
	'51'		'292' Or '050' Or '018'		
	'81'		'289' Or '284'		
	'82'		'037' Or '060' Or '313'		
	'51'		'014' Or '14' Or '015' Or '287'		
	'42'		<>'309' And <>'311'		
	'54'		<>'050' And <>'104'		

## Using the DTRR Lookup Query

Users may need to review a history of enrollment transactions for a specified individual. The “DTRR Lookup” function lets users do this. Double click on the “DTRR Lookup” query which is highlighted in pink in Exhibit 5.

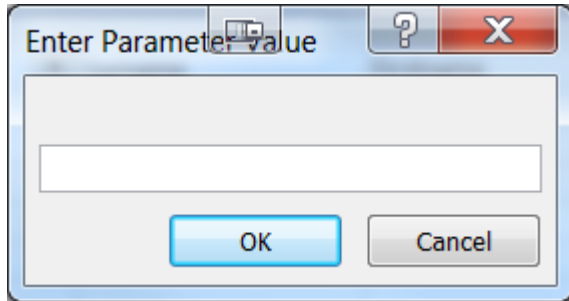
## Exhibit 5: DTRR Lookup Query

The screenshot shows the Microsoft Access interface with the 'DTRR Lookup' query design grid. The grid is as follows:

Field:	HICN	Surname	Firstname	Gender	DoB	Field9	PlanID
Table:	MCO002	MCO002	MCO002	MCO002	MCO002	MCO002	MCO002
Sort:							
Show:	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Criteria:							
or:							

The tool will prompt the user to enter a parameter value to look up. See Exhibit 6 for an example of a dialog box with the prompt. Enter the beneficiary's Health Insurance Claim Number (HICN). The query will return all of the records available for the specified individual. If the user keeps all DTRRs in the MCO002 file, the query will return every transaction recorded on file for the specified individual.

### Exhibit 6: Dialog Box Prompting for a Parameter Value



### Summary

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By using the Revised Daily DTRR and DTRR Lookup queries, users can easily locate and identify records from the MARx system's DTRR reports that require immediate action. This allows state Medicaid staff to more efficiently process the large volume of enrollment occurring during waves of passive enrollment in capitated model financial alignment demonstrations.

### ABOUT THE INTEGRATED CARE RESOURCE CENTER

The **Integrated Care Resource Center** is a national technical assistance initiative of the Centers for Medicare & Medicaid Services Medicare-Medicaid Coordination Office to help states improve the quality and cost-effectiveness of care for Medicare-Medicaid enrollees. The state technical assistance activities provided within the **Integrated Care Resource Center** are coordinated by Mathematica Policy Research and the Center for Health Care Strategies. For more information, visit [www.integratedcareresourcecenter.com](http://www.integratedcareresourcecenter.com).

### ACKNOWLEDGEMENTS

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### Endnotes

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<sup>1</sup> The Microsoft Access tool is available at:

[http://www.integratedcareresourcecenter.net/VA%20Access%20DBase%20Technical%20Note%20\(10Mar2016\).xlsx](http://www.integratedcareresourcecenter.net/VA%20Access%20DBase%20Technical%20Note%20(10Mar2016).xlsx)

<sup>2</sup> The Microsoft Excel file containing the MCO002 Input File is available at:

<http://www.integratedcareresourcecenter.net/Virginia%20NO%20PHI%20DTRR%20Review%20Empty%20dbase.accdb>