

DEPARTMENT OF HEALTH & HUMAN SERVICES
Centers for Medicare & Medicaid Services
7500 Security Boulevard
Baltimore, Maryland 21244-1850



MEDICARE ENROLLMENT & APPEALS GROUP

DATE: July 5, 2022

TO: All Medicare Advantage Organizations (MA), Prescription Drug Plan Sponsors (PDP), Cost Plans, Program of All-Inclusive Care for the Elderly (PACE), and Demonstration Organizations

FROM: Jerry Mulcahy
Director, Medicare Enrollment and Appeals Group
Center for Medicare

Cathy Carter
Director, Enterprise Systems Solutions Group
Office of Information Technology

SUBJECT: Model Individual Enrollment Request Form to Enroll in a Medicare Advantage Plan (MA) or a Medicare Prescription Drug Plan (Part D), and **Advance Announcement of January 2023 Software Release** - Addition of Race and Ethnicity Data Fields on Enrollment Transactions

The Centers for Medicare & Medicaid Services (CMS) implements software changes to the enrollment and payment systems that support Medicare Advantage Prescription Drug (MAPD) programs. The purpose of this memorandum is to announce the addition of race and ethnicity data fields on the model Individual Enrollment Request Form to enroll in an MA or Part D plan, OMB No. 0938-1378 and provide high level advance notification of the associated system changes scheduled for release in January 2023. These new fields are required to be included on the enrollment form; however, applicant response to these questions is optional. When provided by an applicant, MA and Part D plans will submit these data to CMS as part of the enrollment transaction. If a plan receives a rejected transaction reply code (TRC) 394 or informational TRC 396 (see attachment C), the plan must send a subsequent corrected transaction code (TC) 92 to rectify. CMS expects plans to submit the beneficiary response to the race and ethnicity field, including confirming if the beneficiary did not provide the optional data. Until all race and ethnicity data are accepted by CMS, including annotating that the beneficiary did not answer the question, the field is not considered complete.

CMS is committed to addressing health inequities and the underlying inequities within the health care system. To reduce disparities, we must begin with accurate data collection. We believe the collection of this data will meaningfully advance equity mandates by resulting in a more

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

granular– and better – understanding of the diversity of the Medicare population, including important differences in health and health care needs and experiences across race and ethnicity groups. Interventions, such as cultural competency training and the development of culturally sensitive educational materials, can be informed by this data, e.g. made more focused, while barriers that disproportionately affect certain racial ethnic subgroups, such as low educational attainment, a paucity of trust, and a lack of insurance, can be deracinated more efficiently. Having more granular level data for enrollees will allow for better understanding of these individuals’ needs and how care may be tailored to eliminate barriers to health and health care access, quality, and outcomes among the individuals CMS serves.

MA and Part D plans are expected to use the new form for enrollment requests received on or after January 1, 2023. The new form should be used for all enrollments after January 1, 2023. .

The enrollment form is considered a “model” for purposes of communication and marketing review and approval¹; therefore, MA and Part D plans are able to modify the language, content, format, or order of the enrollment form. The model form consists of the following (which has not changed from the current model except the inclusion of race and ethnicity categories) parts outlined below.

1. Cover Page

The cover page includes information to assist the enrollee in completing the enrollment form. Plans are not required to include this page with the enrollment form. Plans can modify as needed.

2. Model Enrollment Request Form

The model enrollment form includes the minimal amount of information needed to process the enrollment, which is located in Section 1 of the form, and other limited information, located in Section 2, that includes information that the MA and Part D plans are required to include on the form (i.e. race and ethnicity data, accessible format preference), as well as optional information the plan can include on the form (i.e. premium payment information). The optional questions include information specific to the plan’s business needs that serves to reduce overall burden and allow for timely processing of an enrollment request. All data elements in Section 2 are optional for the applicant to complete. Plan enrollment will not be affected if the applicant does not complete this additional information in Section 2.

The Model MA and Part D Enrollment Request Forms are available in the ‘Download’ section at the links below.

¹ The enrollment form is considered communications and must be approved by CMS based on the requirements outlined in 42 CFR 422.2261 and 423.2261. Plans must submit the enrollment form with any changes to CMS under the 45-day “review” period. If a document is submitted using the model without any changes to it, then it may be submitted via the 10-day “review” period.

