Integrated Care Resource Center

Retroactive Enrollment Processing/eRPT for Capitated Model Financial Alignment Demonstrations

October 19, 2017

1:30-2:30 pm ET

The Integrated Care Resource Center, an initiative of the Centers for Medicare & Medicaid Services Medicare-Medicaid Coordination Office, provides technical assistance for states coordinated by Mathematica Policy Research and the Center for Health Care Strategies.

Agenda

- Welcome, Introductions, and Roll Call
- Summary of Current Reconciliation Challenges and Benefits of the Reconciliation Tool
- Retroactive Submission Process for States & Enrollment Brokers
- Questions and Answers
- Concluding Remarks

Integrated Care Resource Center

Participants

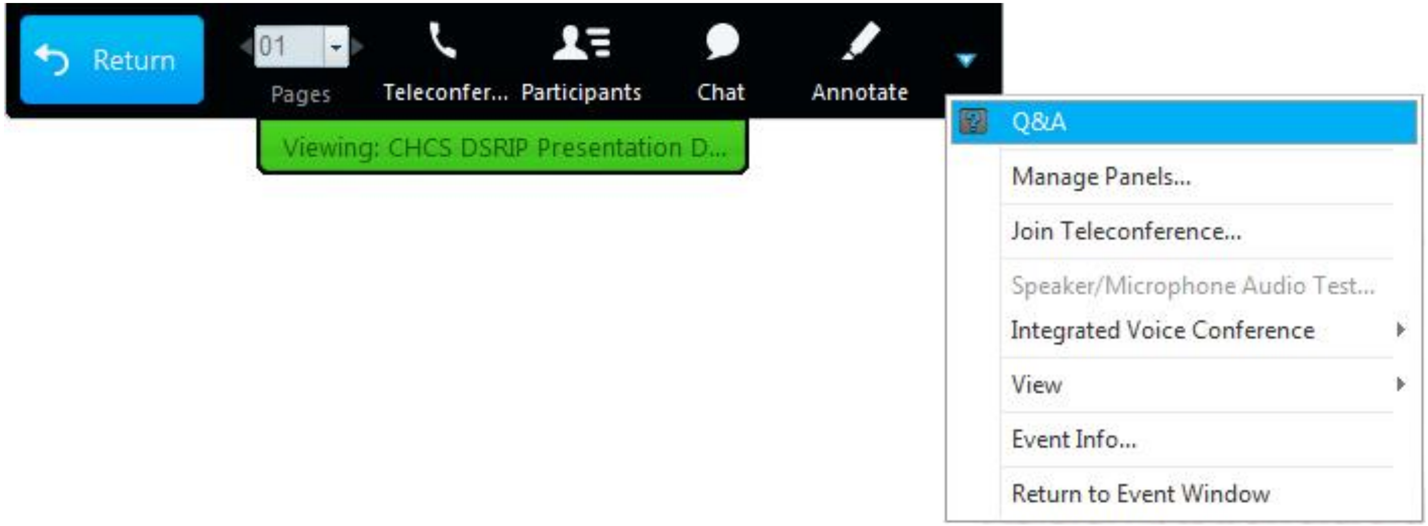
- Anne Gilbert, CMS Medicare-Medicaid Coordination Office
- Thomas Siedlik, Assistant Program Director, Reed & Associates, CPAs

ICRC Integrated Care Resource Center

Questions?

To submit a question please click the question mark icon located in the toolbar at the top of your screen.

Your questions will be viewable only to ICRC staff.



Integrated Care Resource Center

Retroactive Submission Process for States & Enrollment Brokers

History of Retroactive Processing

- In 2002, The Centers for Medicare & Medicaid Services (CMS) outsourced the "Medicare Managed Care Payment Validation" process.
- August 3, 2007, Reed & Associates, CPAs, Inc. was designated by CMS as the national contractor responsible for processing retroactive transactions for all Medicare Advantage Organizations, Part D Sponsors, Medicare-Medicaid Plans (MMPs), Cost-based Plans and PACE Organizations.

RPC Responsibility

- Process retroactive enrollment transactions submitted by Managed Care Organizations and States.
- Provide data and trend analysis reports to CMS (central offices and regional offices) for program oversight.

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Retroactive Services Supported by the RPC

Enrollment Adjustments	Special Status Category Changes	Other Services Performed by the RPC
➢ Retroactive Enrollments ➢ Plan Benefit Package (PBP) Changes ➢ Retroactive Disenrollments ▪ Including Enrollment Cancellations ➢ Reinstatements ➢ Segment Changes	➢ Medicaid Status Changes ➢ Low-Income Subsidy Deeming Updates ➢ State and County Code Updates	➢ Enrollment Data Validation Services ➢ Enrollment Data Analysis and Trending for CMS Offices ➢ Retroactive Submission Support available through Client Services

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RPC Operation – Transaction Process Flow

1) Receive submission package with retroactive enrollment transactions via CMS' Electronic Retroactive Processing Transmission (eRPT) application;
2) Import transactions into Reed's RPC Support System;
3) If an importation error occurs, an RPC Error Report is posted to eRPT;
4) Transactions are routed to appropriate functional area within Reed operations;
5) Transactions are reviewed for validation as a compliant enrollment transactions;
6) Transactions are reviewed in the order received;
7) If the transaction is valid, Reed updates the CMS Medicare Advantage and Pharmacy (MARx) system;
8) An appropriate disposition code is assigned and exported to a Final Disposition Report (FDR);
9) FDRs are posted to eRPT & available next business day;

