This page intentionally left blank.
## Revision Log

<table>
<thead>
<tr>
<th>Date</th>
<th>Changed by</th>
<th>Revisions</th>
<th>Version</th>
</tr>
</thead>
<tbody>
<tr>
<td>May 2023</td>
<td>D. Happe</td>
<td>Applied CCW editorial standards</td>
<td>1.1</td>
</tr>
<tr>
<td>July 2018</td>
<td>K. Schneider</td>
<td>Initial release of codebook</td>
<td>1.0</td>
</tr>
</tbody>
</table>
Tips on Navigating the Codebook

This document is a detailed codebook that describes each variable in the Medicare risk score research files. Because the files have many variables, we have included several ways for users to quickly find the information they need:

- A complete listing of all variables in the files, in alphabetical order based on their SAS variable names.

- Individual entries for each variable that contain a short description of the variable, the possible values for the variable, and, in many cases, notes that discuss how the variable was constructed and should be used.

We have included hyperlinks throughout the codebook to make it easier for analysts to navigate between the table of contents and the detailed entries for the individual variables:

- Clicking on any variable name in the Table of Contents will take you to the detailed description for that variable.

- From the detailed description for any individual variable, clicking on the ^Back to TOC^ link after each variable description will take you back to the Table of Contents.
Table of Contents

This section of the codebook contains a list of all variables in alphabetical order based on the SAS variable name.

Quick links: A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

Variable Details .................................................................................................................................................. 6
BENE_ID .......................................................................................................................................................... 6
LTI_IND_01 ..................................................................................................................................................... 7
LTI_IND_02 ..................................................................................................................................................... 7
LTI_IND_03 ..................................................................................................................................................... 7
LTI_IND_04 ..................................................................................................................................................... 7
LTI_IND_05 ..................................................................................................................................................... 7
LTI_IND_06 ..................................................................................................................................................... 7
LTI_IND_07 ..................................................................................................................................................... 7
LTI_IND_08 ..................................................................................................................................................... 7
LTI_IND_09 ..................................................................................................................................................... 7
LTI_IND_10 ..................................................................................................................................................... 7
LTI_IND_11 ..................................................................................................................................................... 7
LTI_IND_12 ..................................................................................................................................................... 7
MODEL_BENE_AGE_GROUP ............................................................................................................................. 8
MODEL_BENE_DOB ........................................................................................................................................ 9
MODEL_BENE_DOD ........................................................................................................................................ 10
MODEL_COV_END_DT .................................................................................................................................... 11
MODEL_COV_START_DT ............................................................................................................................... 12
MODEL_MDCD_FLG ....................................................................................................................................... 13
MODEL_OREC ................................................................................................................................................ 14
MODELSEX .................................................................................................................................................... 15
PTC_MODEL_SGMT_CD_01 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_02 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_03 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_04 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_05 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_06 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_07 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_08 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_09 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_10 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_11 ............................................................................................................................. 16
PTC_MODEL_SGMT_CD_12 ............................................................................................................................. 16
PTC_NE_SNP .................................................................................................................................................. 18
PTC_RISK_CAT_CD ....................................................................................................................................... 19
<table>
<thead>
<tr>
<th>Code</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTC_RISK_SCORE_01</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_02</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_03</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_04</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_05</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_06</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_07</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_08</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_09</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_10</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_11</td>
<td>20</td>
</tr>
<tr>
<td>PTC_RISK_SCORE_12</td>
<td>20</td>
</tr>
<tr>
<td>PTC_SCORE_COM</td>
<td>21</td>
</tr>
<tr>
<td>PTC_SCORE_COM_PACE</td>
<td>22</td>
</tr>
<tr>
<td>PTC_SCORE_COM_TPL_M10</td>
<td>23</td>
</tr>
<tr>
<td>PTC_SCORE_COM_TPL_M4_M9</td>
<td>24</td>
</tr>
<tr>
<td>PTC_SCORE_DIAL</td>
<td>25</td>
</tr>
<tr>
<td>PTC_SCORE_INST</td>
<td>26</td>
</tr>
<tr>
<td>PTC_SCORE_INST_PACE</td>
<td>27</td>
</tr>
<tr>
<td>PTC_SCORE_INST_TPL_M10</td>
<td>28</td>
</tr>
<tr>
<td>PTC_SCORE_INST_TPL_M4_M9</td>
<td>29</td>
</tr>
<tr>
<td>PTC_SCORE_NE</td>
<td>30</td>
</tr>
<tr>
<td>PTC_SCORE_NE_DIAL</td>
<td>31</td>
</tr>
<tr>
<td>PTC_SCORE_NE_PACE</td>
<td>32</td>
</tr>
<tr>
<td>PTC_SCORE_NE_TPL_M10</td>
<td>33</td>
</tr>
<tr>
<td>PTC_SCORE_NE_TPL_M4_M9</td>
<td>34</td>
</tr>
<tr>
<td>PTC_SCORE_TPL_M1</td>
<td>35</td>
</tr>
<tr>
<td>PTC_SCORE_TPL_M2_M3</td>
<td>36</td>
</tr>
<tr>
<td>PTD_COM_CE</td>
<td>37</td>
</tr>
<tr>
<td>PTD_COM_NON_CE</td>
<td>38</td>
</tr>
<tr>
<td>PTD_INST_CE</td>
<td>39</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_01</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_02</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_03</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_04</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_05</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_06</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_07</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_08</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_09</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_10</td>
<td>40</td>
</tr>
<tr>
<td>PTD_MODEL_SGMT_CD_11</td>
<td>40</td>
</tr>
</tbody>
</table>
PTD_MODEL_SGMT_CD_12 ................................................................. 40
PTD_NE_COM_LI_ESRD ................................................................. 41
PTD_NE_COM_LI_NON_ESRD .......................................................... 42
PTD_NE_COM_NON_LI_ESRD .......................................................... 43
PTD_NE_COM_NON_LI_NON_ESRD .................................................. 44
PTD_NE_INST ................................................................. 45
PTD_NE_INST_ESRD ................................................................. 46
PTD_RISK_CAT_CD ................................................................. 47
PTD_RISK_SCORE_01 ................................................................. 48
PTD_RISK_SCORE_02 ................................................................. 48
PTD_RISK_SCORE_03 ................................................................. 48
PTD_RISK_SCORE_04 ................................................................. 48
PTD_RISK_SCORE_05 ................................................................. 48
PTD_RISK_SCORE_06 ................................................................. 48
PTD_RISK_SCORE_07 ................................................................. 48
PTD_RISK_SCORE_08 ................................................................. 48
PTD_RISK_SCORE_09 ................................................................. 48
PTD_RISK_SCORE_10 ................................................................. 48
PTD_RISK_SCORE_11 ................................................................. 48
PTD_RISK_SCORE_12 ................................................................. 48
RFRNC_YR ................................................................. 49
Variable Details

