

Prescription Drug Front-End System & Reports

Computer Based Training Transcript



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Introduction

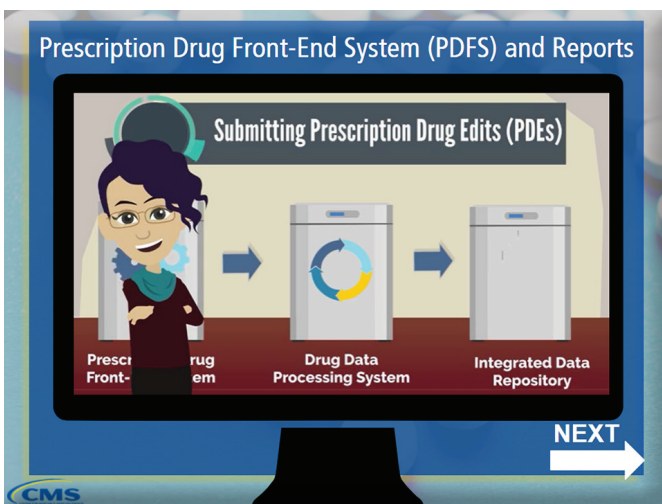


Prescription Drug Front-End System (PDFS) and Reports

Welcome to the Prescription Drug Front-End System and Reports computer-based training.

This training will walk you through the submission process and the reports plans receive as a result of their prescription drug event (PDE) submissions.

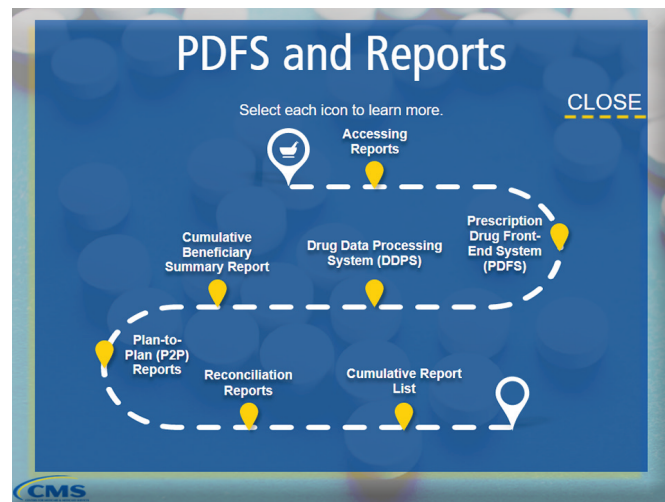
Prescription Drug Front-End System (PDFS) & Reports



PDEs are received by the Drug Data Processing System (DDPS) through the Prescription Drug Front-End System (PDFS) in a CMS defined record format. The PDFS performs format and validity checks on the File and Batch level as well as sequencing verification on the Detail Records. Once the file has moved through the PDFS, it is

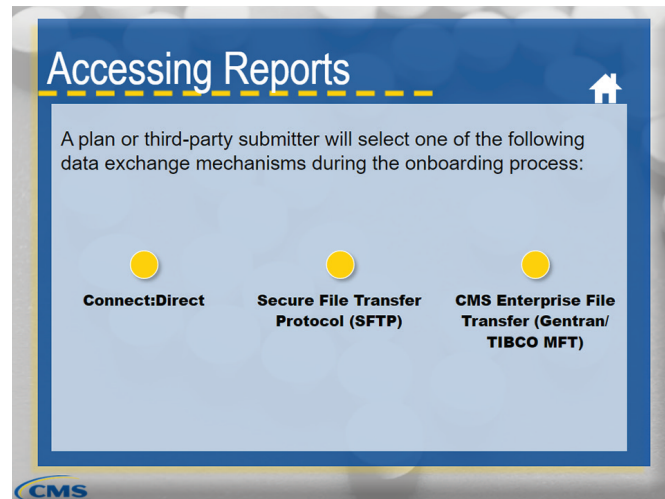
received by DDPS, where Detail level edits are performed. Reports are generated and then delivered through the plans chosen exchange mechanism. From DDPS, CMS stores the data internally in the IDR.

Navigation Page



Select each icon to learn more about the process.

Accessing Reports



A plan or third-party submitter will select one of the following data exchange mechanisms during the onboarding process:

- Connect:Direct
- Secure File Transfer Protocol (SFTP)
- CMS Enterprise File Transfer (Gentran/TIBCO MFT)

Subsequently, the submitter will access the exchange mechanism to submit their files and view reports.

Select each circle to learn more.