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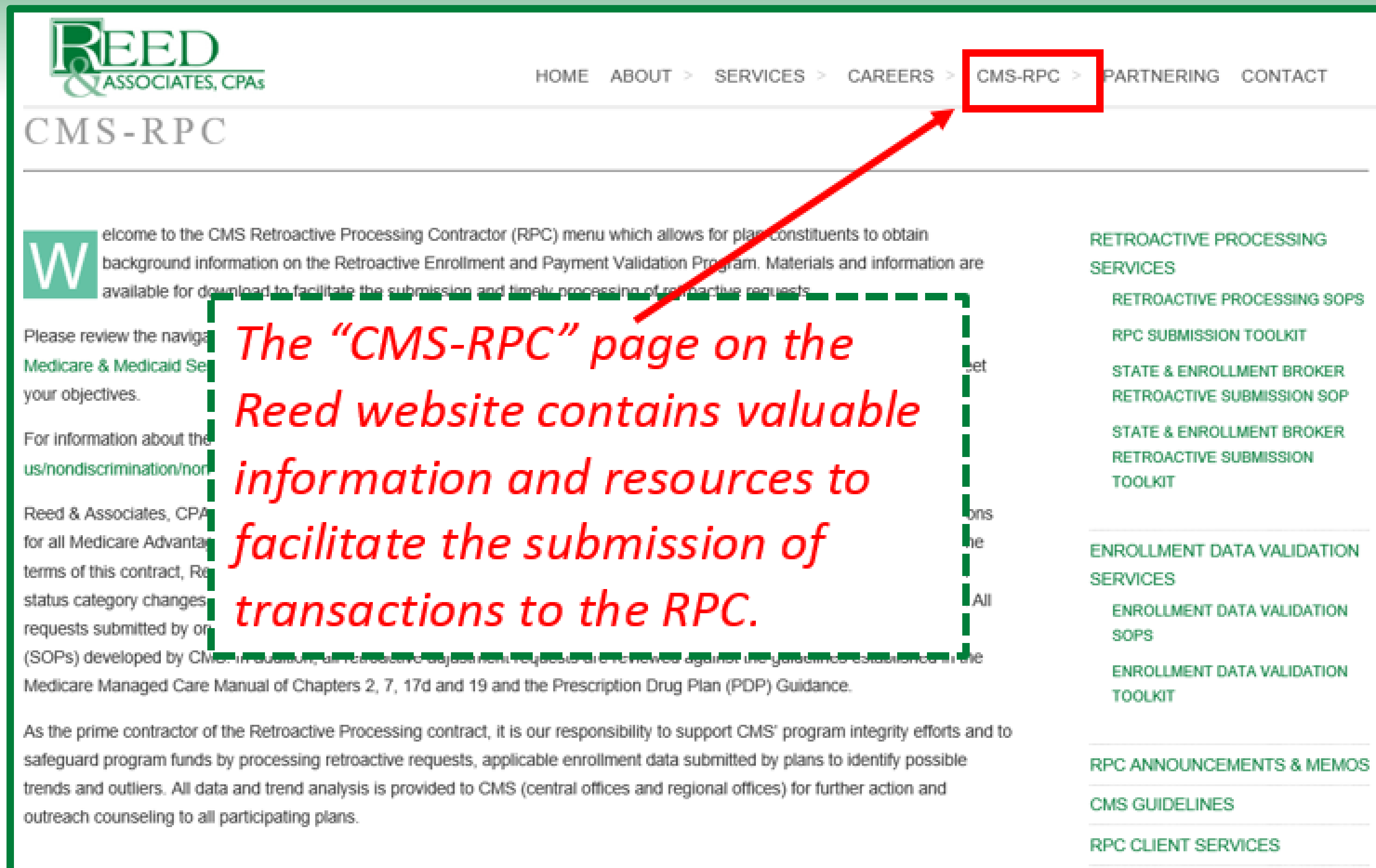
RPC Website

http://www.reedassociates.org

Reed's website provides information and links – both general and specific to States



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RPC Website Contents

- **"State & Enrollment Broker Retroactive Submission" Standard Operating Procedure (SOP) –** specific to the retroactive transaction process approved by MMCO for State/Enrollment Broker users
- **State & Enrollment Broker Submission Toolkit –** contains all of the necessary tools and information needed to submit retroactive transactions:
  - MMCO Retroactive Submission Spreadsheet
  - MMCO Required Documentation
  - Disposition Code Listing
  - RPC Transaction Inquiry Template
- **RPC Announcements and Memos –** information is posted when appropriate
- **CMS Guidelines –** CMS links related to the Medicare Managed Care Program are provided
- **RPC Client Services –** Address information and links to contact our Client Services Team for questions, etc.

Submitting Transactions: Where to Start

- Download the State/Enrollment Broker SOP and Toolkit off our website
- Review the State & Enrollment Broker Retroactive Submission SOP
- Review the "Instructions" tab on the MMCO Retroactive Submission Spreadsheet; specifically the "Attestation Paragraph" in Row 6:

Instructions for Completing the Spreadsheet (for MMP demo states only)

This spreadsheet is imported electronically into our system, so it is important that you do NOT change the formatting or layout of the spreadsheet. The following Frequently Asked Questions will help you in completing this spreadsheet accurately.

IMPORTANT: Please READ the attestation paragraph below, then complete the applicable retroactive request tab(s).
By submitting this spreadsheet to CMS, the state or the state's enrollment broker verifies that the information submitted is accurate and complete and the supporting documentation is maintained by the state organization for each request in accordance with standards delineated in the **§50.7 - Storage of Enrollment and Disenrollment Request Records of the national MMP Enrollment/Disenrollment Guidance.**

- Review eRPT Plan User Manual (link provided on Slide #44)

Completing the Submission Spreadsheet

- A single submission spreadsheet may contain multiple transaction types

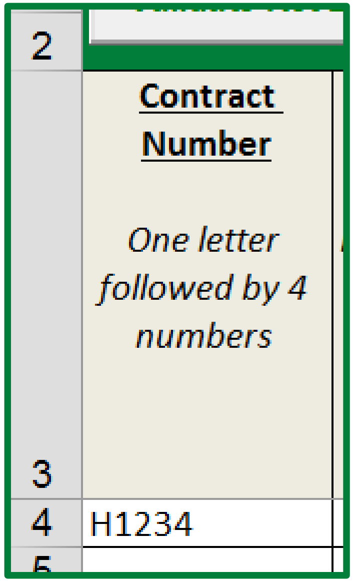
...	Ret Enrl	Ret Disenrl	Ret Cancel	REINSTMT	PBP	...

