



Centers for Medicare & Medicaid Services
CMS eXpedited Life Cycle (XLC)

HEDIS®

2017 Patient-Level Data File Submission Instructions (2016 Measurement Year)

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1. General Information

1.1 Introduction

This document provides Medicare Advantage Organizations (MAOs) with instructions for the annual submission of Healthcare Effectiveness Data and Information Set (HEDIS®)¹ patient-level quality of care measures to the Centers for Medicare & Medicaid Services (CMS).

CMS requires Medicare Managed Care Organizations to report HEDIS 2017 data for measurement year 2016 and to provide the patient-level data used to calculate the summary data for each submission. Patient-Level Data files should be submitted between **May 30, 2017 and no later than midnight on June 15, 2017** in-order to meet CMS requirements.

This document provides instructions for reporting the two patient-level data files that are required to be submitted. The format and validation rules for the fixed width text files submitted with the patient-level results are given in the following two documents:

1. 2017 HEDIS Patient-Level Data File Specifications File 1 of 2 Files
2. 2017 HEDIS Patient-Level Data File Specifications File 2 of 2 Files.

Patient-Level data files must be submitted by you or your third-party vendor following the instructions in the section titled “Submitting Patient-Level Data Files.”

1.2 Why CMS Collects Patient-Level Data

Patient-Level data, with patient-level identifiers for the numerator and denominator of each measure, allows CMS to match HEDIS® data to other patient-level data from CMS enrollment systems. CMS uses the Health Insurance Claim Numbers known as HICNs for the patient-level identifiers. This patient-level data source has become increasingly important in recent years as CMS uses these data to examine the impact of socio-economic status (SES) and disability status on the HEDIS measures. The patient-level data with HICNs are necessary for determining the Categorical Adjustment Index (CAI) values for the Part C Star Ratings. The patient-level data with the HICNs are also used in analyses to assess whether certain groups (e.g., ethnic, racial, gender, geographic) receive fewer or more services than others.

1.3 Updates to HEDIS 2017 Technical Specifications

Review the HEDIS 2017 Technical Specifications (Volume 2) closely when performing measure calculations. Updates to the HEDIS 2017 specifications can be purchased from the NCQA store at URL: <http://store.ncqa.org/index.php/performance-measurement.html>.

1.4 Plan All-Cause Readmissions (PCR) Measure File

For the HEDIS 2017 Data Collection Period, the Plan All-Cause Readmissions (PCR) measure will be collected as a separate file and should be submitted in the same manner as File 1. File

¹ HEDIS® is a registered trademark of the National Committee for Quality Assurance (NCQA)

naming conventions and a file Detail record for the PCR measure file will be made available in a separate file specification document known as "2017 HEDIS Patient-Level File Specification File 2 of 2 Files (2016 Measurement Year)."

2. Submission Instructions

2.1 Patient-Level Data Submission Process Overview

Plans need to create patient-level data files conforming to the specifications in this document and upload files to CMS via CMS's Enterprise File Transfer (EFT) infrastructure using an existing Gentran, MFT Internet or Connect:Direct account. **It is imperative that each organization confirm their ability to use the CMS EFT infrastructure prior to attempting an upload.**

Alternately, plans may use a third-party vendor (e.g., Infocrossing) for data file submissions. In either case, Gentran, MFT Internet, or Connect:Direct is the approved method for patient-level data file submissions.

All files submitted are subjected to a two-tiered validation process. Tier 1 consists of validating the PLD file naming convention. Tier 2 consists of a character-level validation of the contents of the PLD file.

2.1.1 Tier 1

The CMS EFT validation system will verify that the file is named in accordance with the Gentran, MFT Internet, or Connect:Direct file naming conventions. Files that fail this initial check will not get processed at CMS nor sent to the Scope Infotech Team for data file validation processing. In those instances, the CMS EFT validation system will notify you via a failure email confirming that your file was NOT processed. If an email of this nature is received, you will need to correct any naming convention errors and resubmit the file.

All files that pass the Tier 1 verification confirming the correct naming convention will receive a success email.

2.1.2 Tier 2

Files that conform to the file naming convention will be further checked to ensure that they are in the correct format and file layout. Processes are run to ensure that the files conform to the validation rules described in this document.