Connect:Direct

The screenshot shows a slide titled "Accessing Reports" with a dashed yellow underline. Below the title is a section for "Connect:Direct" with a list of bullet points: "Transfers files between mainframe computers and midrange computers.", "Files exchanged using user-defined data names.", and "Submitters receive reports within two business days of the file transfer." Below this is a section for "File Transfer" with bullet points: "Files are transferred through the Connect:Direct software and exchanged using user defined data set names.", and "Set up network mapping entry by the submitter, certain values are provided. PalmettoGBA uses Secure Point of Entry (SPOE) to enforce data security." A "RETURN" button with a curved arrow is in the bottom right corner. The CMS logo is in the bottom left corner.

Connect:Direct is a computer software product that transfers files between mainframe computers and midrange computers. Files are exchanged using user-defined data names. This method is used for those plans that submit a large volume of data. Submitters should receive reports within two business days of the file transfer.

Secure File Transfer Protocol

The screenshot shows a slide titled "Accessing Reports" with a dashed yellow underline. Below the title is a section for "Secure File Transfer Protocol (SFTP)" with a list of bullet points: "Reports are received within one business day of the file transfer." Below this is a section for "Mailbox" with bullet points: "Reports remain in SFTP for 15 days.", and "Users can access deleted reports through the Customer Service and Support Center (CSSC) help desk for up to seven years." Below this is a section for "Opening Zipped files:" with a numbered list: "1. Rename the file with the .zip extension.", and "2. Change the command to binary when using the SFTP command line." A "RETURN" button with a curved arrow is in the bottom right corner. The CMS logo is in the bottom left corner.

For Secure File Transfer Protocol, submitters receive reports typically within one business day of the file transfer. Reports are sent to the designated mailbox for 15 days. The reports can also be

accessed through the Customer Service and Support Center (CSSC) help desk for up to seven years.

Plans may request zipped reports. To avoid difficulties opening ZIP files, users should follow the two-step process listed here.

CMS Enterprise File Transfer

The screenshot shows a slide titled "Accessing Reports" with a dashed yellow underline. Below the title is a section for "CMS Enterprise File Transfer (Gentran/TIBCO MFT)" with a list of bullet points: "Submitters receive reports within two business days of the file transfer." Below this is a section for "Mailbox" with bullet points: "Reports remain in CMS Enterprise File Transfer mailbox for 15 days.", and "Users can access deleted reports through the Customer Service and Support Center (CSSC) help desk for up to seven years." A "RETURN" button with a curved arrow is in the bottom right corner. The CMS logo is in the bottom left corner.

For CMS Enterprise File Transfer, submitters should receive reports within two business days of the file transfer. Reports are sent to the designated mailbox for 15 days. The reports can also be accessed through the Customer Service and Support Center (CSSC) help desk for up to seven years.

Select the HOME icon to continue exploring.

Prescription Drug Front-End System

The screenshot shows a slide titled "Prescription Drug Front-End System" with a dashed yellow underline. Below the title is a section for "Submitted File Order" with a list of items: "HEADER", "BATCH", and "TRAILER". To the right is an icon of a server labeled "Prescription Drug Front-End System". A "HOME" icon is in the top right corner. A "NEXT" button with a right arrow is in the bottom right corner. The CMS logo is in the bottom left corner.

Submitted files must be presented in the following order: The File Header is first, and it identi-

files the submitter. The first Batch follows the File Header and includes plan information. There can be multiple Batches within a File, but each one must include a Batch Header, Detail, and Trailer. The Batch Header identifies the plan. The Detail Records identify individual PDEs in the Batch, and the Batch Trailer Records indicate the end of a Batch. From here, there can be another Batch or a File Trailer.

Select each part of the layout to see an example.

Header

FIELD NO.	FIELD NAME	NCPDP FIELD	POSITION	PICTURE	LENGTH	NCPDP, CMS OR PDPS DEFINED	DEFINITION / VALUES
1	RECORD ID		1 - 3	X(3)	3	PDPS	"HDR"
2	SUBMITTER ID		4 - 9	X(6)	6	CMS	Unique ID assigned by CMS.
3	FILE ID		10 - 19	X(10)	10	PDPS	Unique ID provided by Submitter. Same ID cannot be used within 12 months.
4	TRANS DATE		20 - 27	X(8)	8	PDPS	Date of file transmission to PDPS.
5	PROD TEST CERT IND		28 - 31	X(4)	4	PDPS	PROD, TEST, or CERT
6	FILLER		32 - 512	X(481)	481	N/A	SPACES

This is the Header Record and identifies the entity submitting the data.

Batch

The Batch identifies the contract and plan benefit package (PBP).

Select each button to learn more about the three sections that make up the Batch.

Batch Header

FIELD NO.	FIELD NAME	NCPDP FIELD	POSITION	PICTURE	LENGTH	NCPDP, CMS OR PDPS DEFINED	DEFINITION / VALUES
1	RECORD ID		1 - 3	X(3)	3	PDPS	"BHD"
2	SEQUENCE NO		4 - 10	X(7)	7	PDPS	Must start with 0000001
3	CONTRACT NO		11 - 15	X(5)	5	CMS	Assigned by CMS
4	PBP ID		16 - 18	X(3)	3	CMS	Assigned by CMS
5	FILLER		19 - 512	X(494)	494	N/A	SPACES

This is the Batch Header Record.