This section of the codebook contains one entry for each variable in the Medicare risk score file. Each entry contains variable details to facilitate understanding and use of the variables.

**BENE_ID**

**LABEL:** Encrypted CCW Beneficiary ID

**DESCRIPTION:** The unique CCW identifier for a beneficiary. The CCW assigns a unique beneficiary identification number to everyone who receives Medicare and/or Medicaid and uses that number to identify an individual’s records in all CCW data files (e.g., Medicare claims, MAX claims, MDS assessment data). This number does not change during a beneficiary’s lifetime and each number is used only once. The BENE_ID is specific to the CCW and is not applicable to any other identification system or data source.

**LONG NAME:** BENE_ID

**TYPE:** CHAR

**LENGTH:** 15

**SOURCE:** CCW (derived)

**VALUES:** —

**COMMENT:** —
LABEL: Monthly Long-Term Institutional Indicator: January–December

DESCRIPTION: Long-term institutional flag for January through December.

LONG NAME:

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>LTI_IND_01</td>
<td>Monthly Long-Term Institutional Indicator: January</td>
</tr>
<tr>
<td>LTI_IND_02</td>
<td>Monthly Long-Term Institutional Indicator: February</td>
</tr>
<tr>
<td>LTI_IND_03</td>
<td>Monthly Long-Term Institutional Indicator: March</td>
</tr>
<tr>
<td>LTI_IND_04</td>
<td>Monthly Long-Term Institutional Indicator: April</td>
</tr>
<tr>
<td>LTI_IND_05</td>
<td>Monthly Long-Term Institutional Indicator: May</td>
</tr>
<tr>
<td>LTI_IND_06</td>
<td>Monthly Long-Term Institutional Indicator: June</td>
</tr>
<tr>
<td>LTI_IND_07</td>
<td>Monthly Long-Term Institutional Indicator: July</td>
</tr>
<tr>
<td>LTI_IND_08</td>
<td>Monthly Long-Term Institutional Indicator: August</td>
</tr>
<tr>
<td>LTI_IND_09</td>
<td>Monthly Long-Term Institutional Indicator: September</td>
</tr>
<tr>
<td>LTI_IND_10</td>
<td>Monthly Long-Term Institutional Indicator: October</td>
</tr>
<tr>
<td>LTI_IND_11</td>
<td>Monthly Long-Term Institutional Indicator: November</td>
</tr>
<tr>
<td>LTI_IND_12</td>
<td>Monthly Long-Term Institutional Indicator: December</td>
</tr>
</tbody>
</table>

