

DEPARTMENT OF HEALTH & HUMAN SERVICES  
Centers for Medicare & Medicaid Services  
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Baltimore, Maryland 21244-1850



**CENTER FOR MEDICARE**

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**Date:** April 11, 2014

**To:** All Medicare Advantage Organizations

**From:** Cheri Rice, Director  
Medicare Plan Payment Group

**Subject: Incoming File from CMS: beneficiary-level file to support 2015 Part C bids**

CMS has pushed out to all Medicare Advantage Organizations a beneficiary level file that your actuaries will be using to develop 2015 Part C bids. This memo is to inform you that there may be potential action that is needed for you to accept this new file. Please also note that we posted contract-PBP level risk score data in HPMS.

The file name will be constructed as follows:

GENTRAN: P.Rxxxxx.PRTC2015.Dyymmdd.Thhmsst.pn  
C:D mainframe: zzzzzzzz.Rxxxxx.PRTC2015.Dyymmdd.Thhmsst  
C:D non-mainframe: [directory]Rxxxxx.PRTC2015.Dyymmdd.Thhmsst

**KEY**

xxxxx = 5 character plan contract #

yymmdd = two digit year, month, day

hhmsst = hour/minute/second/tenths of second

pn = process number

zzzzzzzz = Plan-provided high level qualifier, default is EFTO for production; EFTT for test

[directory] = optional directory specified from non-mainframe C:D clients, default is EFTO. for production; EFTT. for test

If you have any questions regarding the retrieval of this file, please contact the MAPD Help Desk via email at [MAPDHELP@cms.hhs.gov](mailto:MAPDHELP@cms.hhs.gov) or via phone at 1-800-927-8069. If you have questions about the content of the file, please email the CMS Risk Adjustment mailbox at [RiskAdjustment@cms.hhs.gov](mailto:RiskAdjustment@cms.hhs.gov) and specify "Payment Year 2015 Risk Scores for Bidding" in the subject line.

Below is the file layout with technical notes.

## Tech Notes –

Please note the following:

1. The 2013 Part C risk scores were calculated using two CMS-HCC risk adjustment models: the model that was used in 2013 payment, and which will be used to calculate part of the 2015 blended risk score, and the model that was implemented for 2014 payment, which will be used to calculate the other part of the 2015 blended risk score. The relative factors of the risk adjustment model used for 2013 are published in the 2013 *Rate Announcement*, published on April 2, 2012, and the coefficients of the 2014 CMS-HCC risk adjustment model are published in the 2014 *Rate Announcement*, published on April 1, 2013.

Rate Announcements can be found at: <https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Announcements-and-Documents.html>.

2. The file includes all beneficiaries who were enrolled in your contract for at least one month in 2013, including beneficiaries with Part A only or Part B only.
3. The risk scores are not normalized and do not have an MA coding adjustment factor applied. Instructions for how to appropriately incorporate the normalization factor and the MA coding adjustment factor will be included in the *2015 Bid Instructions*. The 2015 Part C normalization factors are:
  - a. 2013 model: 0.992
  - b. 2014 model: 0.978
4. Please note that the 2013 risk scores provided that are calculated using the 2014 model (which will be used to calculate part of the 2015 blended scores) may not be complete, depending on whether your plan filters for model diagnoses when submitting RAPS data. Diagnoses from FFS are complete, and we used all MA diagnoses submitted by Medicare Advantage Organizations (MAOs). If your MAO does **not** filter diagnoses for model diagnoses when you submit RAPS data, then your risk scores calculated using the 2014 CMS-HCC model may be complete. However, if your MAO does filter diagnoses when you submit your RAPS data, then your risk scores are not complete. Below we provide “missing data” adjustment factors to help you develop the 2014 model risk score that will be blended with the 2013 model risk score to calculate your PY 2015 risk score. These “missing data” adjustment factors were derived from FFS data, and are offered to plans only to assist them in determining how to adjust the risk scores under the 2014 model for PY 2015. The actual adjustment will depend on where your 2013 enrollees were enrolled in 2012 (one of your MAO’s plans, FFS, or a plan with another MAO).
  - a. Missing data adjustment if the score is calculated using diagnoses mapping to the 2013 model: 1.036
  - b. Missing data adjustment if the score is calculated using diagnoses mapping to the 2013 CMS-HCC model *and* to the 2013 RxHCC model: 1.015