Batch Detail

FIELD NO.	FIELD NAME	NCPDP FIELD	POSITION	PICTURE	LENGTH	NCPDP, CMS OR PDPS DEFINED	DEFINITION / VALUES

This is the Batch Detail Record. Check for the most recent record layout on the CSSC website.

Batch Trailer

Prescription Drug Front-End System

BATCH TRAILER (BTR)

FIELD NO.	FIELD NAME	NCPOP FIELD	POSITION	PICTURE	LENGTH	NCPOP, CMS OR PDFS DEFINED	DEFINITION / VALUES
1	RECORD ID		1-3	X(3)	3	PDFS	"TRF"
2	SEQUENCE NO		4-10	X(7)	7	PDFS	Must match BHD. Must start with 0000001.
3	CONTRACT NO		11-15	X(5)	5	CMS	Must match BHD
4	PRP ID		16-18	X(3)	3	CMS	Must match BHD
5	DET RECORD TOTAL		19-25	X(7)	7	CMS	Total count of DET records
6	FILLER		26-512	X(487)	487	CMS	SPACES

RETURN

This is the Batch Trailer Record.

Trailer

Prescription Drug Front-End System

TRAILER (TRL)

FIELD NO.	FIELD NAME	NCPOP FIELD	POSITION	PICTURE	LENGTH	NCPOP, CMS OR PDFS DEFINED	DEFINITION / VALUES
1	RECORD ID		1-3	X(3)	3	PDFS	"TRF"
2	SUBMITTER ID		4-9	X(6)	6	CMS	Must match HDR
3	FILE ID		10-19	X(10)	10	PDFS	Must match HDR
4	TRL BHD RECORD TOTAL		20-29	X(10)	10	CMS	Total count of BHD records
5	TRL DET RECORD TOTAL		30-39	X(10)	10	CMS	Total count of DET records
6	FILLER		40-512	X(473)	473	CMS	SPACES

RETURN

This is the Trailer Record.

Prescription Drug Front-End System (Continued)

Prescription Drug Front-End System

Submitted File Order

PDFS RESPONSE REPORT

HEADER ✓

BATCH ✓

TRAILER ✓

Prescription Drug Front-End System

NEXT

Once you have submitted the file, you will be able to access the PDFS Response Report. Select the button to learn more about this report.

PDFS Response Report

PDFS Response Report

Report Description

- This is a daily report.
- Indicates whether PDFS accepted or rejected the file.
- Identifies 100-, 200-, and 600-level error codes.

SFTP Report Mailbox
RPT00000.RSP.PDFS_RESP

CMS TIBCO MFT Mailbox Listing
RSP.PDFS_RESP_ssssss

NEXT

The PDFS Response Report indicates if the PDFS accepted or rejected the file and identifies 100-, 200-, and 600-Level error codes.

Select the Next button to learn about the top 5 errors related to PDFS file submissions.

Top Five PDFS Submission Errors

Top 5 PDFS Submission Errors

Five question marks in yellow circles are arranged horizontally. A home icon is in the top right corner. The CMS logo is in the bottom left corner.

Select each question mark to learn more about the top five submission errors.

Top 5 PDFS Submission Errors

The first question mark is highlighted in yellow. A text box is open below it.

Error #601
Detail Record is out of sequence.
How to Fix:
DET Record does not follow a BHD or another DET Record. See the [Detail Order](#)

Top 5 PDFS Submission Errors

The second question mark is highlighted in yellow. A text box is open below it.

Error #132
Duplicate File ID used within the last 12 months. Element is File ID.
The File ID in the Header Record is a duplicate of another file that was accepted within the last 12 months.
How to Fix:
The submitter should ensure a unique File ID is used in all submissions.

Top 5 PDFS Submission Errors

The third question mark is highlighted in yellow. A text box is open below it.

Error #232
The Submitter is not authorized to submit the file for this contract. Element is submitter or contract.
How to Fix:
Instructions for authorization can be found at [CSSC Operations site](#). Select the EDI Onboarding and Connectivity tab to learn more. If you think this message is in error, please contact the CSSC Operations help desk at csscoperations@palmettogba.com or 1-877-534-2772.

Top 5 PDFS Submission Errors

The fourth question mark is highlighted in yellow. A text box is open below it.

Error #234
The Plan Benefit Package (PBP) ID is not valid for the Contract ID.
Element is PBP-ID.
How to Fix:
Input the correct PBP ID in the Batch Header and Batch Trailer Records and resubmit the PDEs.