- Complete all applicable fields
  - Segment numbers and End Dates are not mandatory
- Use the data formats indicated in the header row

Contract Number	PBP	Segment	HIC	Last Name	First Name	Election Period	Effective Date	End Date	Application Receipt Date	Justification	Note (Optional)
One letter followed by 4 numbers	*Enter the three digit PBP number*	*Enter the three digit Segment number (if applicable)*	*Enter bene's HIC number. Combo of numbers & letters possible here*	*Beneficiary's Last Name*	*Beneficiary's First Name*	*Choose from list. Election Period must exactly match the format on the drop down list.*	*Date the requested Enrollment is to begin (Must be 1st day of month) mm/dd/yyyy*	*Defined as the end date of the period for which you are requesting. (Must be last day of the month; only completed if applicable) mm/dd/yyyy*	*Defined as the date the enrollment request is initially received by the organization. mm/dd/yyyy*	*Use dropdown and select the option that best fits the reason for retroactive request.*	*This is a free text field (200 character limit) where you can add more information or comment.*

Completing the Submission Spreadsheet (Cont'd)

- The five digit number CMS assigned the MMP contract
- One letter
- Four numeric characters



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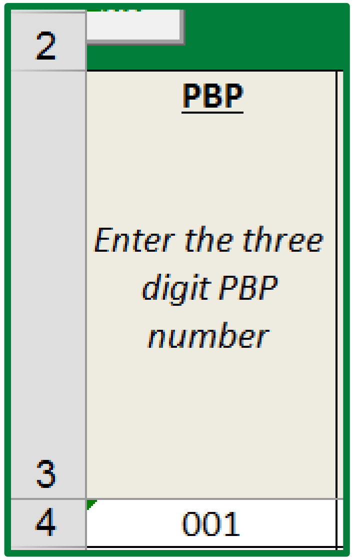
Completing the Submission Spreadsheet (Cont'd)

- Plan Benefit Package (PBP) number
- Three character number
- The preceding zero must be included
- The number in this cell must be formatted as text or preceded by an apostrophe



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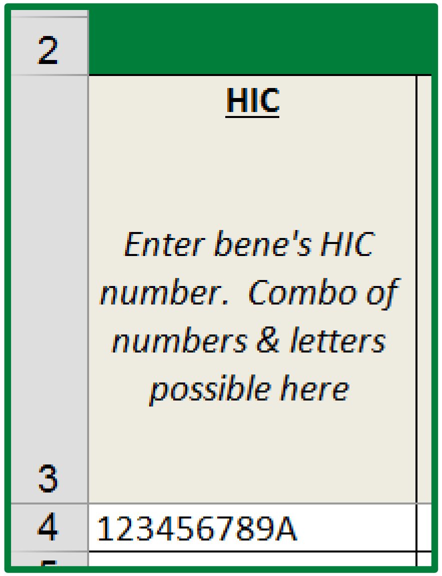
Completing the Submission Spreadsheet (Cont'd)

- Health Insurance Claim, or "HIC" number
- i.e. Medicare Number
- Alphanumeric



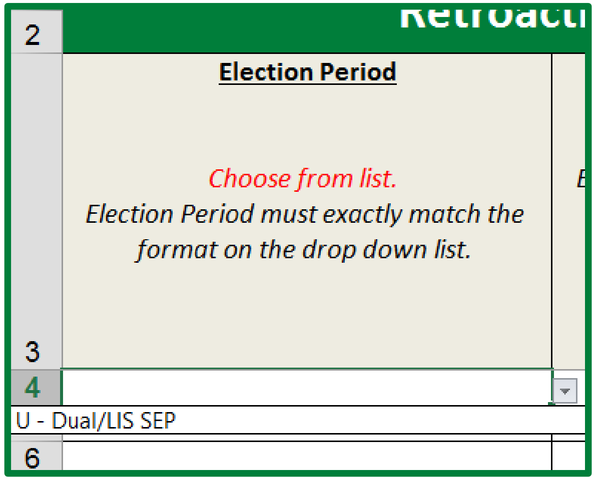
Completing the Submission Spreadsheet (Cont'd)

- Beneficiary's First and Last Names are mandatory
- Do not use first initials
- Do not include the Middle Initial to either field
- Do not include a prefix and/or suffix

	Last_Name	First_Name
2		
3	*Beneficiary's Last Name*	*Beneficiary's First Name*
4	America	Captain

Completing the Submission Spreadsheet (Cont'd)

- Election Period or "Election Type"
- To assist with completing the submission spreadsheet, MMCO has added a drop-down menu to the "Election Period" field.
- Special Enrollment Period (SEP) for dually-eligible beneficiaries
- Election Type code of "U" = Dual/LIS SEP



Completing the Submission Spreadsheet (Cont'd)

- Effective Date or "Start" date
- Must be the first of the month
- MM/DD/YYYY format

2	
3	**Effective_Date** *Date the requested Enrollment is to begin* ***(Must be 1st day of month)*** *mm/dd/yyyy*
4	8/1/2017
5	08/01/2017
6	12/1/2017

Completing the Submission Spreadsheet (Cont'd)

- An End Date is not mandatory
- Only for "closed" enrollment periods
- Must be the final day of the month
- MM/DD/YYYY format

3	**End_Date** *Defined as the end date of the period for which you are requesting.* *(Must be last day of the month; only completed if applicable)* *mm/dd/yyyy*
4	

Completing the Submission Spreadsheet (Cont'd)

- Application Receipt Date or just "Application Date"
- The date the beneficiary's completed enrollment application (paper or electronic) was received
- MM/DD/YYYY format

2	
3	**Application Receipt Date** *Defined as the date the enrollment request is initially received by the organization. mm/dd/yyyy*
4	

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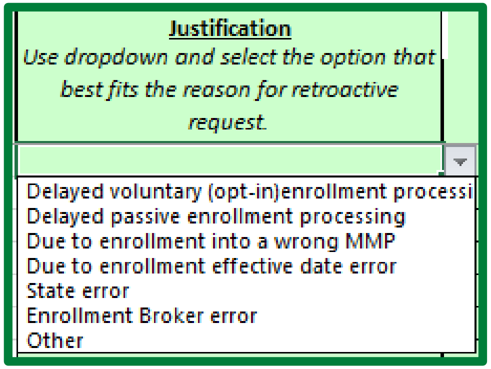
Completing the Submission Spreadsheet (Cont'd)

- The "Justification" is the reason for submitting a retroactive transaction



- To assist with completing the submission spreadsheet, MMCO has added a drop-down menu to the "Justification" field.