When a patient-level file passes the Tier 2 validation requirements, two things happen:

1. The portal will be automatically updated with a "pass" status. See the section titled "Accessing the HEDIS Patient-Level Web Portal" for more information on the portal.
2. The portal system will automatically send the following pass email to the Patient-Level Data File Point-of-Contact (PLD POC) and/or their designee.

Figure 1: Sample Email to Communicate Success

*From: ma_patient_data@scopeinfotechinc.com
 [mailto:ma_patient_data@scopeinfotechinc.com]
 Sent: Wednesday, June 8, 2017 4:13 PM
 To: MA Plan Member POC
 Subject: HEDIS Submission P.HEDIS.Hxxxx.D543219.T2365487 Successful*

*Dear MA Plan Member Point of Contact,
 Congratulations! Your 2017 HEDIS Patient-Level Data (PLD) submission on Thursday, June 08, 2017 for file P.HEDIS.Hxxxx.D150615.T1557215 was successfully processed by the Scope Infotech Team without error. No further action is needed on your part regarding the aforementioned file.*

*Respectfully,
 HEDIS SUPPORT DESK Scope Infotech Team
 (p) 1-877-996-1333
 (f) 1-240-296-3961 ma_patient_data@scopeinfotechinc.com*

NOTE: To confirm your file has successfully reached the Scope Infotech Team for processing, the above referenced successful email communication must be received from the ma_patient_data@scopeinfotechinc.com email address. Notification of successful submissions received from other email addresses are not indicative of successful file submissions to the Scope Infotech Team.

When a patient-level file fails the Tier 2 validation requirements, three things happen:

1. The HEDIS Patient-Level Web Portal will be automatically updated with a “fail” status. Refer to the section titled “Accessing the HEDIS Patient-Level Web Portal” for more information on the portal.
2. The portal system will automatically send the following error email to the plan’s PLD POC and/or their designee.

Figure 2: Sample Email to Communicate Failure

*From: ma_patient_data@scopeinfotechinc.com
 Sent: Thursday, June 8, 2017 11:07 AM
 To: MA_patient_data
 Subject: HEDIS Submission P.HEDIS.Hxxxx.D456789.T7654321 Error*

Dear (MA Plan Member Point of Contact),

On Saturday, June 18, 2017, Scope Infotech Team processed file P.HEDIS.Hxxxx.D456789.T7654321 for your 2017 HEDIS Patient-Level Data (PLD) submission and discovered one or more errors. Attached is a detailed error report describing the discrepancies. Please correct these errors and resubmit your data file. If you have any questions, feel free to contact us via email or phone.

*Respectfully,
 HEDIS SUPPORT DESK Scope Infotech Team
 (p) 1-877-996-1333
ma_patient_data@scopeinfotechinc.com*

3. The portal system will automatically send an error report to the PLD POC or the designee.

The error report provides detailed information so that you can quickly and easily identify the specific areas in the file that failed validation processing. All errors must be resolved for Scope Infotech Team to successfully process the file; therefore, the file may be resubmitted as often as necessary until all errors have been resolved. For instructions on how to read error reports accurately, refer to the section titled “The Error Report Log.”

2.2 Accessing the HEDIS Patient-Level Web Portal

All plan participants have access to the HEDIS Patient-Level Web Portal home page; however, only authorized users can log in using this link <https://mapld.scopeinfotechinc.com>. The Web portal is intended for MA Plan and CMS personnel. It is not necessarily intended for use by MA Plan Third-Party Vendors or HEDIS Auditors, although the information available on the home page is accessible to them. From the home page, all plan participants can:

- Download project documentation
- View frequently asked questions (FAQs)
- Request a forgotten password
- Log in to the Web portal

Login accounts are created by the Scope Infotech Team and provided to each organization’s HEDIS PLD POC. For our purposes, the HEDIS PLD POC is the primary person responsible for the submission of an organization’s patient-level data files to CMS. Historically, this person has been the organization’s Quality Contact, as identified in the CMS HPMS system. This information will be furnished to the Scope Infotech Team by CMS and the Scope Infotech Team will use this identifier to send initial instructions. This contact can be updated later.