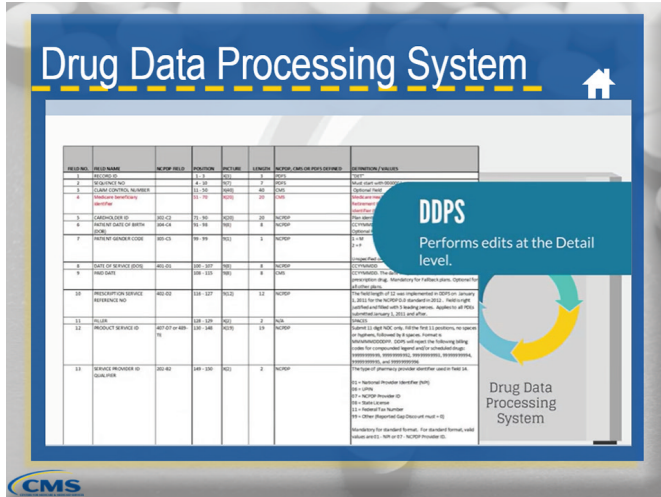
Top 5 PDFS Submission Errors

The fifth question mark is highlighted in yellow. A text box is open below it.

Error #176
The Trailer Record is out of sequence. TLR does not follow the BTR.
Element is Record ID.
How to Fix:
See the correct order for the [Trailer Record](#)

Select the HOME icon to continue exploring.

Drug Data Processing System



DDPS Return File


DDPS Return File

Report Description

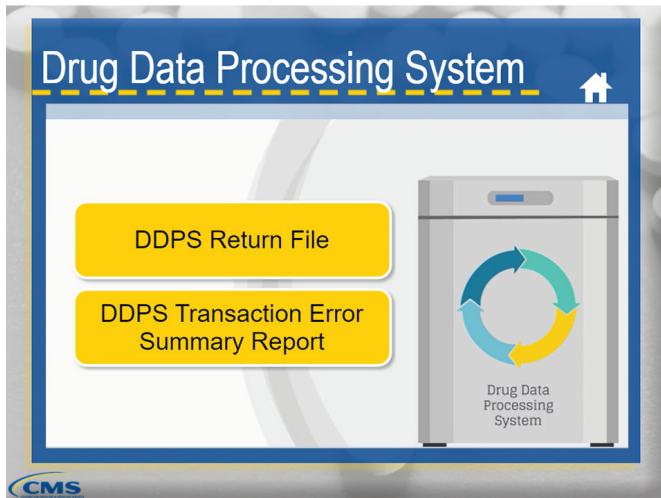
- The DDPS Return File consists of one file with the Header, Batch, and Trailer information submitted into PDFS.
- It contains the entire submitted transaction for all Detail Record types (rejected, informational, and accepted).
- It identifies error codes.
- Errors are identified by the following three acronyms:
 - ACC - The record is accepted with no record errors and is stored.
 - INF - The record contains informational edits; however, the information was stored.
 - REJ - The record is rejected, and data was not stored.

SFTP Report Mailbox
RPT00000.RPT.DDPS_TRANS_VALIDATION

CMS (Gentran/TIBCO MFT) Mailbox
RPT.DDPS_TRANS_VALIDATION_\$\$\$\$\$



The DDPS Return File contains the entire submitted transaction for all Detail Record types and identifies any error codes.



DDPS Transaction Error Summary Report


DDPS Transaction Error Summary Report

Report Description

- It provides counts and rates of each error for each Batch submitted.

SFTP Report Mailbox
RPT00000.RPT.DDPS_ERROR_SUMMARY

CMS (Gentran/TIBCO MFT) Mailbox
RPT.DDPS_ERROR_SUMMARY_\$\$\$\$\$



The DDPS Transaction Error Summary Report provides counts and rates of each error for each Batch submitted.

Select the HOME icon to continue exploring.

Plan-to-Plan Reports

P2P PDE ACCOUNTING REPORT ✓

P2P PART D PAYMENT RECONCILIATION REPORT ✓

P2P RECEIVABLE REPORT ✓

P2P PAYABLE REPORT ✓

P2P PHASE 3 RETURN FILE

P2P Receivable Report

Report Description
This monthly report provides the Submitting Contracts with the net change in P2P reconciliation receivable amounts.

SFTP Report Mailbox
RPT00000.RST.DDPS_P2P_RECEIVABLE

CMS TIBCO MFT Mailbox Listing
RPT.DDPS_P2P_RECEIVABLE.ssssss

Plan-to-Plan Reports

P2P PDE ACCOUNTING REPORT ✓

P2P PART D PAYMENT RECONCILIATION REPORT ✓

P2P RECEIVABLE REPORT ✓

P2P PAYABLE REPORT ✓

P2P PHASE 3 RETURN FILE ✓

P2P Phase 3 Return File

Report Description
P2P Phase 3 is a process run annually before reconciliation to address enrollment changes that occurred after a PDE was accepted. The process updates the Contract of Record and PBP of Record and generates the P2P Phase 3 Report as a return file.