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

- MA Individual Enrollment Request Form: <https://www.cms.gov/medicare/eligibility-and-enrollment/medicaremangcareeligenrol>
- Part D Individual Enrollment Request Form: <https://www.cms.gov/medicare/eligibility-and-enrollment/medicarepresdrugeligenrol>

Please direct questions regarding enrollment policy and the submission of enrollment forms first to your CMS Account Manager. If you need additional assistance, please submit your inquiry to the Division of Enrollment and Eligibility Policy mailbox at <https://enrollment.lmi.org>.

The software release will include the following:

New Fields for Medicare Advantage Prescription Drug System (MARx) Enrollment Transactions

Plans are encouraged to contact the MAPD Help Desk for any issues encountered during the systems update process. Please direct any questions or concerns to the MAPD Help Desk at 1-800-927-8069 or e-mail at mapdhelp@cms.hhs.gov.

New Fields for Medicare Advantage Prescription Drug System (MARx) Enrollment Transactions

The enrollment form will contain two new fields for race and ethnicity that will be included on the MARx New Enrollment Screen (M221), MARx Personal Information Screen (M259), and the MARx Update Personal Information Screen (M260), for enrollment processing. The fields are required to be included on the enrollment form; however, applicant response to these questions is optional. These fields must be included in the MARx enrollment transaction if the applicant includes this information on his or her enrollment request.

The updates associated with these system changes are as follows:

- Update to Transaction Code 61 Layout. ([Attachment A](#))
- Update to Transaction Code 92 Layout. ([Attachment B](#))
- Updated Transaction Reply Codes 394, 395, and 396. ([Attachment C](#))
- Updated Daily Transaction Reply Report Layout. ([Attachment D](#))
- Updated MARx Personal Information Screens. ([Attachment E](#))

Note: The length of the DTRR will not be impacted by these changes.

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Updated Transaction Code 61 used for Personal Information (Ethnicity and Race).

MARx Batch Input Detail – Enrollment Transaction – TC 61					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
27.	Race	16	103-118	When provided, values will be ‘Y’ for each of the Race choices that apply, otherwise the position will be blank. Note: The following four personal information fields must be valid and if any of the fields are invalid, all are ignored: <ul style="list-style-type: none"> • Ethnicity (field 27) NEW • Race (field 29) NEW • Preferred Language Other than English (field 31) • Accessible Format (field 32) 	For this field, there must be at least one Y - Yes
a.	White	1	103	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
b.	Black or African American	1	104	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
c.	American Indian or Alaska Native	1	105	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
d.	Asian Indian	1	106	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
e.	Chinese	1	107	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment A: Update to Transaction Code 61 Layout

MARx Batch Input Detail – Enrollment Transaction – TC 61					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
f.	Filipino	1	108	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
g.	Japanese	1	109	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
h.	Korean	1	110	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
i.	Vietnamese	1	111	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
j.	Other Asian	1	112	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
k.	Native Hawaiian	1	113	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
l.	Samoan	1	114	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
m.	Guamanian or Chamorro	1	115	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment A: Update to Transaction Code 61 Layout

MARx Batch Input Detail – Enrollment Transaction – TC 61					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
n.	Other Pacific Islander	1	116	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
o.	I choose not to answer	1	117	When provided, this indicates the applicant made a decision to respond to the race value with an ‘I choose not to answer’ response. MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
p.	Form left blank	1	118	When provided, this indicates the race value on the enrollment form was left blank. MARx will provide an informational TRC 396 if the race value provided is not valid. MARx will also provide an informational TRC 396 if a race value is not selected, the ‘I choose not to answer’ is not selected and this field does not contain a ‘Y’. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Required only if the applicant leaves the race value and the ‘I choose not to answer’ value blank.
28.	Filler	5	119-123	N/A	N/A
29.	Preferred Language other than English	1	124	MARx will provide the informational TRC 396 if the value provided is not valid. This represents the language preference other than English. Valid Values: <ul style="list-style-type: none"> • S – Spanish • O – Other • Blank (Space) <p>Note: Both of the following personal information fields must be valid. If either of the fields are invalid, both are ignored:</p> <ul style="list-style-type: none"> • Preferred Language Other than English (field 28) • Accessible Format (field 29) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

