Mainframe Claim List Example
Reference Guide

Introduction

Objective

Illustrate how to report data on the ERRP Claim List (CL) consistent with the
ERRP Mainframe Claim List layout and the ERRP program requirements to attain an error-free Claim List submission.

The following Claim List Example reviews several important concepts related to CL submissions. Specifically, this Claim List Example demonstrates how to perform the following on an ERRP Claim List:

Illustration 1

Identify Professional, Institutional, and Prescription claim record data in the required format as indicated in the Claim List layout.

Illustration 2

Report Costs Paid by Early Retiree.

Illustration 3

Report claim data for applications with a transition plan year, i.e., plan year beginning prior to 6/1/2010, with Early Retiree claim data exceeding the cost threshold prior to 6/1/2010 with cost adjustments.

Illustration 4

Report claim data for an Early Retiree meeting the limit reduction with cost adjustments.

Illustration 5

Report claim data for applications with a transition plan year, i.e., plan year beginning prior to 6/1/2010, with Early Retiree claim data exceeding the cost threshold prior to 6/1/2010, meeting the cost limit with cost adjustments.

Illustration 6

Accurately report bundled claims in the Claim List.

Illustration Claim List Headers and Formatting

Compile all Claim List record types (File Header, Professional, Institutional, Prescription, Cost Adjustment and File Trailer) and all claim level headers and claim detail records into single Claim List that correlates to the ERRP SWS Summary Cost Data. *Illustration: CL Headers and Formatting* contains Claim List values with column headers; *Illustration: CL No Headers and Formatting* contains Claim List values without column headers.

Illustration CL Mainframe

An example of a Claim List formatted for mainframe submission to the ERRP Center.

It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

What is included in this Claim List Example?

The Claim List Example consists of two main parts: the first part is this document, the Claim List Example Reference Guide; the second part is an online Excel workbook with claim data worksheets to support each of the illustrations previously mentioned.

To fully understand this Claim List Example, you will need to reference both this Claim List Example Reference Guide and the online Excel workbook it references. It is highly recommended you print this document and review the hard copy information while viewing the illustrations in the workbook online. Please note that the Excel workbook is not intended for printing.

Claim Data Worksheet Legend

The Claim List online worksheets that are referenced in this Reference Guide are color-coded to quickly identify important data elements in the Claim List. Specifically, the Item Plan Paid Amount, Cost Paid by Early Retiree, Incurred Dates, and all required fields are identifiable as follows:

Shaded Blue	Shaded Blue with white text indicates Mainframe Claim List Layout REQUIRED fields.
TEXT	Bold Yellow text with blue background indicates Item Plan Paid Amount data.
TEXT	Bold Red text with white background indicates Cost Paid by Early Retiree data.
TEXT	Bold Aqua Text with blue background indicates Incurred Date.
Bold & Underlined Text	Bold and underlined text indicates the claim line that exceeds the Cost Limit.
Bold Text	Bold text indicates the claim line that exceeds the Cost Threshold.

Claim Data Disclaimer

Please note that the claim data referenced in this Claim List Example was created for demonstration purposes only. As such, there may not always be a realistic continuity between a health service/item, diagnosis code and/or paid amount. Excel is used in this Mainframe Claim List Example for illustration purposes and is not the preferred tool for creating a mainframe Claim List. Additionally, the conventions used for Member IDs, Group IDs, Claim numbers, Provider IDs, etc., may vary from industry standard to ensure no personal health information was unintentionally duplicated. For ease of understanding, the dollar values, shading, column headers, etc. displayed in the Claim List Example Excel workbook are for illustration purposes ONLY. DO NOT include dollar signs, decimals, column headers, or shading when submitting a Claim List to the ERRP Center. Numeric fields are right justified and zero filled to the left. Alphanumeric fields are left justified and space filled to the right. Optional numeric fields that do not contain claim values should be zero filled. Optional alphanumeric fields that do not contain claim values should be space filled. Filler fields must be space filled. Additionally, for the claims used in this Claim List example, you should assume all claims are within the respective early retiree's ERRP eligibility period as indicated in the Early Retiree List Response File. Finally, each Claim List must include claim data for one application plan year only. Combining data for more than one application and/or plan year will cause errors in the Claim List submission.