An email will be sent containing the following instructions for logging on to the Scope Infotech Team server along with the Project Documents.

Navigate to the Scope Infotech Team system’s first time user page at <https://mapld.scopeinfotechinc.com/firsttime/>. The web page will prompt you for your email address. When you have entered your email address and pressed the “Generate Password” button, the system will create a temporary password that will be sent to you at your email address.

Navigate to the Scope Infotech Team system at <https://mapld.scopeinfotechinc.com> and click the “Sign In” button. Use your email address as your User ID and the temporary password you received from ma_patient_data@scopeinfotechinc.com to complete the log in process. Once you have logged on, you will be required to change your password. If you forget your password at any time, you may request it from the Data Technical Support Desk at:

Email: ma_patient_data@scopeinfotechinc.com

Phone: 877-996-1333

Hours of Operation:

April 3 – May 5: M-F 9:00 a.m. to 5:00 p.m. EDT

May 30 – June 15: M-F 8:00 a.m. to 6:30 p.m. EDT

2.3 Patient-Level Web Portal User Management

Plans will use the web portal to manage their users and contact information. The POCs can add alternate points of contact and designate levels of access. This allows the HEDIS PLD POC to distribute that information to other individuals of their choosing. The HEDIS PLD POC can:

- Grant portal access to specific individuals (i.e., create and manage login accounts).
- Assign individuals to specific CMS contract numbers for viewing "pass/fail" status and receiving "pass/fail" emails or error log information for those contracts.
- Assign/un-assign a backup HEDIS PLD POC, which allows that individual to act as the primary HEDIS PLD POC.

Detailed instructions for the above functionality will be available on the portal in April 2017.

CMS and the Scope Infotech Team strongly recommend that the HEDIS PLD POC set up at least one additional user with access to the portal. If the person assigned as the HEDIS PLD POC changes during the submission cycle it is the MA organization's responsibility to contact the Scope Infotech Team immediately. Contact information is provided in section 2.2.

2.4 Checking the Status of Submitted Patient-Level Data Files

To obtain the status of Patient-Level Data Files processed by the Scope Infotech Team, check the "pass/fail" status on the HEDIS Patient-Level Web Portal at URL <https://mapld.scopeinfotechinc.com>. You must have a valid user ID and password to access the site. When logged in, the system will automatically display the status of your data files.

After a file is submitted to CMS, note that it may take up to two business days for the Scope Infotech Team to receive the data file from CMS, process the file, and post the "pass/fail" results to the portal. Therefore, DO NOT contact the help desk during that two-day period regarding data file status. You may; however, check the status of your file at any time by logging into the web portal. If the file is marked as not received, this does not mean that the submission failed, it simply indicates the file has not yet been processed.

2.5 Accessing Project Documentation

Copies of the "2017 Patient-Level Data File Specifications" and this document can be obtained:

1. By accessing the HEDIS Patient-Level Web Portal at <https://mapld.scopeinfotechinc.com>. Links to project documentation are available from the home page; therefore, you are not required to login to access documentation.
2. On the CMS.gov website at the bottom of this page: <https://www.cms.gov/Research-Statistics-Data-and-Systems/Statistics-Trends-and-Reports/MCRAdvPartDENrolData/index.html>.

2.6 Getting Help

If you are experiencing difficulties accessing the CMS Health Plan Management System (HPMS), submit requests and questions to the following email address: hpms_access@cms.hhs.gov.

To sign up for Gentran, MFT Internet, or Connect:Direct or if you are experiencing difficulties accessing these systems, contact the MMA Help Desk at:

Phone: 1-800-927-8069

Email: mmahelp@cms.hhs.gov

IACS Application: *Awaiting information from CMS EFT team*

Hours of Operation: M-F 6:00 a.m. to 9:00 p.m. EDT

If you are experiencing difficulties accessing the HEDIS Patient-Level Web Portal, need assistance troubleshooting problems with your data file, or have other problems of a technical nature, contact the Patient-Level Technical Support Desk/Help Desk at:

Phone: 1-877-996-1333

Email: ma_patient_data@scopeinfotechinc.com

Hours of Operation: M-F 8:00 AM to 6:30 PM EDT

2.7 Submitting Patient-Level Data Files

MA plans should upload their Patient-Level Data files **(between May 30, 2017 and no later than midnight EDT June 15, 2017)** to CMS via the current connectivity configuration method used to transmit enrollment and Part D 4Rx data. Currently this includes CMS's Enterprise File Transfer (EFT) infrastructure, Gentran, MFT Internet, Connect:Direct, or through an authorized Third-Party Vendor.