MARx Batch Input Detail – Enrollment Transaction – TC 61					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
30.	Accessible Format	1	125	MARx will provide an informational TRC 396 if the value provided is not valid. This represents an accessible format is chosen. Valid Values: <ul style="list-style-type: none"> • B – Braille • L – Large Print • A – Audio CD • Blank (Space) Note: Both of the following personal information fields must be valid. If either of the fields are invalid, both are ignored: <ul style="list-style-type: none"> • Preferred Language Other than English (field 28) • Accessible Format (field 29) 	Optional
31.	Ethnicity	7	126-132	When provided, values will be ‘Y’ for each of the ethnicity choices that apply, otherwise position will be blank. Note: The following four personal information fields must be valid and if any of the fields are invalid, all are ignored: <ul style="list-style-type: none"> • Ethnicity (field 32) NEW • Race (field 29) NEW • Preferred Language Other than English (field 31) • Accessible Format (field 32) 	For this field, there must be at least one Y - Yes
a.	Not of Hispanic, Latino/a or Spanish Origin	1	126	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
b.	Puerto Rican	1	127	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
c.	Another Hispanic, Latino or Spanish Origin	1	128	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment A: Update to Transaction Code 61 Layout

MARx Batch Input Detail – Enrollment Transaction – TC 61					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
d.	Mexican, Mexican American, Chicano/a	1	129	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
e.	Cuban	1	130	MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
f.	I choose not to answer	1	131	When provided, this indicates the applicant made a decision to respond to the ethnicity value with a ‘I choose not to answer’ response. MARx will provide an informational TRC 396 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
g.	Form left blank	1	132	When provided, this indicates that the ethnicity value on the enrollment form was left blank. MARx will provide an informational TRC 396 if the ethnicity value provided is not valid. MARx will also provide an informational TRC 396 if an ethnicity value is not selected, the ‘I choose not to answer’ is not selected and this field does not contain a ‘Y’. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Required only if the applicant leaves the ethnicity value and the ‘I choose not to answer’ value blank.

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Updated Transaction Code 92 used for Personal Information (Ethnicity and Race).

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
1.	Beneficiary Identifier	12	1 – 12	<p>Reject the transaction with TRC 007 if the following criteria is not met:</p> <ul style="list-style-type: none"> • Format for MBI is an 11-position value. The 2nd, 5th, 8th and 9th positions are alphas. • String must contain NO embedded spaces. <p>Reject the transaction with TRC 008 if the beneficiary identifier is not found.</p>	Required
2.	Surname	12	13 – 24	Reject the transaction with TRC 004 if the field is blank and the First Name field is also blank.	Required
3.	First Name	7	25 – 31	Reject transaction with TRC 004 if the field is blank and the Surname field is also blank.	Required
4.	M. Initial	1	32	N/A	Optional
5.	Gender Code	1	33	If the value is not “1” = male or “2” = female, do not reject the transaction, set the value to unknown (“0”).	Required
6.	Birth Date	8	34 – 41	<p>Format (YYYYMMDD)</p> <p>Fail the transaction with TRC 257 if the date is not formatted correctly or contains an invalid month or day and there is no beneficiary match.</p> <p>Reject the transaction with TRC 006 if the date is non-blank and formatted correctly, but is less than 1870, or greater than current year and there is no beneficiary match.</p> <p>Note: The beneficiary is considered matched if three out of four personal characteristics match (and the input MBI (or HICN until the end of transition) was found on the database.) If the beneficiary is matched the invalid or incorrect birth date is ignored.</p>	Required
7.	Filler	1	42	N/A	N/A
8.	PBP #	3	43 – 45	Reject with TRC 107 if the Contract/PBP combination does not exist.	Required
9.	Filler	1	46	N/A	N/A