SFTP Report Mailbox
SubmitterName.CCYMMDD.THHMSS.nnnnn.s.DDPS_P2P_PHASE3_RET.RPT

CMS TIBCO MFT Mailbox Listing
RPT.DDPS_P2P_PHASE3_RTN.ssssss

Select the HOME icon to continue exploring.

Plan-to-Plan Reports

P2P PDE ACCOUNTING REPORT ✓

P2P PART D PAYMENT RECONCILIATION REPORT ✓

P2P RECEIVABLE REPORT ✓

P2P PAYABLE REPORT ✓

P2P PHASE 3 RETURN FILE

P2P Part D Payment Reconciliation Report

Report Description
This cumulative monthly report shows the year-to-date financial amounts reported by Submitting Contracts for a Contract of Record that will be used in the Part D Payment Reconciliation.


SFTP Report Mailbox
RPT00000.RST.DDPS_P2P_PARTD_RC

CMS TIBCO MFT Mailbox Listing
RPT.DDPS_P2P_PARTD_RECON.ssssss

Reconciliation Reports

Reconciliation Reports

Payment Reconciliation System (PRS) Reports



PRS generates management reports

PART D POTENTIAL EXCLUSION WARNING REPORT

The Payment Reconciliation System (PRS) generates management reports after CMS completes the calculations for an annual Part D payment reconciliation. However, before CMS completes the calculations, the Part D Potential Exclusion Warning Report is distributed to plans.

Select the button to learn more.

Plan-to-Plan Reports

P2P PDE ACCOUNTING REPORT ✓

P2P PART D PAYMENT RECONCILIATION REPORT ✓

P2P RECEIVABLE REPORT ✓

P2P PAYABLE REPORT ✓

P2P PHASE 3 RETURN FILE

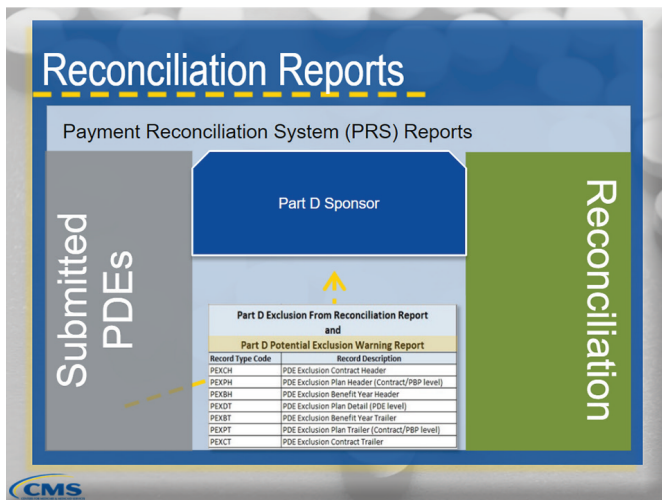
P2P Payable Report

Report Description
This monthly report serves as the "invoice" to the Contract of Record, which shows how much is payable to each Submitting Contract.

SFTP Report Mailbox
RPT00000.RST.DDPS_P2P_PAYABLE

CMS TIBCO MFT Mailbox Listing
RPT.DDPS_P2P_PAYABLE.ssssss

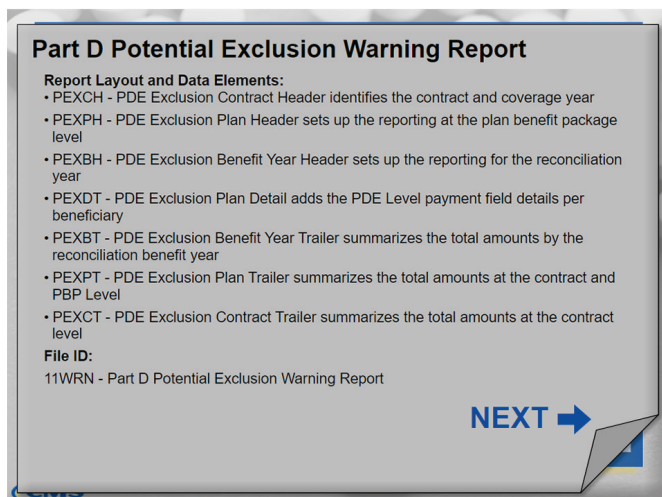
Part D Potential Exclusion Warning Report



Prior to excluding any accepted PDE data from a reconciliation, CMS will distribute the Part D Potential Exclusion Warning Report to provide Part D sponsors with the opportunity to address any PDEs before they are potentially excluded from the reconciliation or reopening process. This is sent out prior to the reconciliation process.