Illustration 1: Identify Professional, Institutional, and Prescription claim record data in the required format as indicated in the Claim List layout.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 1* link shown here:

Illustration 1

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It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Jane Wright, has a total of 7 claims eligible for ERRP. Specifically, she has 7 Institutional claim detail lines, 2 Prescription claim detail lines, and 8 Professional claim detail lines.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the ERRP Mainframe Claim List layout by an 'R' in the Required / Situational / Optional column) are identified in the Illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue shaded fields on a Claim List submission does not include valid data, that Claim List will have errors.
- Incurred Dates: All incurred dates (From Date [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) occurring after 6/1/2010 are identified in the illustration by **bold aqua text with blue background**. Note: Claims with incurred dates on or after 6/1/2010 do not impact Pre 6/1/2010 limit reduction.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the mainframe Claim List submitted to ERRP Center.
- Allowable Cost: Allowable Cost amount is $18,310.00 (Total Cost Pre 6/1/2010 ($0.00) + Total Cost On or After 6/1/2010 ($33,310.00) – Cost Threshold ($15,000.00) – Total Limit Reduction ($0.00)).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	$0.00	
Cost Paid by Early Retiree Pre 6/1/2010	$0.00	
Cost Adjustment (CB)	$0.00	
Total Cost Pre 6/1/2010	$0.00	**Pre 6/1/2010: Item Plan Paid (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) = 0**
Limit Reduction Amount applied pre 6/1/2010	$0.00	**Cost Paid by Plan (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) - 15,000 = Total is less than 15000 so 0**
Item Plan Paid On/ After 6/1/2010	$33,310.00	**Item Plan Paid Post 6/1 (33310)**
Cost Paid by Early Retiree On/after 6/1/2010	$0.00	
Cost Adjustment (CA)	$0.00	
Total Cost on or After 6/1/2010	$33,310.00	**On or After 6/1/2010: Item Plan Paid (33310) + Cost Paid by Early Retiree (0) - Cost Adjustment-CA (0) = 33310**
Final Total Cost	$33,310.00	**Total Cost Pre 6/1 (0)- Limit Reduction Pre 6/1 (0) + Total Cost On or After 6/1/10 (33310) = 33310**
Limit Reduction Amount applied on/after 6/1/2010	$0.00	**Final Total Cost (33310) - Cost Limit (90000) = Total less than 90000 = 0**
Total Limit Reduction	$0.00	**Pre 6/1 Limit Reduction (0) + On or After 6/1 Limit Reduction (0) = 0**
Allowable Cost	$18,310.00	**Total Cost Pre 6/1/2010 (0) + Total Cost On or After 6/1/2010 (33310) - Cost Threshold (15000) - Total Limit Reduction (0) = 18310**

- Limit Reduction: Final Total Cost amount is $33,310.00 which is less than the cost limit of $90,000 so there is no limit reduction.
- Cost Adjustments: No applicable cost adjustments. (**Note**: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID.)
- File Trailer Subtotal for Jane Wright:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Jane Wright	7	17	33310.00	0	0

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center should NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Jane Wright:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$33,310.00	$0.00	$15,000	$0.00

Illustration 2: Report Costs Paid by Early Retiree

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 2* link shown here:

Illustration 2

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It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Molly Trent, has a total of 5 claims eligible for ERRP. Specifically, she has 4 Institutional claim detail lines, 2 Prescription claim detail lines, and 9 Professional claim detail lines.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the ERRP Mainframe Claim List layout by an 'R' in the Required / Situational / Optional column) are identified in the illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue shaded fields on a Claim List submission does not include valid data, that Claim List will have errors.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the Claim List submitted to ERRP Center.
- Incurred Dates: All incurred dates (From Date of Service [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) are identified in the illustration by **bold aqua text with blue background**. In this illustration all incurred dates are after 6/1/2010.
- Cost Paid by Early Retiree amounts: Cost Paid by Early Retiree (HI09, HP09, HX09) amounts are identified in the illustration by **bold red text**. The Cost Paid by Early Retiree amount is reported in the Claim Level Header record. Total Cost Paid by Early Retiree amount is $115.00.
- Allowable Cost: Allowable Cost amount is $ 112.00 (Total Cost Pre 6/1/2010 ($0.00) + Total Cost On or After 6/1/2010 ($15,112.00) – Cost Threshold ($15,000.00) – Total Limit Reduction ($0.00)).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	$0.00	
Cost Paid by Early Retiree Pre 6/1/2010	$0.00	
Cost Adjustment (CB)	$0.00	
Total Cost Pre 6/1/2010	$0.00	Pre 6/1/2010: Item Plan Paid (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) = 0
Limit Reduction Amount applied pre 6/1/2010	$0.00	Cost Paid by Plan (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) - 15,000 = 0
Item Plan Paid On/ After 6/1/2010	$14,997.00	Item Plan Paid Post 6/1 (14997)
Cost Paid by Early Retiree On/after 6/1/2010	$115.00	
Cost Adjustment (CA)	$0.00	
Total Cost on or After 6/1/2010	$15,112.00	On or After 6/1/2010: Item Plan Paid (14997) + Cost Paid by Early Retiree (115) - Cost Adjustment-CA (0)= 15112
Final Total Cost	$15,112.00	Total Cost Pre 6/1 (0)- Limit Reduction Pre 6/1 (0) + Total Cost On or After 6/1/10 (15112) = 15112
Limit Reduction Amount applied on/after 6/1/2010	$0.00	Final Total Cost (15112) - Cost Limit (90000) = Total less than 90000 = 0
Total Limit Reduction	$0.00	Pre 6/1 Limit Reduction (0) + On or After 6/1 Limit Reduction (0) =0
Allowable Cost	$112.00	Total Cost Pre 6/1/2010 (0) + Total Cost On or After 6/1/2010 (15112) - Cost Threshold (15000)- Total Limit Reduction (0) = 112

- Limit Reduction: Final Total Cost amount is $15,112.00 which is less than the cost limit of $90,000 so there is no limit reduction.
- Cost Adjustments: No applicable cost adjustments. (**Note**: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID.)
- File Trailer Subtotal for Molly Trent:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Molly Trent	5	15	14997.00	115.00	0

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center must NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Molly Trent:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$ 14,997.00	$115.00	$15,000	$0.00

Illustration 3: Report claim data for applications with a transition plan year, i.e., plan year beginning prior to 6/1/2010, with Early Retiree claim data exceeding the cost threshold prior to 6/1/2010 with cost adjustments.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 3* link shown here:

Illustration 3

It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Sally Smith, has a total of 7 claims eligible for ERRP. Specifically, she has 3 Institutional claim detail lines, 2 Prescription claim detail lines, and 6 Professional claim detail lines. She also has $2.00 worth of cost adjustments prior to 6/1/2010 and $3.00 worth of cost adjustments on or after 6/1/2010.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the ERRP Mainframe Claim List layout by an 'R' in the Required / Situational / Optional column) are identified in the illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue shaded fields on a Claim List submission does not include valid data, that Claim List will have errors.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the Claim List submitted to ERRP Center.
- Incurred Dates: All incurred dates (From Date of Service [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) are identified in the illustration by **bold aqua text with blue background**. In this illustration incurred dates are prior to 6/1/2010 and after 6/1/2010. Note: Claims with incurred dates prior to 6/1/2010 only count toward cost threshold and are ineligible for reimbursement; however, they must be reported on the Claim List.
- Excess Cost Threshold: Prior to 6/1/2010, Sally accumulated $19,680.00 [$19,670.00 (Item Plan Paid Amount) +$10.00 (Early Retiree Paid)] of total claim paid amounts. The ERRP SWS will deduct the $15,000 cost threshold and the $2.00 cost adjustment prior to 6/1/2010 from this amount before considering the amount eligible for reimbursement. However, the balance of

$4,678.00 ($19,680.00 - $2.00- $15,000.00) is also ineligible for reimbursement since the incurred dates are prior to 6/1/2010. Consequently this excess cost threshold amount must be reported as a limit reduction. This claim detail line for Claim Number (DI04) ending in 43000 is identified in the illustration with **bold text**. Remember to *only* report the claim detail line that crosses the threshold unless the claim includes an amount in the Cost Paid by Early Retiree amount. If there is a Cost Paid by Early Retiree amount, the entire claim must be included in the Claim List.