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
10.	Contract #	5	47 – 51	Fail the transaction with TRC 003 if the field is blank or the contract does not exist.	Required
11.	Filler	8	52 – 59	N/A	N/A
12.	Transaction Code	2	60 – 61	Fail the transaction with TRC 001 if the value is not '92'	Required
13.	Filler	43	62 – 101	N/A	N/A
14.	Ethnicity	7	102-109	When provided, values will be 'Y' for each of the ethnicity choices that apply, otherwise the position will be blank.	For this field, there must be at least one Y - Yes
a.	Not of Hispanic, Latino/a or Spanish Origin	1	102	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
b.	Puerto Rican	1	103	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
c.	Another Hispanic, Latino or Spanish Origin	1	104	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
d.	Mexican, Mexican American, Chicano/a	1	105	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
e.	Cuban	1	106	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
f.	I choose not to answer	1	107	When provided, this indicates the applicant made a decision to respond to the ethnicity value with a 'I choose not to answer' response. MARx will reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
g.	Form left blank	1	108	When provided, this indicates the ethnicity value on the enrollment form was left blank. MARx will reject the transaction with TRC 394 if the ethnicity value is not provided _and the 'I choose not to answer' field and the 'Form left blank' are blank (Space). Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Required only if the applicant leaves the ethnicity value and the 'I choose not to answer' value blank.
15.	Filler	15	109-123	N/A	
16.	Preferred Language Other than English	1	124	Reject the transaction with TRC 394 if the value provided is not valid. This represents the language preference other than English. Valid Values: <ul style="list-style-type: none"> • S – Spanish • O – Other • X – Remove current value in MARx and set to Blank (Space) • Blank (Space) – No update 	Optional
17.	Accessible Format	1	125	Reject the transaction with TRC 394 if the value provided is not valid. This represents an optional accessible format. Valid Values: <ul style="list-style-type: none"> • B – Braille • L – Large Print • A – Audio CD • X – Remove current value in MARx and set to Blank (Space) • Blank (Space) – No update 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
18.	Race	16	126 - 141	When provided, values will be 'Y' for each of the race choices that apply, otherwise the position will be blank.	For this field, there must be at least one Y - Yes
a.	White	1	126	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
b.	Black or African American	1	127	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
c.	American Indian or Alaska Native	1	128	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
d.	Asian Indian	1	129	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
e.	Chinese	1	130	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
f.	Filipino	1	131	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
g.	Japanese	1	132	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
h.	Korean	1	133	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
i.	Vietnamese	1	134	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
j.	Other Asian	1	135	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
k.	Native Hawaiian	1	136	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
l.	Samoaan	1	137	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
m.	Guamanian or Chamorro	1	138	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
n.	Other Pacific Islander	1	139	Reject the transaction with TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

92 Tx Layout for Personal Information Change Transaction					
Item	Field	Size	Position	Validation (Edits and TRCs for the transaction fields)	Is Item Required, Optional, or N/A
o.	I choose not to answer	1	140	When provided, this indicates the applicant made a decision to respond to the race value with an 'I choose not to answer' response. MARx will reject the transaction with a TRC 394 if the value provided is not valid. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Optional
p.	Form left blank	1	141	When provided, this indicates that race value on the enrollment form was left blank. MARx will reject the transaction with a TRC 394 if the value provided is not valid. MARx will reject and provide a TRC 394 if a race value is not selected, the 'I choose not to answer' is not selected and this field does not contain a 'Y'. Valid values: <ul style="list-style-type: none"> • Y – Yes • Blank (Space) 	Required only if the applicant leaves the race value and the 'I choose not to answer' value blank.
19.	Filler	68	142 – 209	N/A	N/A
20.	Plan Transaction Tracking ID	15	210 – 224	Fifteen character tracking ID	Optional
21.	Filler	76	225 – 300	N/A	N/A

NOTE: Spaces are substituted for all fields marked as “N/A”.

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Updated Transaction Reply Codes 394, 395, and 396

Transaction Reply Codes				
Code	Type	Title	Short Definition	Definition
394	R	Rejected; Invalid Personal Information	BAD PRSNL INFO	<p>This TRC will be generated in response to invalid data submitted on a Personal Information Change Transaction (Transaction Type 92):</p> <ul style="list-style-type: none"> • Ethnicity (Must be 'Y' or Space) NEW <ul style="list-style-type: none"> ○ At least one Ethnicity option or 'I choose not to answer' or 'Form left blank' must be chosen • Race (Must be 'Y' or Space) NEW <ul style="list-style-type: none"> ○ At least one Race option or 'I choose not to answer' or 'Form left blank' must be chosen • Language Preference (Must be S, O, X, or Space) <ul style="list-style-type: none"> ○ S – Spanish ○ O – Other ○ X - Remove current value in MARx and set to Blank (Space) • Accessible Format (Must be B, L, A, or Space) <ul style="list-style-type: none"> ○ B – Braille ○ L – Large Print ○ A – Audio CD ○ X - Remove current value in MARx and set to Blank (Space) <p>Plan Action: Resubmit the 92 transaction with the corrected values.</p>
395	A	Personal Info Accepted as Submitted	PRSNL INFO ACPT	<p>This TRC will be generated in response to a Personal Information Change Transaction (Transaction Type 92) or an Enrollment or PBP Change (Transaction Type 61) when ALL the data fields are valid.</p> <p>Plan Action: None Required</p>
396	I	Invalid Personal Information Submitted	BAD PRSNL INFO	<p>This TRC will be generated (as an informational TRC) in response to one or more of the following invalid data fields on an Enrollment or PBP Change (Transaction Type 61):</p> <ul style="list-style-type: none"> • Ethnicity (Must be 'Y' or Space) NEW <ul style="list-style-type: none"> ○ At least one ethnicity option or 'I choose not to answer' or 'Form left blank' must be chosen