TYPE: CHAR

LENGTH: 1

SOURCE: CMS risk adjustment file

VALUES: 1 = Long-term institutional
Null/missing = not LTI (this model was not run for the beneficiary)

COMMENT: There are 12 monthly variables — where the 01 through 12 at the end of the variable name correspond with the month (e.g., 01 is January and 12 is December).
**MODEL_BENE_AGE_GROUP**

**LABEL:** Beneficiary Reporting Age Bracket (model)

**DESCRIPTION:** Beneficiary model reporting age bracket.

**LONG NAME:** MODEL_BENE_AGE_GROUP

**TYPE:** CHAR

**LENGTH:** 4

**SOURCE:** CMS risk adjustment file

**VALUES:**
- 0034 — less than or equal age 34
- 3544 — between the age of 35 and 44, inclusive
- 4554 — between the age of 45 and 54, inclusive
- 5559 — between the age of 55 and 59, inclusive
- 6064 — between the age of 60 and 64, inclusive
- 6565 — age 65, for new enrollee (NE) benes only
- 6666 — age 66, for NE benes only
- 6767 — age 67, for NE benes only
- 6868 — age 68, for NE benes only
- 6969 — age 69, for NE benes only
- 6569 — between the age of 65 and 69, inclusive, for full-risk benes only
- 7074 — between the age of 70 and 74, inclusive
- 7579 — between the age of 75 and 79, inclusive
- 8084 — between the age of 80 and 84, inclusive
- 8589 — between the age of 85 and 89, inclusive
- 9094 — between the age of 90 and 94, inclusive
- 9599 — greater than or equal age 95

**COMMENT:** —

[^ Back to TOC ^]
**MODEL_BENE_DOB**

**LABEL:** Date of Birth (model)

**DESCRIPTION:** Date of birth.

**LONG NAME:** MODEL_BENE_DOB

**TYPE:** NUM

**LENGTH:** 8

**SOURCE:** CMS risk adjustment file

**VALUES:** Date in CCYMMDD format
Examples: 19450411 (for April 11, 1945)

**COMMENT:** —
MODEL_BENE_DOD

LABEL:  Beneficiary Death Date (model)

DESCRIPTION:  Beneficiary death date (if it occurred during the payment year).

LONG NAME:  MODEL_BENE_DOD

TYPE:  NUM

LENGTH:  8

SOURCE:  CMS risk adjustment file

VALUES:  Date in CCYYMMDD format
  Example: 20141231 (for December 31, 2014)

COMMENT:  —
MODEL_COV_END_DT

LABEL: Coverage End Date (model)

DESCRIPTION: End date for Medicare coverage (if it occurred during the payment year).

LONG NAME: MODEL_COV_END_DT

TYPE: NUM

LENGTH: 8

SOURCE: CMS risk adjustment file

VALUES: Date in CCYMMDD format
        Example: 20141231 (for December 31, 2014)

COMMENT: —
**MODEL_COV_START_DT**

**LABEL:** Coverage Start Date (model)

**DESCRIPTION:** Start date for Medicare coverage (if it occurred during the payment year).

**LONG NAME:** MODEL_COV_START_DT

**TYPE:** NUM

**LENGTH:** 8

**SOURCE:** CMS risk adjustment file

**VALUES:** Date in CCYYMMDD format
Example: 20140101 (for January 1, 2014)

**COMMENT:** —
**MODEL_MDCD_FLG**

**LABEL:** Medicaid Flag (model)

**DESCRIPTION:** Medicaid flag.

**LONG NAME:** MODEL_MDCD_FLG

**TYPE:** CHAR

**LENGTH:** 1

**SOURCE:** CMS risk adjustment file

**VALUES:**
- Y = Medicaid Status Applicable to Risk Adjustment Factors
- Null/missing = not Medicaid

**COMMENT:** —
<table>
<thead>
<tr>
<th>MODEL_OREC</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LABEL:</strong> Original Reason for Entitlement Code (model)</td>
</tr>
<tr>
<td><strong>DESCRIPTION:</strong> Original reason for Medicare entitlement code.</td>
</tr>
<tr>
<td><strong>LONG NAME:</strong> MODEL_OREC</td>
</tr>
<tr>
<td><strong>TYPE:</strong> CHAR</td>
</tr>
<tr>
<td><strong>LENGTH:</strong> 1</td>
</tr>
<tr>
<td><strong>SOURCE:</strong> CMS risk adjustment file</td>
</tr>
<tr>
<td><strong>VALUES:</strong></td>
</tr>
<tr>
<td>0 = old age and survivors’ insurance (OASI)</td>
</tr>
<tr>
<td>1 = disability insurance benefits (DIB)</td>
</tr>
<tr>
<td>2 = end stage renal disease (ESRD)</td>
</tr>
<tr>
<td>3 = both DIB and ESRD</td>
</tr>
<tr>
<td>9 = none of the above</td>
</tr>
<tr>
<td><strong>COMMENT:</strong> —</td>
</tr>
</tbody>
</table>
MODEL_SEX