Select the button to view the report layout and data elements.

Report Layout and Data Elements



Here is the file layout and data elements for the Part D Potential Exclusion Warning Report.

The Header and Trailer Records contain a File ID field that indicates whether the report is the Part D Potential Exclusion Warning Report or the Part D

Exclusion from Reconciliation Report.

Select the Next button to learn about other reports distributed by PRS.

Reconciliation Reports (continued)



Plans receive the Part D Exclusion from Reconciliation Report, the PRS Inputs Report to Plans, and the PRS Reconciliation Results Report to Plans.

The Part D Exclusion from Reconciliation Report Details information about any PDEs withheld from the reconciliation or reopening process.

The PRS Inputs Report to Plans and the PRS Reconciliation Results Report to Plans provide information on the beneficiary and plan level inputs and the results of the three-Part D payment reconciliations - Low-Income Cost-Sharing Subsidy, reinsurance, and risk-sharing.

Select each report to learn more.

Part D Exclusion from Reconciliation Report

Reconciliation Reports

Payment Reconciliation System (PRS) Reports

Part D Exclusion from Reconciliation Report

- Contains information on any PDEs that will be withheld from the reconciliation or reopening process
- Distributed with the Part D Payment Reconciliation Reports

PEXPH	PDE Exclusion Plan Header (Contract/PBP level)
PEXBH	PDE Exclusion Benefit Year Header
PEXDT	PDE Exclusion Plan Detail (PDE level)
PEXBT	PDE Exclusion Benefit Year Trailer
PEXPT	PDE Exclusion Plan Trailer
PEXCT	PDE Exclusion Contract Trailer

REPORT LAYOUT AND DATA ELEMENTS

CMS

All plans active during the reconciliation benefit year receive the Part D Exclusion from Reconciliation Report.

This report contains information on any PDEs that will be withheld from the reconciliation or reopening process and is distributed with the Part D Payment Reconciliation Reports.

Select the button to view the report layout and data elements.

Report Layout and Data Elements

Part D Exclusion from Reconciliation Report

Report Layout and Data Elements
The report contains the following records:

- PEXCH - PDE Exclusion Contract Header identifies the contract and coverage year
- PEXPH - PDE Exclusion Plan Header sets up the reporting at the plan benefit package level
- PEXBH - PDE Exclusion Benefit Year Header sets up the reporting for the reconciliation year
- PEXDT - PDE Exclusion Plan Detail adds the PDE level payment field details per beneficiary
- PEXBT - PDE Exclusion Benefit Year Trailer summarizes the total amounts by the reconciliation benefit year
- PEXPT - PDE Exclusion Plan Trailer summarizes the total amounts at the contract and PBP level
- PEXCT - PDE Exclusion Contract Trailer summarizes the total amounts at the contract level

File ID:
11EXC - Part D Exclusion from Reconciliation Report

RETURN

CMS

Here is the file layout and data elements for the Part D Exclusion from Reconciliation Report.

The Header and Trailer Records contain a File ID field that indicates whether the report is the Part D Potential Exclusion Warning Report or the Part D Exclusion from Reconciliation Report.

PRS Inputs Report to Plans

Reconciliation Reports

Payment Reconciliation System (PRS) Reports

PRS Inputs Report to Plans

- Inputs received from Medicare Advantage Prescription Drug User Interface (MARx UI) and DDPS
 - Prospective payments
 - Actual payments
- Allows plans to validate the beneficiary-level inputs received from MARx and DDPS

Beneficiary

REPORT LAYOUT AND DATA ELEMENTS

CMS

The PRS Inputs Report to Plans provides plans the beneficiary-level inputs received from Medicare Advantage Prescription Drug User Interface (MARx UI) and DDPS. These inputs provide data on the prospective payments and the actual payments made on behalf of a beneficiary. The PRS Inputs Report to Plans allows plans to validate the beneficiary-level inputs received from MARx and DDPS that will be used in their Part D payment reconciliation.

Select the button to view the report layout and data elements.

