

Summary 2017 DIR Reporting

Helpful Hints

When preparing your Summary 2017 DIR Report file for Upload, please note the following guidelines. Deviation from these guidelines will cause your upload file to be rejected. If that occurs, you should receive an e-mail indicating the reasons for the failure. Additionally you may access the Summary DIR Unload Status Report to review the error messages.

Download Template

Download a blank Summary 2017 DIR Reporting template file from HPMS. (*HPMS > Plan Bids > DIR Reporting > Contract Year 2017 > (Submission) > Download Templates.*) Extract the Summary DIR Microsoft Excel template and save it to a location you can access.

Enter Data

Enter your Summary 2017 DIR data into the template. The following rules apply to the template fields.

Column	Column Letter	Rules
Contract-Plan	A	<ul style="list-style-type: none">The Contract Number(s) and Plan ID(s) must be entered using the 9 character Contract-Plan format: one letter, followed by the four digit contract number, a dash, and the three digit plan ID. (e.g., H0001-101.)The Contract-Plan field cannot be blank if data exists for any other field in that row.You may include one or more contract numbers in the upload file. However, the file must include all Part D plans for the contract number(s) uploaded.Only Part D plans active for 2017 may be submitted (active for any part of 2017.)When entering data into the template if this field is not populated the Total DIR field will not calculate.
DIR # 1 - PBM Retained Rebates	B	<ul style="list-style-type: none">Accepted values can be positive, negative, or zero.Blank values are not accepted.Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #1C - PBM Retained Rebates (Additional Comments)	C	Required if DIR #1 (Column B) is negative.

Column	Column Letter	Rules
DIR # 2 - Rebates Expected But Not Yet Received	D	<ul style="list-style-type: none"> Accepted values can be positive, negative, or zero. Blank values are not accepted. Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #2C - Rebates Expected But Not Yet Received (Additional Comments)	E	Required if DIR #2 (Column D) is negative.
DIR # 3 - All Other Rebates	F	<ul style="list-style-type: none"> Accepted values can be positive, negative, or zero. Blank values are not accepted. Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #3C - All Other Rebates (Additional Comments)	G	<ul style="list-style-type: none"> This is a required field. Field cannot be blank. Limited to 1500 characters.
DIR # 4 – Administrative Service Fees Reported as DIR	H	<ul style="list-style-type: none"> Accepted values can be positive or zero. Blank or negative values are not accepted. Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #4C - Administrative Service Fees Reported as DIR (Additional Comments)	I	Required if DIR #4 (Column H) is positive.
DIR # 5 - Price Concessions for Administrative Services	J	See General Rules below for numeric fields.
DIR #5C - Price Concessions for Administrative Services (Additional Comments)	K	Required if DIR #5 (Column J) is not zero.
DIR # 6 - Legal Settlement Amounts	L	See General Rules below for numeric fields.
DIR #6C - Legal Settlement Amounts (Additional Comments)	M	Optional
DIR # 7 - All Other Price Concessions from Manufacturers	N	See General Rules below for numeric fields.
DIR #7C - All Other Price Concessions from Manufacturers (Additional Comments)	O	Required if DIR #7 (Column N) is not zero.

Column	Column Letter	Rules
DIR # 8 – Amounts Received from Pharmacies	P	<ul style="list-style-type: none"> Accepted values can be positive or zero. Blank or negative values are not accepted. Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #8C - Amounts Received from Pharmacies (Additional Comments)	Q	Required when DIR #8 (Column P) is not zero.
DIR # 9 – Amounts Paid to Pharmacies	R	<ul style="list-style-type: none"> Accepted values can be negative or zero. Blank or positive values are not accepted. Allow 12 digits before the decimal, 2 digits after the decimal.
DIR #9C - Amounts Paid to Pharmacies (Additional Comments)	S	Required when DIR #9 (Column R) is not zero.
DIR # 10 - Risk Sharing Arrangement Payments and Adjustments	T	See General Rules below for numeric fields.
DIR #10C - Risk Sharing Arrangement Payments and Adjustments (Additional Comments)	U	Required if DIR #10 (Column T) is not zero.
DIR # 11 - All Other DIR	V	See General Rules below for numeric fields.
DIR #11C - All Other DIR (Additional Comments)	W	<ul style="list-style-type: none"> Required if DIR #11 (Column V) is not zero. Limited to 1500 characters.
Total DIR	X	<ul style="list-style-type: none"> Must be numeric. Can be positive, negative, or zero. Field cannot be blank. Allows up to 14 digits before the decimal, 2 digits after the decimal. If entering a negative number, you must enter the minus sign and then the value for the cell. Must be equal to the sum of DIR #1 – DIR #11 (the numeric columns B through V.) When entering data into the template, this field will automatically calculate. However the Contract-Plan (Column A) must be populated for the calculation to work properly.
Total DIR (Additional Comments)	Y	Required if "Total DIR" (Column X) is zero, or is less than zero.