LABEL: Sex (model)

DESCRIPTION: Sex.

LONG NAME: MODEL_SEX

TYPE: CHAR

LENGTH: 1

SOURCE: CMS risk adjustment file

VALUES: 1 = Male
         2 = Female

COMMENT: —
PTC_MODEL_SGMT_CD_01  PTC_MODEL_SGMT_CD_07
PTC_MODEL_SGMT_CD_02  PTC_MODEL_SGMT_CD_08
PTC_MODEL_SGMT_CD_03  PTC_MODEL_SGMT_CD_09
PTC_MODEL_SGMT_CD_04  PTC_MODEL_SGMT_CD_10
PTC_MODEL_SGMT_CD_05  PTC_MODEL_SGMT_CD_11
PTC_MODEL_SGMT_CD_06  PTC_MODEL_SGMT_CD_12

**LABEL:** Monthly Part C Model Segment Code: January–December

**DESCRIPTION:** January through December Part C resolved risk score model segment. This is the Part C risk score model segment used to calculate the resolved risk score for a given month.

**LONG NAME:**

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTC_MODEL_SGMT_CD_01</td>
<td>PTC_MODEL_SGMT_CD_07</td>
</tr>
<tr>
<td>PTC_MODEL_SGMT_CD_02</td>
<td>PTC_MODEL_SGMT_CD_08</td>
</tr>
<tr>
<td>PTC_MODEL_SGMT_CD_03</td>
<td>PTC_MODEL_SGMT_CD_09</td>
</tr>
<tr>
<td>PTC_MODEL_SGMT_CD_04</td>
<td>PTC_MODEL_SGMT_CD_10</td>
</tr>
<tr>
<td>PTC_MODEL_SGMT_CD_05</td>
<td>PTC_MODEL_SGMT_CD_11</td>
</tr>
<tr>
<td>PTC_MODEL_SGMT_CD_06</td>
<td>PTC_MODEL_SGMT_CD_12</td>
</tr>
</tbody>
</table>

**TYPE:** CHAR

**LENGTH:** 2

**SOURCE:** CMS risk adjustment file

**VALUES:**

- C = Community
- C1 = Community post-graft I (end-stage renal disease [ESRD])
- C2 = Community post-graft II (ESRD)
- D = Dialysis (ESRD)
- E = New enrollee
- ED = New enrollee dialysis (ESRD)
- E1 = New enrollee post-graft I (ESRD)
- E2 = New enrollee post-graft II (ESRD)
- G1 = Graft I (ESRD)
- G2 = Graft II (ESRD)
- I = Institutional
- I1 = Institutional post-graft I (ESRD)
- I2 = Institutional post-graft II (ESRD)
- SE = New enrollee chronic care special needs plan (SNP)
- Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** There are 12 monthly variables — where the 01 through 12 at the end of the variable name correspond with the month (e.g., 01 is January and 12 is December).
The corresponding consolidated risk score model used in payment calculation for the month is in the monthly PTC_RISK_SCORE_MM variable (where the 01 through 12 at the end of the variable name correspond with the month).
**PTC_NE_SNP**

**LABEL:** Part C New Enrollee Chronic Condition Special Needs Plan (SNP) Model Score

**DESCRIPTION:** Part C new enrollee chronic condition SNP factor (CSNP). Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is N or P (new enrollees).

**LONG NAME:** PTC_NE_SNP

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not a new enrollee, or the beneficiary has both Part A and B (this model was not run for the beneficiary)
Examples: 0.81, 1.74

**COMMENT:** The CSNP model is run only for new enrollee beneficiaries and beneficiaries who are Part A only.
**PTC_RISK_CAT_CD**

**LABEL:** Part C Risk Category Code

**DESCRIPTION:** Part C risk enrollment category code. This code indicates the enrollment status of the beneficiary during the data collection period and therefore, which risk models are applicable to that beneficiary.