On rare occasions, MA Plans may submit patient-level data files by mail on DVD/CD-ROM following these procedures:

1. Contact the Patient-Level Technical Support Desk/Help Desk to obtain authorization to submit patient-level data file(s) via DVD/CD-ROM. Please DO NOT send in files on DVD/CD-ROM without explicit authorization. Patient-Level Technical Support Desk/Help Desk Contact Information:
Phone: 1-877-996-1333
Email: ma_patient_data@scopeinfotechinc.com
Internet: <https://mapld.scopeinfotechinc.com>
Hours of Operation: M-F 8:00 a.m. to 6:30 p.m. EDT
2. When written, authorization is received via email, encrypt the files on DVD/CD-ROM using the following encrypting software: WINZIP
3. Mail the encrypted and strongly password-protected zipped files directly to Scope Infotech, Inc. (the Scope Infotech Team) at the following address:
Scope Infotech Inc.
ATTN: HEDIS Support Team
10420 Little Patuxent Pkwy #550
Columbia, MD 21044
4. Send encryption key and password to ma_patient_data@scopeinfotechinc.com in a separate email communication.

Files submitted on DVD/CD-ROM must still be named in accordance with the Gentran, MFT Internet or Connect:Direct file naming convention described in section "File Naming Conventions". Files incorrectly named will not be processed.

Files sent directly to the Scope Infotech Team on DVD/CD-ROM are copied to a secure file server for data file validation processing. The DVD/CD-ROM media will not be returned and will be destroyed after use. The Scope Infotech Team maintains a verifiable audit trail log that tracks DVD/CD-ROM status from receipt through destruction.

2.8 Submitting Test Data Files

Beginning April 3, 2017 through May 5, 2017, plans or their third-party vendors may submit test data files to CMS via Gentran, MFT Internet or Connect:Direct for validation processing by the Scope Infotech Team. This testing verifies your Gentran, MFT Internet or Connect:Direct

connection and finds programming or logic errors before the official (production) submission period. Therefore, plans DO NOT have to submit a complete data set during the test period.

The testing period ends May 5, 2017. No test data files will be accepted or processed by the Scope Infotech Team after that date. CMS strongly urges all participating Plans to submit at least one test file. Files submitted during the testing period will be processed exactly as they will be during the production period. Refer to section titled "Patient-Level Data Submission Process Overview" for more information on how files are processed (and in particular, what happens when a file fails the validation process).

Files must conform to the CMS naming conventions to be processed. Refer to section titled "File Naming Conventions" for more information on this topic, the method for naming test data files. Test data files not named in accordance to these instructions will not be processed.

2.9 Submitting Production Data Files

The production submission period starts May 30, 2017 and ends midnight of June 15, 2017 at midnight EDT. Files submitted during the production period will be processed as described in section Patient-Level Data Submission Process Overview. No files will be accepted or processed by the Scope Infotech Team after this time.

2.10 File Naming Conventions

Name the file per the following CMS policies and procedures:

Note: file name variables are shown in lowercase, italic letters (e.g. "*guid*"); all other file name components should be coded exactly as shown below.

2.10.1 GENTRAN/MFT INTERNET SERVER FILES

2.10.1.1 Gentran/MFT Internet Server File Name for File 1

guid.NONE.HEDIS.Y.ccccc.FUTURE.s-

Applies to File 1 only

Table 1: Gentran/MFT Internet Server File Name Key for File 1

File Name Component	Key
<i>guid</i> .	IACS Global User ID (7 Characters) OR System ID
NONE.HEDIS.Y.	Should be coded exactly as shown
cccc.	The contract number
FUTURE.	Should be coded exactly as shown
s	Enter a "P" or "T", where "P" is for actual submissions