- If "Other" is selected, the reason for submitting a retroactive transaction must be added to the "Note" field

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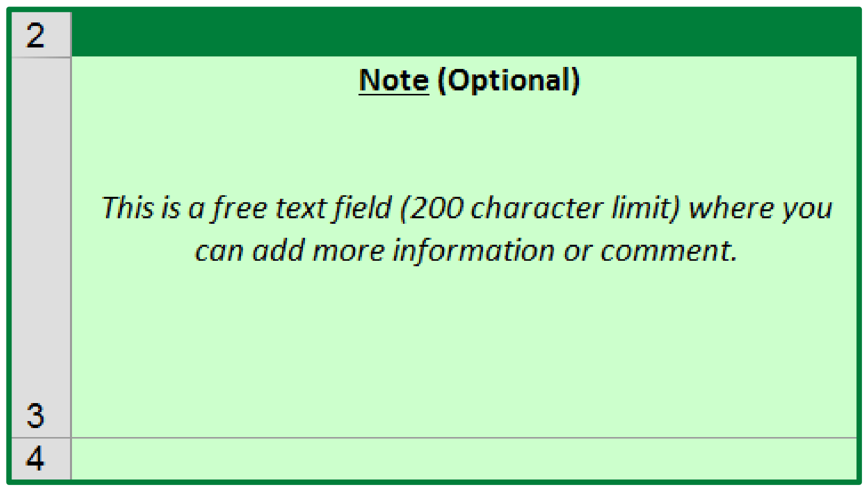
Completing the Submission Spreadsheet (Cont'd)

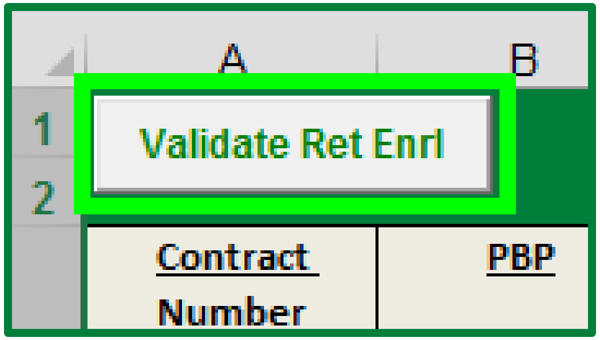
- Adding a narrative to the "Note" field typically is optional



- Must be completed if the Justification of "Other" is selected,
- Free-Form reason for submitting a retroactive transaction

Completing the Submission Spreadsheet (Cont'd)

Please ignore the "Validation" button located in the upper-left of each tab of the MMCO Retroactive Submission Spreadsheet template. The function was run on a Macro which was disabled due to CMS security requirements. The MMCO Retroactive Submission Spreadsheet template has been saved in a Macros-free format (xlsx).



Completing the Submission Spreadsheet (Cont'd)

NOTE: *Do not* remove the "Instructions" and the "Do Not Modify" tabs prior to saving the submission spreadsheet. including the attestation paragraph, prior to saving the submission spreadsheet, as it acts as your attestation regarding the accuracy of the data being submitted to the RPC.

Instructions for Completing the Spreadsheet (for MMP demo states only)

This spreadsheet is imported electronically into our system, so it is important that you do NOT change **the formatting or layout** of the spreadsheet. The following Frequently Asked Questions will help you in completing this spreadsheet accurately.

IMPORTANT: Please READ the attestation paragraph below, then complete the applicable retroactive request tab(s).
By submitting this spreadsheet to CMS, the state or the state's enrollment broker verifies that the information submitted is accurate and complete and the supporting documentation is maintained by the state organization for each request in accordance with standards delineated in the **§50.8 - Storage of Enrollment and Disenrollment Request Records of the national MMP Enrollment/Disenrollment Guidance.**

What is each tab used for and what it means?

Ret Enrl	**Retroactive Enrollments -**	Retroactive Enrollments are defined as an action that retroactively enrolls a beneficiary into a certain MMP plan contract number and PBP number.
Ret Disenrl	**Retroactive Disenrollments -**	Retroactive Disenrollments are defined as an action that retroactively terminates a beneficiary's enrollment in an MMP.
Ret Cancel	**Retroactive Cancellations -**	Retroactive Cancellations are defined as an action that retroactively cancels the beneficiary's enrollment into a certain MMP plan contract number and PBP number as if it never happened.
REINSTMT	**Reinstatements -**	Reinstatements are defined as an action that is taken to correct an erroneous disenrollment that may be the fault of the beneficiary, the state or the enrollment broker, or CMS. A Reinstatement reflects no gap in coverage or changes to MMP plan contract and PBP number.
PBP	**Plan Benefit Package Changes -**	PBP changes are defined as changes/corrections made only to PBP number to reflect the right plan benefit package information.

Can I use more than one tab on the spreadsheet?

Yes, you should complete all applicable tabs for which submissions to the RPC are required on one spreadsheet. Once you have entered all of your submissions, select the transaction tabs that do not contain any data. To select multiple tabs, hold the Control key while clicking the tabs with the mouse. Right-click any of the selected tabs and select Delete. The only remaining tabs should be the ones for which you are requesting a retroactive change, and the "Instructions" and "DO NOT MODIFY" tabs. This will assist us in the importation process.

INSTRUCTIONS

Do not edit or delete this tab.

Retroactive Enrollment
- Delayed voluntary (opt-in)enrollment processing
- Delayed passive enrollment processing
- Due to enrollment into a wrong MMP
- Due to enrollment effective date error
- State error
- Enrollment Broker error
- Other

Retroactive Disenrollment
- Ineligible for MMP
- Moved out-of-area
- Loss of Medicare Parts A/B/D
- Date of death
- Delayed voluntary disenrollment processing
- Delayed involuntary disenrollment processing
- State error
- Enrollment Broker error
- Other

Retroactive Cancellation
- Ineligible for MMP
- Moved out-of-area
- Loss of Parts A/B/D
- Date of death
- Delayed cancellation processing
- State error
- Enrollment Broker error
- Other

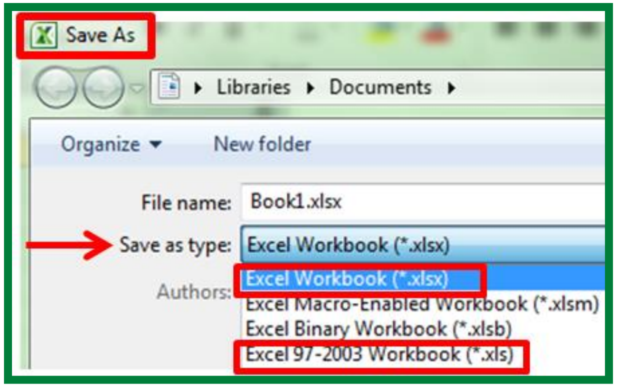
Reinstatement
- Beneficiary initiated reinstatement
- Disenrollment cancellation by beneficiary
- Erroneous loss of Medicare Parts A/B/D
- Erroneous loss of Medicaid
- Erroneous date of death

DO NOT MODIFY

Converting the Submission Spreadsheet

After completing the submission spreadsheet:

- Select "**File**"; then "**Save As**"
- In the "**Save as type**" field on the "**Save As**" window select either:
  - Excel Workbook (.xlsx)
  - Excel 97-2003 Workbook (.xls)
- Enter the file name and select "**Save**"



The Required Documentation Template

- Use this template to satisfy both the "Cover Letter" and "Supporting Documentation" requirements in eRPT.