**LONG NAME:** PTC_RISK_CAT_CD

**TYPE:** CHAR

**LENGTH:** 1

**SOURCE:** CMS risk adjustment file

**VALUES:**
- N = Beneficiary has < 12 months Part A and < 12 months Part B, new enrollee beneficiary with < 12 months Part A
- C = Beneficiary has 12 months Part B, full-risk beneficiary
- P = Beneficiary has < 12 months Part B and 12 months Part A, new enrollee beneficiary with 12 months Part A

**COMMENT:** The data collection period is the year prior to the payment year (e.g., 2013 for the 2014 payment year).
<table>
<thead>
<tr>
<th>Monthly Part C Risk Score: January–December</th>
</tr>
</thead>
</table>

### Description:
January through December Part C resolved risk score. This field contains the consolidated risk score used in payment calculation for that month.

### Long Name:
- PTC_RISK_SCORE_01
- PTC_RISK_SCORE_02
- PTC_RISK_SCORE_03
- PTC_RISK_SCORE_04
- PTC_RISK_SCORE_05
- PTC_RISK_SCORE_06
- PTC_RISK_SCORE_07
- PTC_RISK_SCORE_08
- PTC_RISK_SCORE_09
- PTC_RISK_SCORE_10
- PTC_RISK_SCORE_11
- PTC_RISK_SCORE_12

### Type:
NUM

### Length:
7.4

### Source:
CMS risk adjustment file

### Values:
Values between 0.0010 and 20.796
Examples — 0.4620, 2.1210

### Comment:
There are 12 monthly variables — where the 01 through 12 at the end of the variable name correspond with the month (e.g., 01 is January and 12 is December).

Beneficiaries with scores above 1.0 are expected to have above-average spending, while beneficiaries with scores below 1.0 are expected to have below-average spending (and proportionally so — for example, a beneficiary with a score of 2.0 is expected to cost twice the average).

The risk score model segment used to calculate the risk score for given month is identified using the corresponding monthly model segment code indicator (PTC_MODEL_SGMT_CD_MM), where the 01 through 12 at the end of the variable name correspond with the month.
**PTC_SCORE_COM**

**LABEL:** Part C Community Model Score

**DESCRIPTION:** Part C community factor. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).

**LONG NAME:** PTC_SCORE_COM

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** —
PTC_SCORE_COM_PACE

LABEL: Part C Community for PACE Organizations Model Score

DESCRIPTION: Part C community factor for beneficiaries enrolled in Program of All-inclusive Care for the Elderly (PACE) plans. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).

LONG NAME: PTC_SCORE_COM_PACE

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

COMMENT: —
**PTC_SCORE_COM_TPL_M10**

**LABEL:** Part C Community Post-Transplant 10+ Months Model Score

**DESCRIPTION:** Part C community post-transplant factor 10+ months. A value is present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage) and the beneficiary is end-stage renal disease (ESRD).

**LONG NAME:** PTC_SCORE_COM_TPL_M10

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 1.094 and 19.015
Null/missing = Not ESRD (this model was not run for the beneficiary)

**COMMENT:** ESRD status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
PTC_SCORE_COM_TPL_M4_M9

LABEL: Part C Community Post-Transplant 4–9 Months Model Score

DESCRIPTION: Part C community post-transplant factor 4–9 Months. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage) and the beneficiary is end-stage renal disease (ESRD).

LONG NAME: PTC_SCORE_COM_TPL_M4_M9

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not ESRD (this model was not run for the beneficiary)

COMMENT: ESRD status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
PTC_SCORE_DIAL

LABEL: Part C Dialysis Model Score

DESCRIPTION: Part C dialysis factor. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage) and the beneficiary is end-stage renal disease (ESRD).

LONG NAME: PTC_SCORE_DIAL

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not ESRD (this model was not run for the beneficiary)

COMMENT: ESRD status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
### PTC_SCORE_INST

**LABEL:** Part C Institutional Model Score  
**DESCRIPTION:** Part C institutional factor. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).  
**LONG NAME:** PTC_SCORE_INST  
**TYPE:** NUM  
**LENGTH:** 7.4  
**SOURCE:** CMS risk adjustment file  
**VALUES:** Values between 00.0010 and 99.9990  
Null/missing = Not applicable (this model was not run for the beneficiary)  
**COMMENT:** —
PTC_SCORE_INST_PACE

LABEL: Part C Institutional for PACE Organizations Model Score

DESCRIPTION: Part C institutional factor for beneficiaries enrolled in Program of All-inclusive Care for the Elderly (PACE) plans. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage.)

LONG NAME: PTC_SCORE_INST_PACE

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

COMMENT: Institutional status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.