Actual Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.Hxxxx.FUTURE.P

Test Submission Name Example for File 1 using IACS Global User ID:
UHCDDMV.NONE.HEDIS.Y.Hxxxx.FUTURE.T

Actual Submission Name Example for File 1 using System ID:
AAAAAAA.NONE.HEDIS.Y.Hxxxx.FUTURE.P

NOTE: "AAAAAAA" = System ID

Test Submission Name Example for File 1 using System ID:
 AAAAAAA.NONE.HEDIS.Y.Hxxxx.FUTURE.T

NOTE: "AAAAAAA" = System ID

2.10.1.2 Gentran/MFT INTERNET File Name for File 2

guid.NONE.HEDIS.Y.*cccc*.PCR.*s*

Applies to File 2 only

Table 2: Gentran/MFT Internet File Name Key for File 2

File Name Component	Key
<i>guid</i> .	IACS Global User ID (7 Characters) OR System ID
NONE.HEDIS.Y.	Should be coded exactly as shown
<i>cccc</i> .	The contract number
PCR.	Should be coded exactly as shown
<i>s</i>	Enter a "P" or "T", where "P" is for actual submissions

Actual Submission Name Example for File 2 using IACS Global User ID:
 UHCDDMV.NONE.HEDIS.Y.Hxxxx.PCR.P

Test Submission Name Example for File 2 using IACS Global User ID:
 UHCDDMV.NONE.HEDIS.Y.Hxxxx.PCR.T

Actual Submission Name Example for File 2 using System ID:
 AAAAAAA.NONE.HEDIS.Y.Hxxxx.PCR.P

NOTE: "AAAAAAA" = System ID

Actual Submission Name Example for File 2 using System ID:
 AAAAAAA.NONE.HEDIS.Y.Hxxxx.PCR.T

NOTE: "AAAAAAA" = System ID

2.10.2 CONNECT:DIRECT

2.10.2.1 Connect:Direct File Name for File 1

s#EFT.ON.HEDIS.*cccc*.DYYMMDD.THHMSST

Applies to File 1 only

Table 3: Connect:Direct File Name Key for File 1

File Name Component	Key
<i>s</i>	Enter a "P" or "T", where "P" is for actual and "T" is for test submissions
#EFT.ON.HEDIS.	Should be coded exactly as shown
<i>cccc</i> .	The contract number
DYYMMDD.THHMSST	Literal code exactly as shown

Actual Submission Name Example for File 1:
 P#EFT.ON.HEDIS.Hxxxx.DYYMMDD.THHMSST

2.10.2.2 Connect:Direct File Name for File 2

s#EFT.ON.HEDIS.*cccc*.PCR.DYYMMDD.THHMSST

Applies to File 2 only

Table 4: Connect:Direct File Name Key for File 2

File Name Component	Key
s	Enter a "P" or "T", where "P" is for actual submissions and "T" is for test submissions
#EFT.ON.HEDIS.	Should be coded exactly as shown
CCCCC.	The contract number
PCR.DYMMDD.THHMMSST	Literal code exactly as shown

Actual Submission Name Example for File 2:

P#EFT.ON.HEDIS.Hxxxx.PCR.DYMMDD.THHMMSST

Test Submission Name Example:

T#EFT.ON.HEDIS.Hxxxx.PCR.DYMMDD.THHMMSST

2.11 Validation of Patient-Level Data Files

The Scope Infotech Team uses an automated tool to perform validation checks on all test and production patient-level data files received. This check ensures that the structure and contents of a data file follow the specifications in the “2017 Patient-Level Data File Specifications” documents. Data files that do not comply with the data specification will be rejected automatically with a “Fail” email and error log sent to the designated HEDIS PLD POC or designee. See the section titled “The Error Report Log” for information on the types of validations performed and the details of the error log.