Report Layout and Data Elements

PRS Inputs Report to Plans

Report Layout and Data Elements

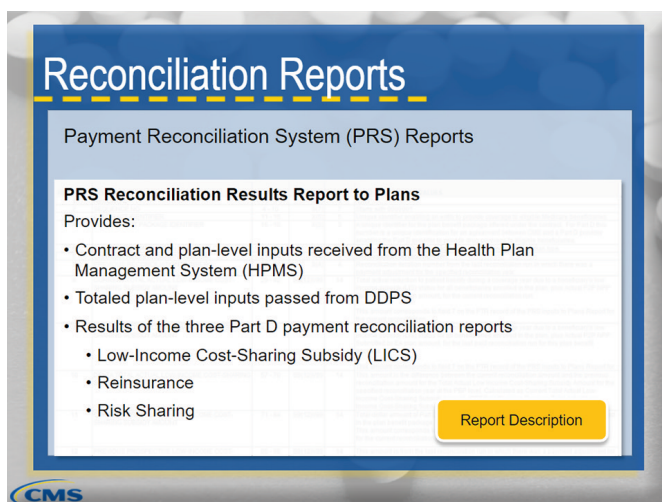
- CHD - The Contract Header Record identifies the contract, coverage year, for which a specific payment reconciliation is conducted.
- PHD - The Plan Header Record sets up cumulative reporting at the plan level.
- DET - The Detail Record provides the beneficiary and plan level reporting and establishes the basic format for the rest of the file. Beneficiaries are identified by their most current Medicare Beneficiary Identifier (MBI) as reported on the DDPS management files (may occur one or more times per PHD Record).
- PTR - The Plan Trailer Record has the same basic layout as the DET Record. However, in place of the beneficiary ID, there is a contract number and a PBP ID. This record will sum all of the amounts in each of the DET Records for the contract and PBP.
- CTR - Contract Trailer Record

RETURN

CMS

The layout of the PRS Inputs Report to Plans follows a similar file structure as the DDPS management reports that plans already receive.

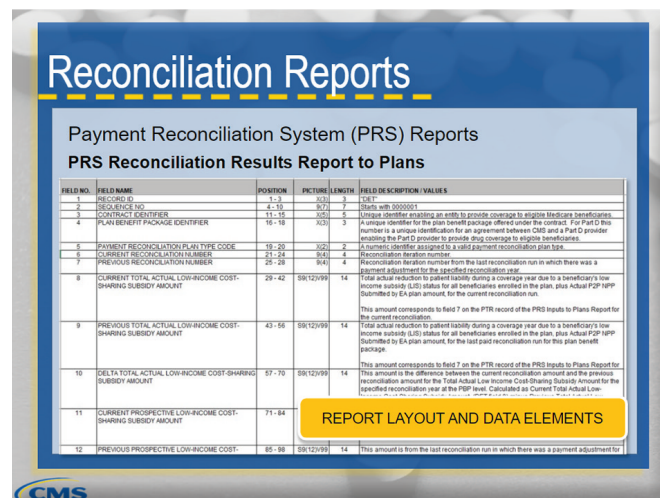
PRS Reconciliation Results Report to Plans



The PRS Reconciliation Results Report to Plans provides the contract and plan-level inputs received from the Health Plan Management System (HPMS), the totalled plan-level inputs passed from the DDPS, and the results of the three Part D payment reconciliation reports: Low Income Cost Sharing Subsidy (LICS), reinsurance, and risk sharing. The PRS Reconciliation Results Report to Plans is meant to provide plans with all the inputs that plans would need to understand how their Part D payment reconciliation is calculated, in addition to the results of the Part D payment reconciliations and the final reconciliation adjustment amount.

Select the button to hear a description of the report.

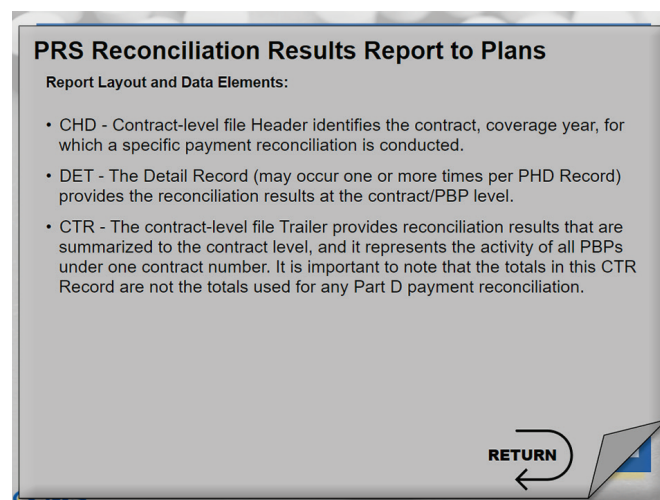
Report Description



Certain fields from the Inputs Report to Plans are carried through to the Reconciliation Results Report to Plans.

Select the button to view the PRS Reconciliation Results Report to Plans layout and data elements.