^ Back to TOC ^
**PTC_SCORE_INST_TPL_M10**

**LABEL:** Part C Institutional Post-Transplant 10+ Months Model Score

**DESCRIPTION:** Part C institutional post-transplant factor 10+ months. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage) and the beneficiary is end-stage renal disease (ESRD).

**LONG NAME:** PTC_SCORE_INST_TPL_M10

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** ESRD and institutional status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
PTC_SCORE_INST_TPL_M4_M9

LABEL: Part C Institutional Post-Transplant 4–9 Months Model Score

DESCRIPTION: Part C institutional post-transplant factor 4–9 months. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is C or P (12 months of Part A or B coverage) and the beneficiary is end-stage renal disease (ESRD).

LONG NAME: PTC_SCORE_INST_TPL_M4_M9

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

COMMENT: —
PTC_SCORE_NE

LABEL: Part C New Enrollee Model Score

DESCRIPTION: Part C new enrollee factor. A value is present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is N or P (new enrollee).

LONG NAME: PTC_SCORE_NE

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Beneficiary was not a new enrollee (this model was not run for the beneficiary)
Examples: 0.346, 1.948

COMMENT: New enrollee status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
**PTC_SCORE_NE_DIAL**

**LABEL:** Part C New Enrollee Dialysis Model Score

**DESCRIPTION:** Part C new enrollee dialysis factor. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is N or P (new enrollee) and the beneficiary is end-stage renal disease (ESRD).

**LONG NAME:** PTC_SCORE_NE_DIAL

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 0.983, 1.205

**COMMENT:** ESRD and new enrollee status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.

^ Back to TOC ^
**PTC_SCORE_NE_PACE**

**LABEL:** Part C New Enrollee for PACE Organizations Model Score

**DESCRIPTION:** Part C new enrollee factor for beneficiaries enrolled in Program of All-inclusive Care for the Elderly (PACE) plans. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is N or P (new enrollee).

**LONG NAME:** PTC_SCORE_NE_PACE

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 1, 1.268

**COMMENT:** New enrollee status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
PTC_SCORE_NE_TPL_M10

LABEL: Part C New Enrollee Post-Transplant 10+ Months Model Score

DESCRIPTION: Part C new enrollee post-transplant factor 10+ months. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) is N or P (new enrollee) and the beneficiary is end-stage renal disease (ESRD).

LONG NAME: PTC_SCORE_NE_TPL_M10

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (not ESRD; this model was not run for the beneficiary)
Examples: 1.462, 2.758

COMMENT: ESRD and new enrollee status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
PTC_SCORE_NE_TPL_M4_M9

LABEL: Part C New Enrollee Post-Transplant 4–9 Months Model Score

DESCRIPTION: Part C new enrollee post-transplant factor 4–9 months. Present only when Part C risk category indicator (variable called PTC_RISK_CAT_CD) N or P (new enrollee) and the beneficiary is end-stage renal disease (ESRD).

LONG NAME: PTC_SCORE_NE_TPL_M4_M9

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (not ESRD; this model was not run for the beneficiary)
Examples: 2.834, 4.557

COMMENT: ESRD and new enrollee status is indicated by the monthly PTC_MODEL_SGMT_CD_MM.
**PTCSCORE_TPL_M1**

**LABEL:** Part C Transplant — Month 1 Model Score  

**DESCRIPTION:** Part C transplant factor one month.  

**LONG NAME:** PTCSCORE_TPL_M1  

**TYPE:** NUM  

**LENGTH:** 7.4  

**SOURCE:** CMS risk adjustment file  

**VALUES:** 5.597  

**COMMENT:** —
PTC_SCORE_TPL_M2_M3

LABEL: Part C Transplant — Month 2–3 Model Score

DESCRIPTION: Part C transplant factor two to three months.

LONG NAME: PTC_SCORE_TPL_M2_M3

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: 0.847

COMMENT: —
PTD_COM_LI_CE

LABEL: Part D Community Low Income Continuing Enrollee Model Score

DESCRIPTION: Part D community, low-income continuing enrollee factor. Present only when Part D risk category indicator (SAS variable called PTD_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).

LONG NAME: PTD_COM_LI_CE

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

COMMENT: —
PTD.COM_NON_LI_CE

**LABEL:** Part D Community Non-Low Income Continuing Enrollee Model Score

**DESCRIPTION:** Part D community, non-low income continuing enrollee factor. A value is present only when the Part D risk category indicator (SAS variable called PTD_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).