Reed & Associates, CPAs – CMS Retroactive Processing Contractor (RPC)

MMCO Approved Cover Letter & Documentation Worksheet:

This document is intended to only be used by contracts with a Plan Type of "Medicare-Medicaid Plan HMO/HMOPOS" to satisfy the "Cover Letter" and "Supporting Documentation" requirements.

Overview of the eRPT Application

- eRPT is a web-based application designed to securely facilitate and manage electronic submission, and storage of the materials associated with retroactive transactions.
- A CMS Regional Office Account Manager provides their concurrence within the system.
- eRPT also supports the Enrollment Data Validation (EDV) review process by allowing the RPC to create Review Packages and the State/Enrollment Broker Users the capability to respond to that documentation request.
- To report any technical issues related to eRPT, the users will need to contact MAPD Helpdesk:

Phone: 1-800-927-8069

eRPT Submission Process Overview

- Login to the eRPT application:
  - https://erpt.cms.hhs.gov/erpt
- Select “Create Package”
- Complete applicable fields
- Add the required files:

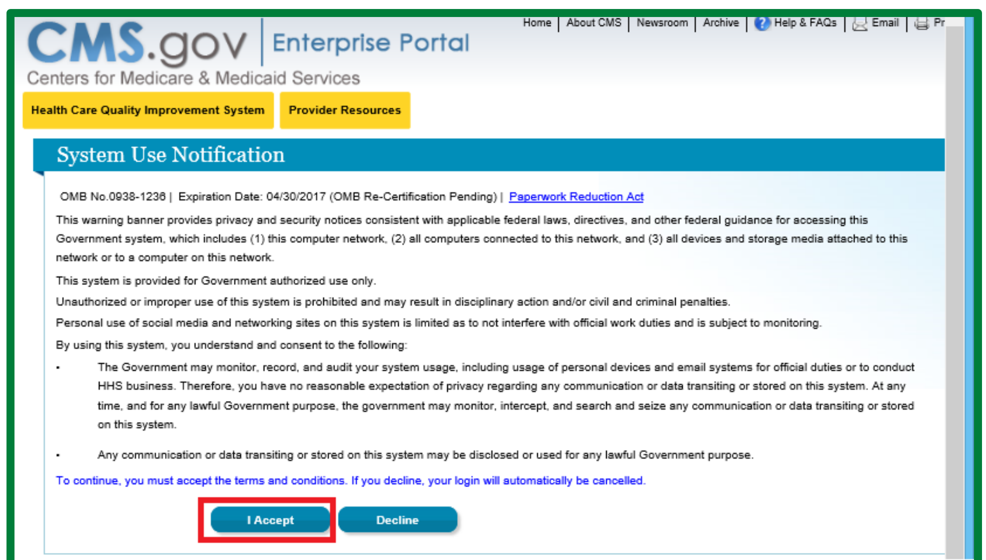
MMP Toolkit Item	File Type	eRPT "Document Type"
MMCO Retroactive Submission Spreadsheet	xls or xlsx	RPC Submission Spreadsheet
MMCO Required Documentation	PDF	RPC Submission Cover Letter
MMCO Required Documentation (second copy)	PDF	RPC Supporting Documentation

- Submit the package

Note: For complete details please see the eRPT Plan User Manual (Version 3.3)

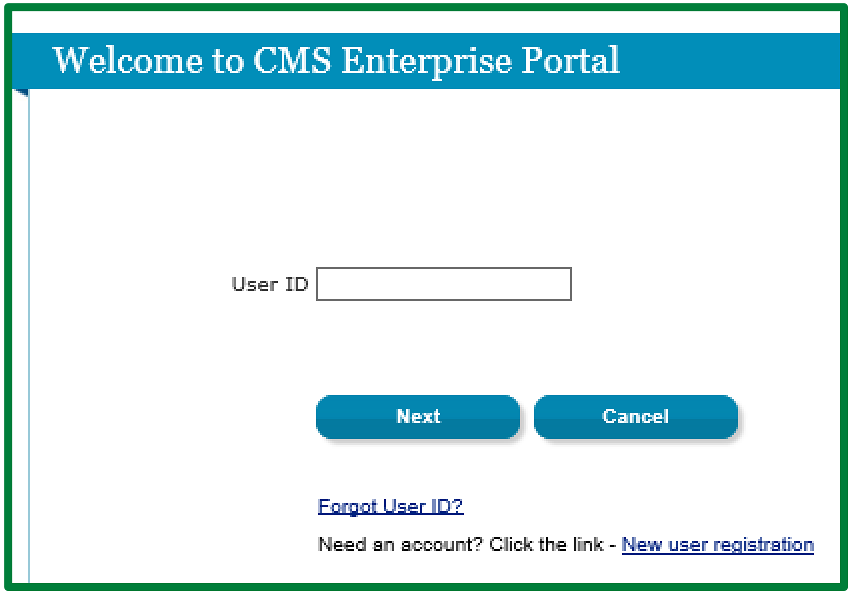
eRPT Login Process

- Section **3.3.3** of the eRPT Plan User Manual
- Navigate to https://erpt.cms.hhs.gov/erpt
- Read the terms and conditions
- Select "**I Accept**"



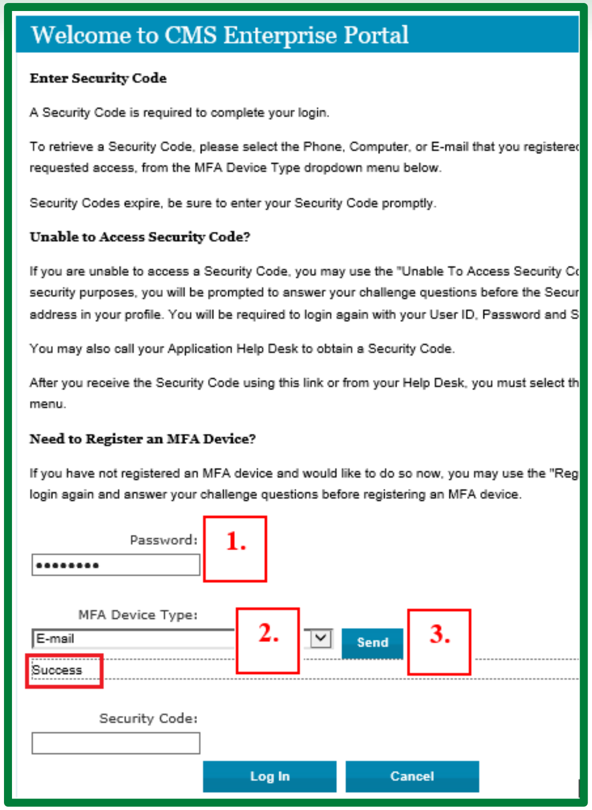
eRPT Login Process (Cont'd)