The Scope Infotech Team will coordinate with the HEDIS PLD POC or designee to resolve data file validation problems and errors. MA Plans may have to submit their data files multiple times to resolve all validation errors. For questions regarding data file validation errors, MA Plans may contact the Patient-Level Technical Support Desk/Help Desk at:

Phone: 1-877-996-1333

Email: ma_patient_data@scopeinfotechinc.com

Internet: <https://mapld.scopeinfotechinc.com>

Hours of Operation: M-F 8:00 a.m. to 6:30 p.m. EDT

2.12 File Validation Rules

Each record in the data set will be validated with these validation rules:

- Each row in the HEDIS 2017 Patient-Level Data File 1 of 2 will be validated to ensure that it is exactly 878 characters long.
- Each row in the HEDIS 2017 PCR Patient-Level Data File 2 of 2 will be validated to ensure that it is exactly 173 characters long.
- Numeric values (e.g., member months, denominators, and numerators) must be right-justified and **blank filled to the left of the value**.
- Text fields (e.g., “Organization Name” in the Header record and “HICN” in the Detail records) must be left-justified and **blank filled to the right of the value**.

2.13 The Error Report Log

If a submitted data file fails the validation checks, an error email message is sent to the HEDIS PLD POC and their designees. That email will have an error report log attached.

Figure 3: Sample Error Report

File: P.HEDIS.Hxxxx.D150603.T1500057 has 11 error(s) Row [2] has [10] column(s) with errors
Column [96] [Denominator for Adult BMI Assessment (ABA)]
Column [98] [Denominator Colorectal Cancer Screening (COL)]
Column [99] [Numerator Colorectal Cancer Screening (COL)]
Column [102] [Denominator for Osteoporosis Management in Women Who Had a Fracture (OMW)]
Column [104] [Denominator for Controlling High Blood Pressure (CBP)]
Column [106] [Denominator for Persistence of Beta-Blocker Treatment After a Heart Attack (PBH)]
Column [107] [Numerator for Persistence of Beta-Blocker Treatment After a Heart Attack (PBH)]
Column [110] [Denominator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [111] [Numerator 2 for Comprehensive Diabetes Care (CDC): HbA1c Poor Control >9%]
Column [115] [Numerator 4 for Comprehensive Diabetes Care (CDC): Eye exam (retinal) performed]

Row [3] has [1] column(s) with errors Column [90-92] [Plan ID Number]

The error report log shows the errors in the HEDIS data submitted by the MA Plan Members. The Error Report details errors by **Row** and **Column**.

The log above indicates that **Row** 2 has 10 **Columns** with errors. Identified columns in the range from 96 – 115 have errors with the **Numerator** and **Denominator** of particular measures.

Table 5: Error Report Log

Term	Definition
File	P.HEDIS.Hxxxx.D150603.....
Row	Rows are arranged horizontally, from left to right.
Column	Columns run vertically from top to bottom.

Table 6: Most Common Errors

Error Message/Type	Root Cause	Resolution
"Row data does not contain correct number of bytes."	The row size went beyond the specified limit listed in the data specification.	Blank spaces beyond the specified limit must be removed. Do not add blank spaces between rows.
"Contract numbers in file name and header do not match for file name error, processing will stop for this file." "Invalid contract number in header for file name, termination error, processing will stop for this file."	The contract number in the file name is not the same as the contract number in the header of the file.	Verify that the contract numbers are the same on the file name as the header row within the file.
"SNP Enrollee Type"	Values received are outside of the range specified in the data specifications document.	Enter a: <ul style="list-style-type: none"> • "0" if this member is NOT enrolled in an SNP plan benefit package • "1" if this member is enrolled in a DUAL ELIGIBLE SNP benefit package • "2" if this member is enrolled in an INSTITUTIONAL SNP benefit package • "3" if this member is enrolled in a CHRONIC CONDITION SNP benefit package

Appendix A: Record of Changes

Table 7: Record of Changes

Version Number	Date	Author/Owner	Description of Change
1.0	12/01/2016	Mohan Gowda	Update for 2017.

Appendix B: Approvals

The undersigned acknowledge that they have reviewed this document and agree with the information presented within this document. Changes to this document will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature:	_____	Date:	_____
Print Name:	Lori Teichman		
Title:	CMS Project Officer		
Role:	CMS Approver		

Signature:	_____	Date:	_____
Print Name:	Mary Braman		
Title:	NCQA Assistant Vice President		
Role:	Measure Validation		

Signature:	_____	Date:	_____
Print Name:	Brian Anderson		
Title:	Project Manager		
Role:	Scope Infotech Approver		