**LONG NAME:** PTD.COM_NON_LI_CE

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** —
**PTD_INST_CE**

**LABEL:** Part D Institutional Continuing Enrollee Model Score

**DESCRIPTION:** Part D institutional continuing enrollee factor. Present only when Part D risk category indicator (SAS variable called PTD_RISK_CAT_CD) is C or P (12 months of Part A or B coverage).

**LONG NAME:** PTD_INST_CE

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** Institutional status is indicated by the monthly PTD_MODEL_SGMT_CD_MM.
PTD_MODEL_SGMT_CD_01  
PTD_MODEL_SGMT_CD_02  
PTD_MODEL_SGMT_CD_03  
PTD_MODEL_SGMT_CD_04  
PTD_MODEL_SGMT_CD_05  
PTD_MODEL_SGMT_CD_06  
PTD_MODEL_SGMT_CD_07  
PTD_MODEL_SGMT_CD_08  
PTD_MODEL_SGMT_CD_09  
PTD_MODEL_SGMT_CD_10  
PTD_MODEL_SGMT_CD_11  
PTD_MODEL_SGMT_CD_12

**LABEL:** Monthly Part D Model Segment Code: January–December

**DESCRIPTION:** January through December Part D model segment code. This is the Part D risk score model segment used to calculate the resolved risk score for a given month.

**LONG NAME:**

PTD_MODEL_SGMT_CD_01  
PTD_MODEL_SGMT_CD_02  
PTD_MODEL_SGMT_CD_03  
PTD_MODEL_SGMT_CD_04  
PTD_MODEL_SGMT_CD_05  
PTD_MODEL_SGMT_CD_06  
PTD_MODEL_SGMT_CD_07  
PTD_MODEL_SGMT_CD_08  
PTD_MODEL_SGMT_CD_09  
PTD_MODEL_SGMT_CD_10  
PTD_MODEL_SGMT_CD_11  
PTD_MODEL_SGMT_CD_12

**TYPE:** CHAR

**LENGTH:** 2

**SOURCE:** CMS risk adjustment file

**VALUES:**

D1 = Community non-low income continuing enrollee  
D2 = Community low income continuing enrollee  
D3 = Institutional continuing enrollee  
D4 = New enrollee community non-low income non-ESRD  
D5 = New enrollee community non-low income ESRD  
D6 = New enrollee community low income non-ESRD  
D7 = New enrollee community low income ESRD  
D8 = New enrollee institutional non-ESRD  
D9 = New enrollee institutional ESRD  
Null/missing = Not applicable (this model was not run for the beneficiary)

**COMMENT:** There are 12 monthly variables — where the 01 through 12 at the end of the variable name correspond with the month (e.g., 01 is January and 12 is December).

The corresponding consolidated risk score used in payment calculation for the month is in the monthly PTD_RISK_SCORE_MM variable (where the 01 through 12 at the end of the variable name correspond with the month).
PTD_NE_COM_LI_ESRD

LABEL: Part D New Enrollee Community Low Income ESRD Model Score

DESCRIPTION: Part D new enrollee community low-income factor for beneficiaries with end-stage renal disease (ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollee).

LONG NAME: PTD_NE_COM_LI_ESRD

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 1.508, 1.75

COMMENT: —
PTD_NE_COM_LI_NON_ESRD

LABEL: Part D New Enrollee Community Low Income Non-ESRD Model Score

DESCRIPTION: Part D new enrollee community low-income factor for beneficiaries without end-stage renal disease (non-ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollees).

LONG NAME: PTD_NE_COM_LI_NON_ESRD

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 0.536, 1.359

COMMENT: New enrollee status is indicated by the monthly model segment code indicator (PTD_MODEL_SGMT_CD_MM).
PTD_NE_COM_NON_LI_ESRD

**LABEL:** Part D New Enrollee Community Non-Low Income ESRD Model Score

**DESCRIPTION:** Part D new enrollee community non-low income factor for beneficiaries with end-stage renal disease (ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollees).

**LONG NAME:** PTD_NE_COM_NON_LI_ESRD

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 0.509, 1.408

**COMMENT:** ESRD and new enrollee status is indicated by the monthly model segment code indicator
**PTD_NE_COM_NON_LI_NON_ESRD**

**LABEL:** Part D New Enrollee Community Non-Low Income Non-ESRD Model Score

**DESCRIPTION:** Part D new enrollee community non-low income factor for beneficiaries without end-stage renal disease (non-ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollees).

**LONG NAME:** PTD_NE_COM_NON_LI_NON_ESRD

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 0.78, 0.993

**COMMENT:** New enrollee status is indicated by the monthly model segment code indicator (PTD_MODEL_SGMT_CD_MM).
PTD_NE_INST

LABEL: Part D New Enrollee Institutional Non-ESRD Model Score

DESCRIPTION: Part D new enrollee institutional factor for beneficiaries without end-stage renal disease (non-ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollees).