Column	Column Letter	Rules
Rebates and/or Other Price Concessions at POS?	Z	Can only be Y or N. Cannot be blank.
Bona Fide Service Fees	AA	See General Rules below for numeric fields.
Bona Fide Service Fees (Additional Comments)	AB	Required if Bona Fide Service Fees field (Column AA) is not zero.
PBM Incentive Payments	AC	See General Rules below for numeric fields.
PBM Incentive Payments (Additional Comments)	AD	Required if PBM Incentive Payments field (Column AC) is not zero.
PBM Spread Amounts for Retail Pharmacies	AE	See General Rules below for numeric fields.
PBM Spread Amounts for Mail Order Pharmacies	AF	See General Rules below for numeric fields.

General Rules

- Numeric fields, unless otherwise specified, are to be entered as follows:
 - Accepted values can be positive, negative, or zero. Blank is not accepted.
 Note: HPMS will not reject negative values; however, please note that after the submission period closes, CMS conducts a number of reviews of the DIR data, including examining unexpected negative DIR amounts.
 - Allows up to 12 digits before the decimal, 2 digits after the decimal.
 - If entering a negative number, you must enter the minus sign and then the value for the cell.
- Text fields are limited to 500 characters unless otherwise specified.
- The semi-colon, less than, and greater than symbols (; > <) are prohibited for security reasons.

Save the File

After entering all Summary DIR data into the template file, it must be saved.

- You **must** save the template file as a **tab-delimited text file** (ANSI format).
- The steps for saving an Excel file as tab-delimited text are:
 - Open the file in Excel. From the Excel menu, choose File > Save As.
 - In the pop-up dialog box, locate the "Save as Type" select list and **choose "Text (Tab Delimited) (*.txt)"**. (Note: do NOT save as UTF-8, Unicode, Binary, extended ASCII, Text (Macintosh), or Text (MS-DOS)).

- Specify the save location and file title (optional) and save the file. If Excel provides a message saying that some of the features are incompatible with Text files, say "Yes" to continue the save.
 - Close the file. If prompted say Yes again to save changes and Yes again to the incompatible features warning.
- For 2017, the text file can be saved with a title of the user's choice.
- Before uploading, the text file **must** be saved into a zip file named **DIR_2017.zip**. Only one text file per zip file is permitted. The zip file must follow this naming convention exactly.
- Do not use password protection or other encryption on either the text or zip file.

Upload the File

- Before uploading, you must complete the **DIR Submission Info** form for **each** contract included in your file. (*HPMS > Plan Bids > DIR Reporting > Contract Year 2017 > (Submission) > DIR Submission Info.*) You will not be allowed to upload until this is done.
- For Summary 2017 DIR, prior to the initial deadline you only need to enter DIR Submission Information once. After the initial deadline (i.e., Resubmissions), you must complete this information for every resubmission. You will be able to see previously submitted values for these fields and can just copy and confirm the values rather than re-enter them each time.
- Before uploading, be sure of the contracts in your file. The upload function requires you to indicate the contracts you are uploading. If differences are found between the contracts selected and the contracts in the file, the upload will be rejected.
- You may upload as many times as you wish during the upload period. Only the final submission will be accepted and used.
- From the Upload confirmation page, please record your Upload confirmation number. This is useful if HPMS Helpdesk assistance is required. Additionally, the confirmation number is helpful so you can more easily match your uploads to the unload status e-mail you will receive.

Upload/Unload Processing and Status Notification

After the files are uploaded to HPMS, they are processed through an unload tool.

- Your upload may not process immediately. If your upload file was large it will be held for overnight processing. If there is heavy upload volume even small files may be delayed.
- You should receive an e-mail indicating the status (success or rejection) of your unload once the unload is complete.
- You may also check the Unload Status Report to determine the status of your upload/unload, as well as the content of the file that was uploaded. If your file was rejected the associated error messages can be viewed from the report.
- If your uploaded file is rejected because of invalid data **none** of the data in the file will be accepted by the system. You must fix the invalid data prior to re-upload.

Troubleshooting Rejected Files

If your file is rejected by the unload tool, in addition to reviewing the error messages that are included in the e-mail notification or in the Unload Status Report, you may want to read “Troubleshooting Text File Uploads,” which is accessible from the Documentation section. (HPMS > Plan Bids > DIR Reporting > Contract Year 2017 > (Documentation) > Troubleshooting Text File Uploads.)

For Additional Assistance

- For technical assistance with the download or upload of your file, you can contact the HPMS Help Desk at 1-800-220-2028 or hpms@cms.hhs.gov.
- For guidance and policy questions regarding DIR Reporting, please send an e-mail to DIR_Reporting_Reqs@cms.hhs.gov. For all other questions regarding the submission of Summary and Detailed DIR data, sponsors can e-mail the Reconciliation Support Contractor at PartDPaymentSupport@acumenllc.com.

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