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment C: Updated Transaction Reply Codes: 394, 395, and 396

				<ul style="list-style-type: none"> • At least one race option or 'I choose not to answer' or 'Form left blank' must be chosen (Must be 'Y' or Space) NEW • Language Preference (Must be S, O, or Space) <ul style="list-style-type: none"> ○ S – Spanish ○ O – Other • Accessible Format (Must be B, L, A, or Blank/Space) <ul style="list-style-type: none"> ○ B – Braille ○ L – Large Print ○ A – Audio CD <p>Plan Action: Submit a 92 transactions with the corrected values.</p>
--	--	--	--	--

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment D: Updated Daily Transaction Reply Report Layout

Updated Daily Transaction Reply Report (Ethnicity and Race).

DTRR Detail Record				
Item	Field	Size	Position	Description
47.	Ethnicity	7	189-195	Present only when Transaction Type Code is 61 or 92 and the ethnicity was provided.
a.	Not of Hispanic, Latino/a or Spanish Origin	1	189	Y = Not of Hispanic, Latino/a or Spanish Origin Space = not applicable
b.	Puerto Rican	1	190	Y = Puerto Rican Space = not applicable
c.	Another Hispanic, Latino or Spanish origin	1	191	Y = Another Hispanic, Latino or Spanish origin Space = not applicable
d.	Mexican, Mexican American, Chicano/a	1	192	Y = Mexican, Mexican American, Chicano/a Space = not applicable
e.	Cuban	1	193	Y = Cuban Space = not applicable
f.	I choose not to answer	1	194	Y = Choose not to answer Space = not applicable
g.	Form left blank	1	195	Y = Form was left blank Space = not applicable
92.	Race	16	456-471	Present only when Transaction Type Code is 61 or 92 and the Race is provided.
a.	White	1	456	Y = White Space = not applicable
b.	Black or African American	1	457	Y = Black or African American Space = not applicable
c.	American Indian or Alaska Native	1	458	Y = American Indian or Alaska Native Space = not applicable
d.	Asian Indian	1	459	Y = Asian Indian Space = not applicable
e.	Chinese	1	460	Y = Chinese Space = not applicable
f.	Filipino	1	461	Y = Filipino Space = not applicable
g.	Japanese	1	462	Y = Japanese Space = not applicable
h.	Korean	1	463	Y = Korean Space = not applicable
i.	Vietnamese	1	464	Y = Vietnamese Space = not applicable
j.	Other Asian	1	465	Y = Other Asian Space = not applicable

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment D: Updated Daily Transaction Reply Report Layout

DTRR Detail Record				
Item	Field	Size	Position	Description
k.	Native Hawaiian	1	466	Y = Native Hawaiian Space = not applicable
l.	Samoan	1	467	Y = Samoan Space = not applicable
m.	Guamanian or Chamorro	1	468	Y = Guamanian or Chamorro Space = not applicable
n.	Other Pacific Islander	1	469	Y = Other Pacific Islander Space = not applicable
o.	I choose not to answer	1	470	Y = Choose not to answer Space = not applicable
p.	Form left blank	1	471	Y = Form was left blank Space = not applicable
93.	Filler	3	472-474	N/A

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

MARx UI Screen Changes

The image below represents the expanded ethnicity and race categories on the MARx screens that come directly from the enrollment form.

Beneficiaries: New Enrollment (M221)

The screenshot shows the 'Beneficiaries: New Enrollment (M221)' form. At the top, there is a CMS logo and a navigation bar with links for 'Welcome', 'Beneficiaries', 'Transactions', 'Payments', 'Rates', and 'Reports'. Below this is a sub-header 'Find | New Enrollment | Eligibility | Opt-Out'. The main title is 'Beneficiaries: New Enrollment (M221)' with a role of 'MARX SYSTEM MAINTAINER' and a date of '6/21/2022'. There are 'Print' and 'Help...' buttons in the top right.