LONG NAME: PTD_NE_INST

TYPE: NUM

LENGTH: 7.4

SOURCE: CMS risk adjustment file

VALUES: Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Examples: 1.237, 2.226

COMMENT: New enrollee and Institutional status is indicated by the monthly model segment code indicator (PTD_MODEL_SGMT_CD_MM).
PTD_NE_INST_ESRD

**LABEL:** Part D New Enrollee Institutional ESRD Model Score

**DESCRIPTION:** Part D new enrollee institutional factor for beneficiaries with end-stage renal disease (ESRD). Present only when Part D risk category indicator (variable called PTD_RISK_CAT_CD) is N or P (new enrollees).

**LONG NAME:** PTD_NE_INST_ESRD

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.0010 and 99.9990
Null/missing = Not applicable (this model was not run for the beneficiary)
Example: 2.249

**COMMENT:** ESRD, new enrollee and Institutional status is indicated by the monthly model segment code indicator (PTD_MODEL_SGMT_CD_MM).
PTD_RISK_CAT_CD

LABEL: Part D Risk Category Score

DESCRIPTION: Part D risk enrollment category code. This code indicates the enrollment status of the beneficiary during the data collection period and therefore, which risk models are applicable to that beneficiary.

LONG NAME: PTD_RISK_CAT_CD

TYPE: NUM

LENGTH: 1

SOURCE: CMS risk adjustment file

VALUES: 
N = Beneficiary has < 12 months Part A and < 12 months Part B, new enrollee 
Beneficiary with < 12 months Part A 
C = Beneficiary has 12 months Part B, full-risk beneficiary 
P = Beneficiary has < 12 months Part B and 12 months Part A, new enrollee beneficiary with 12 months Part A

COMMENT: The data collection period is the year prior to the payment year (e.g., 2013 for the 2014 payment year).
<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTD_RISK_SCORE_01</td>
<td>Monthly Part D Resolved Risk Score: January–December</td>
</tr>
<tr>
<td>PTD_RISK_SCORE_02</td>
<td>January through December Part D risk score. This field contains the consolidated risk score used in payment calculation for that month.</td>
</tr>
<tr>
<td>PTD_RISK_SCORE_03</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_04</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_05</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_06</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_07</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_08</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_09</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_10</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_11</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_12</td>
<td></td>
</tr>
</tbody>
</table>

**LABEL:** Monthly Part D Resolved Risk Score: January–December

**DESCRIPTION:** January through December Part D risk score. This field contains the consolidated risk score used in payment calculation for that month.

**LONG NAME:**

<table>
<thead>
<tr>
<th>Field Name</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>PTD_RISK_SCORE_01</td>
<td>Monthly Part D Resolved Risk Score: January–December</td>
</tr>
<tr>
<td>PTD_RISK_SCORE_02</td>
<td>January through December Part D risk score. This field contains the consolidated risk score used in payment calculation for that month.</td>
</tr>
<tr>
<td>PTD_RISK_SCORE_03</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_04</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_05</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_06</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_07</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_08</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_09</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_10</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_11</td>
<td></td>
</tr>
<tr>
<td>PTD_RISK_SCORE_12</td>
<td></td>
</tr>
</tbody>
</table>

**TYPE:** NUM

**LENGTH:** 7.4

**SOURCE:** CMS risk adjustment file

**VALUES:** Values between 00.159 and 11.280
Null/missing = Beneficiary did not have Medicare Part A or B enrollment for the month

**COMMENT:** There are 12 monthly variables — where the 01 through 12 at the end of the variable name correspond with the month (e.g., 01 is January and 12 is December).

The Part D risk score model segment used to calculate the resolved risk score for a given month is identified using the corresponding monthly model segment code variable (PTD_MODEL_SGMT_CD_MM).

The beneficiary status (i.e., low-income status and ESRD status) was based on the characteristics of the beneficiaries in April 2015.
**RFRNC_YR**

**LABEL:** Reference (Payment) Year

**DESCRIPTION:** Reference (payment) year for the data file.

**LONG NAME:** RFRNC_YR

**TYPE:** NUM

**LENGTH:** 8

**SOURCE:** CCW (derived)

**VALUES:** 2015

**COMMENT:** Beneficiary-level scores apply for a payment year and are based on information from the prior year (i.e., payment risk scores are prospective).

The risk adjustment models use a prospective, rather than a concurrent model. That means that information from the year prior to the payment year (or prediction year) is used to identify the Hierarchical Condition Categories (HCC) from claims.