5. The estimated 2013 risk score takes into account retroactive (1) enrollment and disenrollment, (2) long term institutional status, and (3) Medicaid status that have occurred since the 2013 payments were initially made. The diagnosis data used for the risk score estimates are from calendar year 2012 dates of service (i.e., the data collection period) based on: 1) plan diagnosis data submitted through January 31, 2014 and 2) Medicare FFS diagnosis data through January 2014.
6. Final 2013 risk scores will use the same runout for plan-reported diagnoses; approximately one more month of FFS diagnostic runout; as well as any additional status changes that occur before the final risk score run (e.g., Medicaid, long term institutional, disability, ESRD).
7. C-SNPs – For 2015, CMS will again pay new enrollees in Chronic Condition SNPs with a different set of new enrollee risk scores. For 2015, all Medicare Advantage Organizations will receive beneficiary-level files that include C-SNP new enrollee scores. Plans with no C-SNP new enrollees can disregard the Part C SNP new enrollee risk scores for the 2013 and 2014 models that will be used for payment in 2015.

**File layout & data dictionary – Part C risk scores**

Field #	Field Name	Len	Pos	Description	Explanation
1	CAN/BIC	12	1-12	Beneficiary ID	A beneficiary is on the file as long as they were in the Part C contract for at least one month in 2013
2-13	Contract ID	5 X 12	13- 72	Contract ID. Array of 12 monthly fields.	Contract ID is populated for those months in the payment year for which the beneficiary was enrolled in the contract. For each month that this field is populated, the other applicable monthly fields are appropriately populated for the beneficiary. If this field is blank, then the beneficiary was not enrolled in the contract for the month in question.
14-25	Plan ID	3 X12	73- 108	Plan ID. Array of 12 monthly fields.	PBP in which the beneficiary is enrolled for the month.
26-37	Segment ID	3 X 12	109- 144	Segment ID. Array of 12 monthly fields.	Segment in which the beneficiary is enrolled for the month.
38-49	Medicaid status	2 X 12	145- 168	Medicaid status for the month. Array of 12 monthly fields.  Medicaid status codes are as follows:  01 = QMB-only 02 = Eligible is entitled to Medicare- QMB AND Medicaid coverage 03 = Eligible is entitled to Medicare- SLMB only	Medicaid status indicates status for each month in 2013; it is the status that is reflected in the risk score-related. The information in this field is intended to assist plans in developing the cost sharing in their Part C bids.

Field #	Field Name	Len	Pos	Description	Explanation
				04 = Eligible is entitled to Medicare- SLMB AND Medicaid coverage 05 = Eligible is entitled to Medicare- QDWI 06 = Eligible is entitled to Medicare- Qualifying individuals 08 = Full benefit dual eligible (non-SLMB, non-QMB) 09 = Other dual eligible without full Medicaid benefits, e.g., Pharmacy Plus and 1115 drug-only demonstrations 99 = Medicaid, but unknown status Blank = Not a dual eligible	
50	Part C community risk score, 2013 model	7.4	169-175	Beneficiary's 2013 community risk score, 2013 HCC model.	
51	Part C institutional risk score, 2013 model	7.4	176-182	Beneficiary's 2013 institutional risk score, 2013 HCC model.	
52	Part C new enrollee risk score, 2013 model	7.4	183-189	Beneficiary's 2013 new enrollee risk score, 2013 HCC model.	
53	Part C SNP new enrollee risk score, 2013 model	7.4	190-196	Beneficiary's 2013 C-SNP new enrollee risk score, 2013 HCC model.	
54	Part C community risk score, 2014 model	7.4	197-203	Beneficiary's 2013 community risk score, 2014 HCC model.	
55	Part C institutional risk score, 2014 model	7.4	204-210	Beneficiary's 2013 institutional risk score, 2014 HCC model.	
56	Part C new enrollee risk score, 2014 model	7.4	211-217	Beneficiary's 2013 new enrollee risk score, 2014 HCC model.	
57	Part C SNP new enrollee risk score, 2014 model	7.4	218-224	Beneficiary's 2013 C-SNP new enrollee risk score, 2014 HCC model.	
58-69	Part C Beneficiary status	1 X 12	225-236	Array of 12 monthly flags.  Part C Beneficiary status codes are as follows:	Part C beneficiary status indicates which risk scores was used in the respective month. Beneficiary status is coded in the hierarchy as listed

Field #	Field Name	Len	Pos	Description	Explanation
				1 = ESRD 2 = Hospice 3 = New enrollee 4 = Institutional 5 = Community	here. ESRD risk score is not provided for those months when the beneficiary is ESRD, since plans do not bid on ESRD months. A separate file with ESRD risk scores will be provided for ESRD SNPs.