- Enter the **User ID** created during the EIDM registration process
- Select "**Next**"



eRPT Login Process (Cont'd)

- Enter the password created during the EIDM registration process
- Select the Multi-Factor Authentication (MFA) device logged during the EIDM registration process
- Select "**Send**"
- "Success" is displayed if the MFA Security Code is sent to your selected device



eRPT Login Process (Cont'd)

- Access the MFA device
- Locate the MFA Security Code message from CMS.gov
- Copy the Security Code from the message
- Return to the CMS Enterprise Portal login screen

Thu 8/17/2017 1:40 PM

donotreply@cms.gov

MFA Security Code

To [redacted]

Dear [redacted],

Your Security Code for MFA is 054978. Please enter this number in the text box named 'Security Code' to log into CMS Portal or your Application.
If you did not initiate this request, please contact your Application Help Desk.

Please note that Security Code for MFA expires in 30 minutes.

Thank you,
CMS.gov

Please do not reply to this system generated E-mail.

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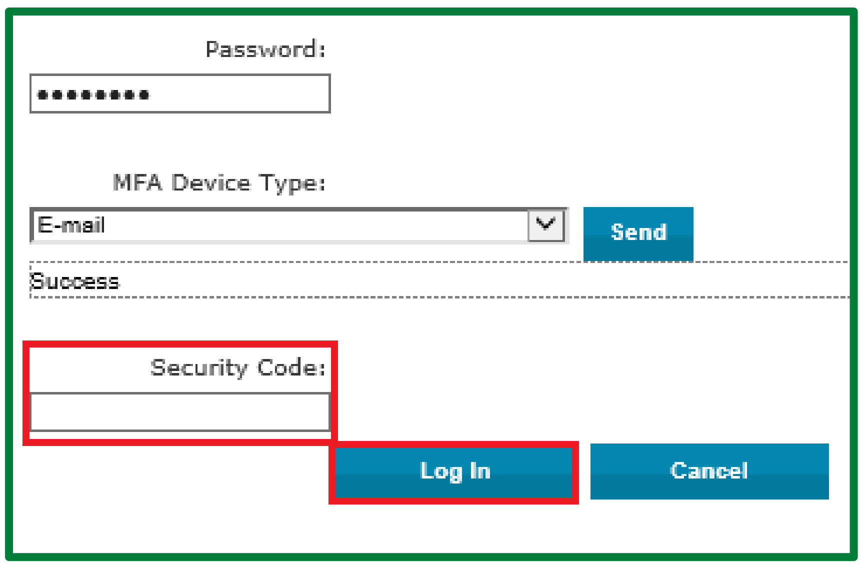
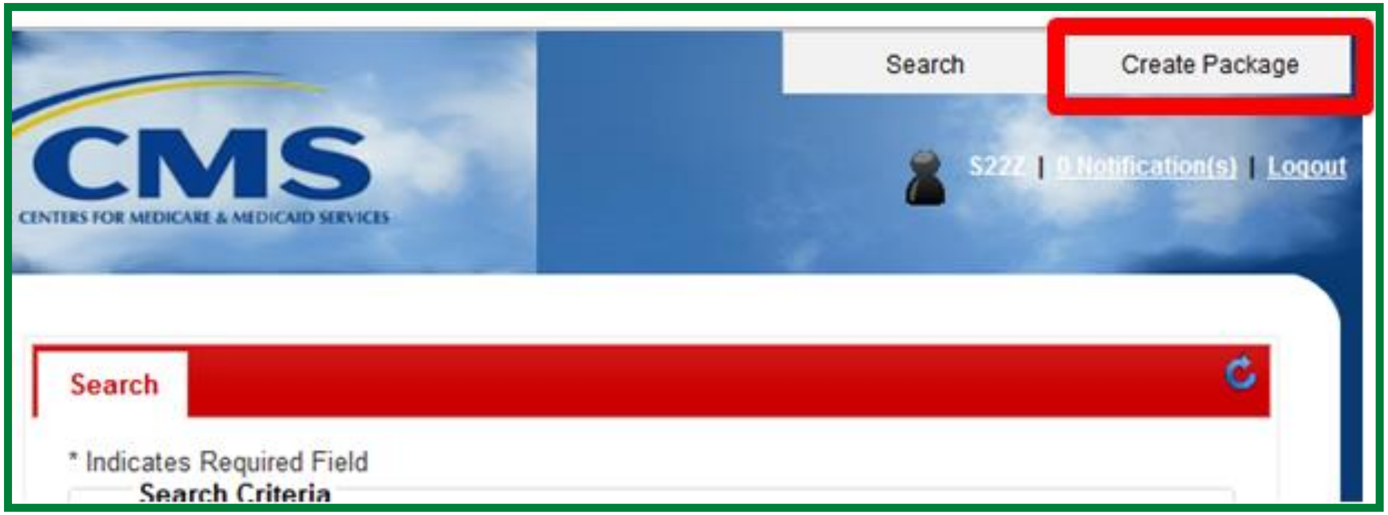
eRPT Login Process (Cont'd)

- Enter the MFA Security Code
- Select "**Log In**"