Report Layout and Data Elements



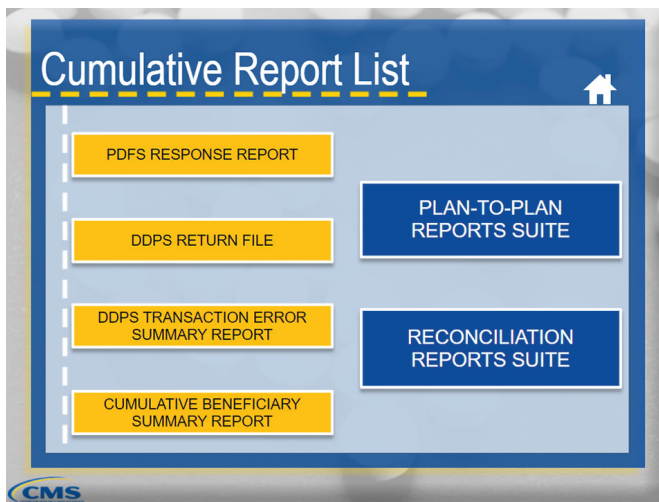
The PRS Reconciliation Results Report to Plans file layout is similar to that of the PRS Inputs Report to plans, but there are key differences.

- In the Results Report to plans, there are no beneficiary records.

The DET record provides the reconciliation results at the contract/PBP level.

Select the HOME icon to continue exploring.

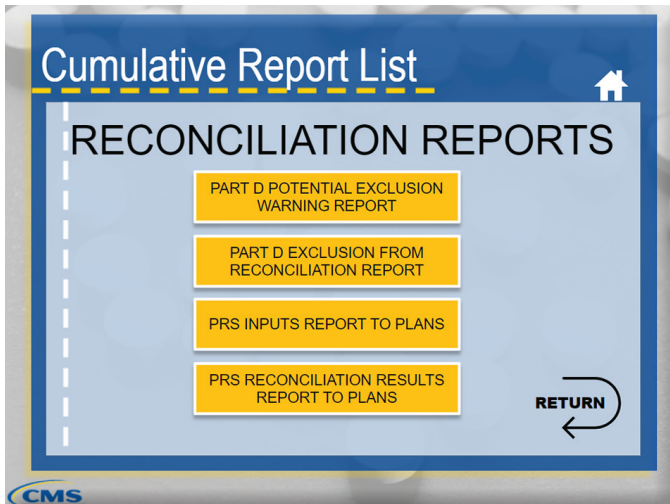
Cumulative Report List



This section lists all the reports associated with PDE submissions and processing reviewed in this training.

Select each report to learn more.

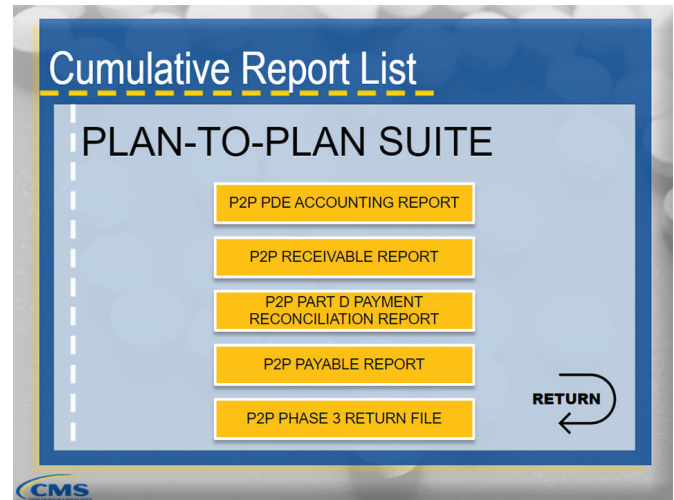
Reconciliation Reports Suite



Here are all the Reconciliation Reports produced during the PDFS process.

Select each report to learn more.

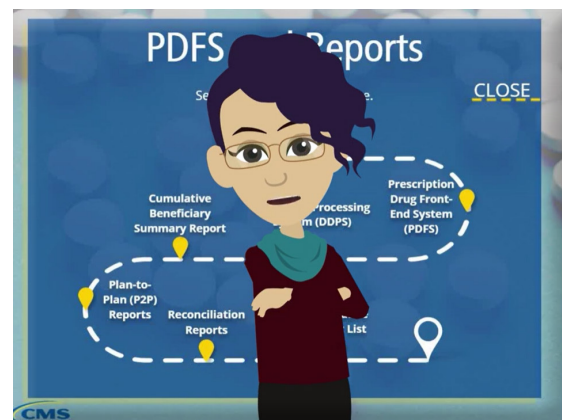
Plan-to-Plan Reports Suite



CMS uses reports to communicate whether there is a Plan-to-Plan situation and identifies who the Submitting Contract and the Contract of Record are for the purpose of financial settlement between the entities.

Select each button to learn more about Plan-to-Plan reports.

Conclusion



Thank you for viewing the Prescription Drug Front-End System Computer-Based Training. At any time, you can continue to explore the PDFS process and associated reports. When you are ready, select the close button to exit the course.

We would love to receive comments or suggestions from you regarding this computer-based training. Please email us at pdejan2011@cms.hhs.gov and reference the PDFS Submission and Reports CBT.