A yellow banner contains the instruction: 'Enter all required field information and select "Enroll". Required fields vary depending on type of contract provided. *Indicates required field'. The form is divided into several sections:

- Personal Information:** Fields for *Beneficiary ID, *Last Name, *Birth Date, *Contract #, *Effective Date, *Application Date (with a 'Default App. Date' checkbox), *First Name, M.I., *Sex, and Tracking ID.
- Contract and Coverage:** Fields for PBP, Segment, *Election Type, *Request Type (ENROLLMENT with an 'EGHP' checkbox), *Premium Payment Option (NO PREMIUM), *SEP Reason Code, *Enrollment Source (B - BENEFICIARY ELECTION), Creditable Coverage Indicator (Y - Yes), and Number of Uncovered Months (000).
- Insurance and Pharmacy:** Fields for Primary BIN, Primary PCN, Primary GRP, Primary RxD, Secondary Drug Insurance, Secondary Rx BIN, Secondary Rx PCN, Secondary Rx Group, and Secondary Rx ID.
- Ethnicity:** Radio button options for 'Not of Hispanic, Latino/a or Spanish Origin', 'Puerto Rican', 'Another Hispanic, Latino or Spanish Origin', 'Mexican, Mexican American, Chicano/a', 'Cuban', 'I choose not to answer', and 'Form left blank' (checked).
- Race:** Radio button options for 'White', 'Black or African American', 'Asian Indian', 'Chinese', 'Japanese', 'Korean', 'Other Asian', 'Native Hawaiian', 'Guamanian or Chamorro', 'Other Pacific Islander', 'American Indian or Alaska Native', 'Filipino', 'Vietnamese', 'Samoan', 'I choose not to answer', and 'Form left blank' (checked).
- Preferred Language Other than English:** Radio button options for 'Spanish', 'Other', and 'No Selected Preference' (selected).
- Accessible Format:** Radio button options for 'Braille', 'Large Print', 'Audio CD', and 'No Selected Preference' (selected).

At the bottom left, there are 'Enroll' and 'Reset' buttons.

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Attachment E: Updated MARx Personal Information Screens

Update Personal Information (M260)

Claim #: 111111111A JOHN J. DOE DOB: XX/XX/XXXX
MBI #: XXXXXXXXXXXX ACTIVE Age: XX Sex: MALE
XXX XXXXX XX State: XX (XX) County: XXXXXXX (XXX)
XXXXXXXX, XX XXXXX-XXXX

Update Enrollment | Update Institutional/NHC | Update Medicaid | Update Premiums | Update Collected | Update SSA R&R | Update Rx Insurance | Update Residence Address | **Update Personal Information**

Update Personal Information (M260) Role: MARX SYSTEM MAINTAINER Date: 6/10/2022 [Close] [Print] [Help...]

Ethnicity
 Not of Hispanic, Latino/a or Spanish Origin
 Puerto Rican
 Another Hispanic, Latino or Spanish Origin
 Mexican, Mexican American, Chicano/a
 Cuban
 I choose not to answer
 Form left blank

Race
 White Black or African American American Indian or Alaska Native
 Asian Indian Chinese Filipino
 Japanese Korean Vietnamese
 Other Asian Native Hawaiian Samoan
 Guamanian or Chamorro Other Pacific Islander
 I choose not to answer
 Form left blank

Preferred Language Other than English
 Spanish Other No Selected Preference

Accessible Format
 Braille Large Print Audio CD No Selected Preference

[Submit] [Reset]

Personal Information (M259)

Claim #: 111111111A JOHN J. DOE DOB: XX/XX/XXXX
MBI #: XXXXXXXXXXXX ACTIVE Age: XX Sex: MALE
XXX XXXXX XX State: XX (XX) County: XXXXXXX (XXX)
XXXXXXXX, XX XXXXX-XXXX

Snapshot | Enrollment | Payments | Adjustments | Premiums | LEP | SSA - RRB | PW Paid/Collected | Transactions | Utilization | MSA | Residence Address | Rx Insurance | Status Activity | **Personal Information**

Personal Information (M259) Role: MARX SYSTEM MAINTAINER Date: 6/10/2022 [Close] [Update...] [Print] [Help...]
Change User View

Ethnicity
 Not of Hispanic, Latino/a or Spanish Origin
 Puerto Rican
 Another Hispanic, Latino or Spanish Origin
 Mexican, Mexican American, Chicano/a
 Cuban
 I choose not to answer
 Form left blank

Race
 White Black or African American American Indian or Alaska Native
 Asian Indian Chinese Filipino
 Japanese Korean Vietnamese
 Other Asian Native Hawaiian Samoan
 Guamanian or Chamorro Other Pacific Islander
 I choose not to answer
 Form left blank

Preferred Language Other than English
 Spanish Other No Selected Preference

Accessible Format
 Braille Large Print Audio CD No Selected Preference

For Official Federal Government Use Only

This pre-decisional, privileged, and confidential information is for internal government use only, and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.