Creating an eRPT Submission Package

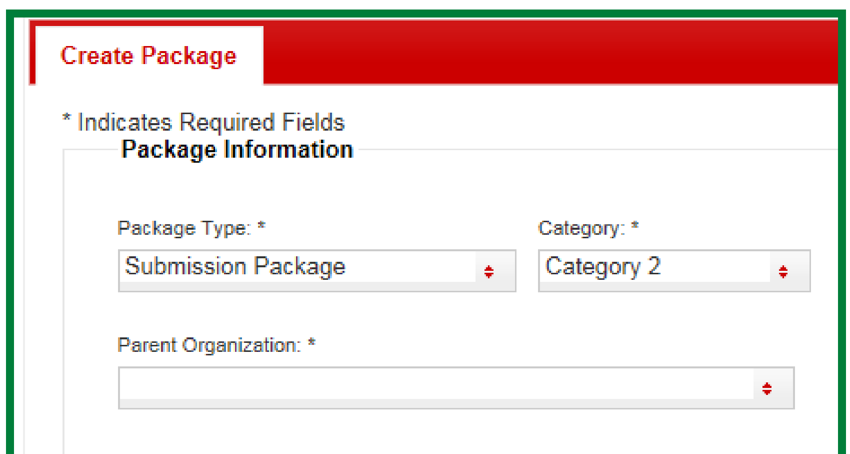
- Section **4.3.1** of the eRPT Plan User Manual
- Select "**Create Package**" function on the top right of the eRPT User Interface



Creating an eRPT Submission Package (Cont'd)

Complete all three "**Package Information**" data fields:

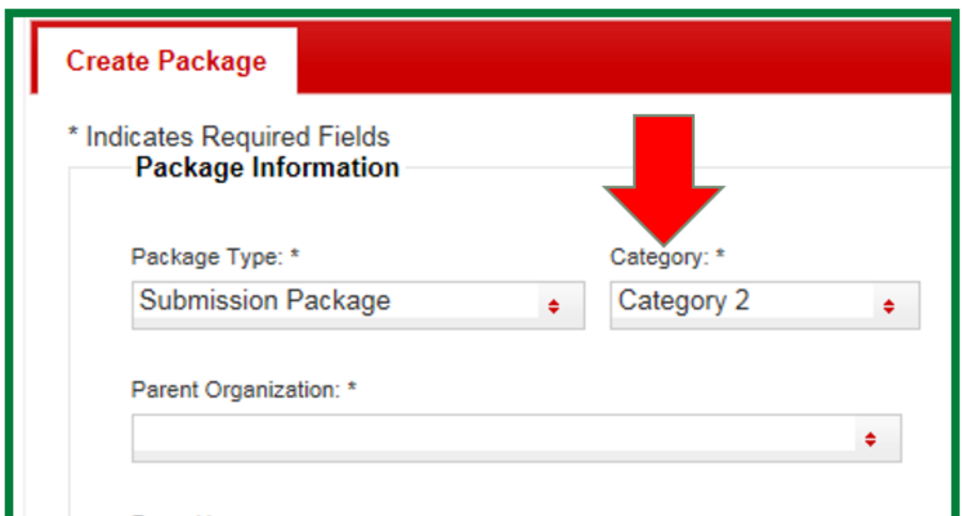
- Package Type
- Category
- Parent Organization
  - Select "**MMP Demo States Only**"
  - Field Does Not Automatically Default



Selecting a Category Type – Category 2 vs. Category 3

When selecting “**Category**” type:

- Select **Category 2** if retro. eff. date is “**within 3 months**”. (Ex. If current month is May, then allowable retro. eff. dates are May 1, April 1, and March 1)
- Select **Category 3** if retro. eff. date is “**4 months or older**”. Any retro. eff. date that is ≥ 4 months older requires CMS Regional Office’s review and concurrence.



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Adding Proxies to a Submission Package

If applicable, you may add other users from your organization as proxies so they can also access the package you are creating:

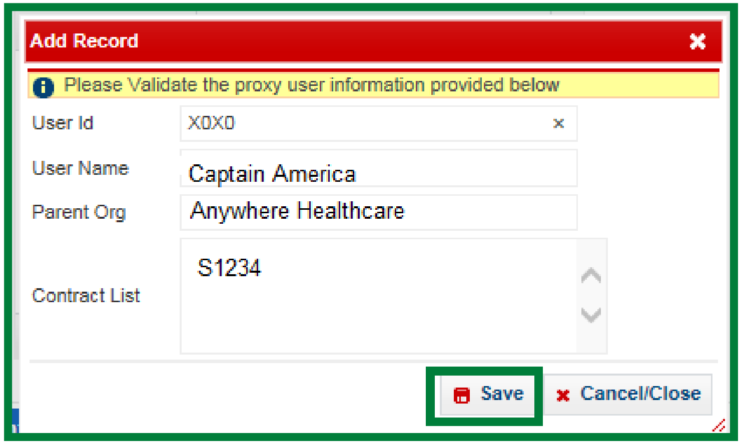
- Select the "**+**" icon in the "**Proxy Users**" window
- Otherwise select "**Continue**"

ADDING PROXIES TO A SUBMISSION PACKAGE (CONT'D)

- In the "**Add Record**" field enter the CMS User ID;
- Select **Search**

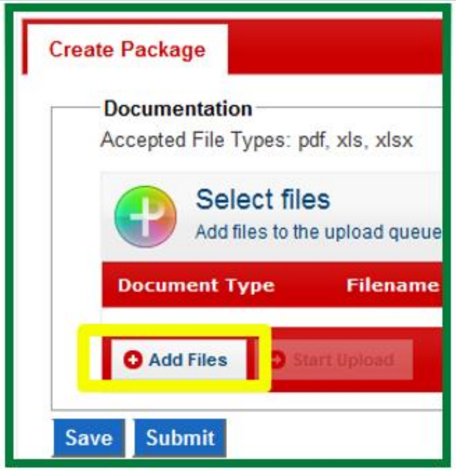
Adding Proxies to a Submission Package (Cont'd)

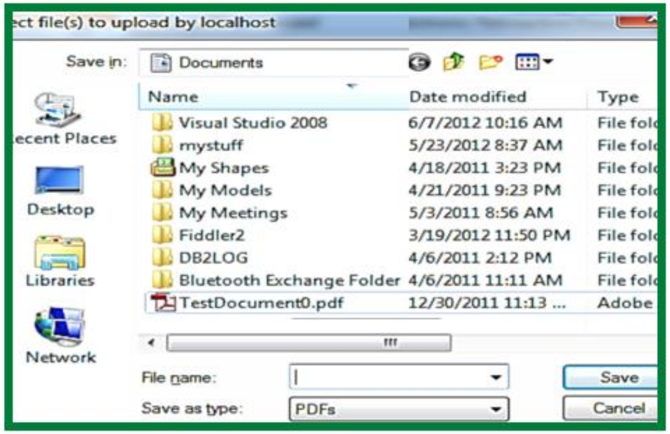
- Validate the **User ID** and **User Name** Fields
- Enter the Parent Organization Name in the **Parent Org** field
- Enter the applicable Contract Numbers into the "**Contract List**" field
- Select **Save**
- Select "**Continue**"



Adding Files to an eRPT Submission Package

- On the "**Documentation**" screen, select "**Add Files**"
- Use the Windows Explorer Window to navigate your network for the package files
- Select the file(s) you want and select "**Save**"





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Adding Files to an eRPT Submission Package (cont'd)

- On the "**Documentation**" screen, select the appropriate "**Document Type**" value from the dropdown for each document.
- Select "**Start Upload**"
- Upon successfully uploading the documents, select "**Submit**"

NOTE: Remember to **upload two copies** of the MMCO Required Documentation template to satisfy the eRPT file requirements. Use the Document Type value of "**RPC Supporting Documentation**" for one and "**RPC Submission Cover Letter**" for the second copy.

A SUBMITTED eRPT PACKAGE

- The RPC downloads submitted packages throughout the day

  NOTE: Packages submitted after 6:00 PM Central will not be download until the following business day

- The RPC will upload a report to eRPT for each transaction submitted:
  - An Error Report if an issue is discovered at the time of the importation that prevents processing
  - A Final Disposition Report (FDR) to indicate the status of the transaction after processing

- A notification for the State/Enrollment Brokers is added to the eRPT 'Actions' screen when the RPC downloads or uploads files from a package

Final Disposition report (FDR) and Error Reports

- A complete list of three-digit **FDR** codes/definitions is located in the State & Enrollment Broker Retroactive Submission Toolkit:

http://www.reedassociates.org/state-enrollment-broker-retroactive-submission-toolkit/

- Any **Error Reports** that were not properly uploaded into the RPC system are added to the eRPT "Actions" screen. State/Enrollment Broker should review, correct, and resubmit those records to the RPC.
- See Sections 4.3.9/4.3.10 in the eRPT Plan User Manual (Ver 3.3) for detailed steps how to view response documents (FDR/Error Report) added by the RPC.

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RPC Client Services Team

- The Client Services Representatives (CSRs) research inquiries and respond within three business days.
- States and/or Enrollment Brokers may communicate with CSRs via:
  - Phone,
  - Email, or
  - eRPT Transaction Inquiry (TIQ) Package .

RPC Client Services Team (Cont'd)

CSRs are able to provide support with the following :

- Completing the Submission Spreadsheet
- Submission/Transaction Status Checks
- Inquiries on Rejection/Error Messages
- Basic eRPT assistance
- Cancellation of Retroactive Transactions

RPC Contact Information

Reed & Associates, CPAs
CMS – Retroactive Processing Contractor
1010 S. 120th Street, Suite 300
Omaha, NE 68154

- Website – : http://www.reedassociates.org
- Email – clientservices@reedassociates.org
- Phone – 402-315-3660
- Fax – 402-315-3700
- eRPT – via a Transaction Inquiry (TIQ) Package

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Resources

- RPC Toolkit & SOPs - http://www.reedassociates.org/state-enrollment-broker-retroactive-submission-toolkit/
- eRPT Plan User Manual (Version 3.3)- https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/Downloads/eRPT-Plan-User-Manual-v33.pdf
- MMP Enrollment/Disenrollment Guidance - https://www.cms.gov/Medicare-Medicaid-Coordination/Medicare-and-Medicaid-Coordination/Medicare-Medicaid-Coordination-Office/FinancialAlignmentInitiative/Downloads/MMPEnrollmentManual090216.pdf

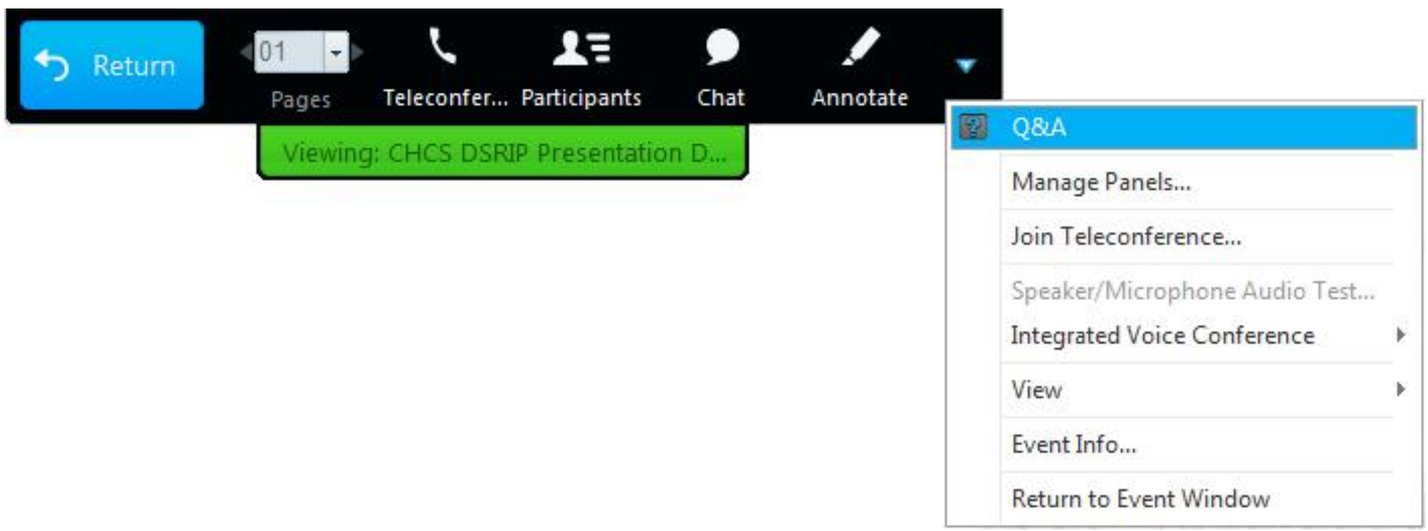
Questions and Answers

Integrated Care Resource Center

Questions?

To submit a question please click the question mark icon located in the toolbar at the top of your screen.

Your questions will be viewable only to ICRC staff.



Integrated Care Resource Center

About ICRC

- Established by CMS to advance integrated care models for Medicare-Medicaid enrollees
- ICRC provides technical assistance (TA) to states, coordinated by Mathematica Policy Research and the Center for Health Care Strategies
- Visit http://www.integratedcareresourcecenter.com to submit a TA request and/or download resources, including briefs and practical tools to help address implementation, design, and policy challenges
- Send additional questions to: ICRC@chcs.org

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