- Cost Paid by Early Retiree amounts: Cost Paid by Early Retiree (HI09, HP09, HX09) amounts are identified in the illustration by **bold red text**. The Cost Paid by Early Retiree amount is reported in the Claim Level Header record. Total Cost Paid by Early Retiree amount is $50.00

- Allowable Cost: Allowable Cost amount is $ 74,587.00 (Total Cost Pre 6/1/2010 ($19,678.00) + Total Cost On or After 6/1/2010 ($74,587.00) – Cost Threshold ($15,000.00) – Total Limit Reduction ($4678.00)).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	$19,670.00	
Cost Paid by Early Retiree Pre 6/1/2010	$10.00	
Cost Adjustment (CB)	$2.00	
Total Cost Pre 6/1/2010	$19,678.00	Pre 6/1/2010: Item Plan Paid (19670) + Cost Paid by Early Retiree (10) - Cost Adjustment-CB (2) = 19678
Limit Reduction Amount applied pre 6/1/2010	$4,678.00	Cost Paid by Plan (19670) + Cost Paid by Early Retiree (10) - Cost Adjustment-CB (2) - 15,000 = 4678
Item Plan Paid On/ After 6/1/2010	$74,550.00	Item Plan Paid Post 6/1 (74550)
Cost Paid by Early Retiree On/after 6/1/2010	$40.00	
Cost Adjustment (CA)	$3.00	
Total Cost on or After 6/1/2010	$74,587.00	On or After 6/1/2010: Item Plan Paid (74550) + Cost Paid by Early Retiree (40) - Cost Adjustment-CA (3) = 74587
Final Total Cost	$89,587.00	Total Cost Pre 6/1 (19678)-Limit Reduction Pre 6/1 (4678) + Total Cost On or After 6/1/10 (74587) = 89587
Limit Reduction Amount applied on/after 6/1/2010	$0.00	Final Total Cost (89587) - Cost Limit (90000) = Total less than 90000 = 0
Total Limit Reduction	$4,678.00	Pre 6/1 Limit Reduction (4678) + On or After 6/1 Limit Reduction (0) = 4678
Allowable Cost	$74,587.00	Total Cost Pre 6/1/2010 (19678) + Total Cost On or After 6/1/2010 (74587) - Cost Threshold (15000) - Total Limit Reduction (4678) = 74587

- Limit Reduction: Final Total Cost amount is $89,587.00 which is less than the cost limit of $90,000 so there is no additional limit reduction (only the amount from the excess cost threshold). Refer to the claim detail line for Claim Number (DI04) ending in 43000 in **bold text**. The item plan paid amount is $6000.00; however only $1,320.00 was needed to meet the $15,000 cost threshold.
- Cost Adjustments: Cost adjustments were applied to Sally's claim records, both to claims prior to 6/1/2010 and after 6/1/2010. Consequently, the CA (Cost Adjustment After 6/1/2010) and CB (Cost Adjustment Before 6/1/2010) records must be submitted in the Claim List. (**Note**: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID.)
- File Trailer Subtotal for Sally Smith:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Sally Smith	7	11	94220.00	50.00	5.00

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center must NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Sally Smith:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$ 94,215.00	$50.00	$15,000	$4,678.00

Note: When Plan Sponsors enter Summary Cost Data within the ERRP Secure Website, ERRP Center Requires the Cost Adjustment be subtracted from the Cost Paid by Plan amount when entering the Cost Paid by Plan value. In *Illustration 3*, the Total Cost Paid by Plan is $94,220.00 – Cost Adjustment is $5.00 equals $94,215.00 to be entered in the ERRP Secure Website.

Illustration 4: Report claim data for an Early Retiree meeting the limit reduction with cost adjustments.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 4* link shown here:

Illustration 4

It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Frank Ross, has a total of 7 claims eligible for ERRP. Specifically, he has 4 Institutional claim detail lines, 2 Prescription claim detail lines, and 4 Professional claim detail lines. He also has $4.00 worth of cost adjustments on or after 6/1/2010.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the ERRP Mainframe Claim List layout by an 'R' in the Required / Situational / Optional column) are identified in the illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue shaded fields on a Claim List submission does not include valid data, that Claim List will have errors.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the Claim List submitted to ERRP Center.
- Incurred Dates: All incurred dates (From Date of Service [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) are identified as having **bold aqua text with blue background**. In this illustration all incurred dates are after 6/1/2010.
- Cost Paid by Early Retiree amounts: Cost Paid by Early Retiree (HI09, HP09, HX09) amounts are identified in the illustration by **bold red text**. The Cost Paid by Early Retiree amount is reported in the Claim Level Header record. Total Cost Paid by Early Retiree amount is $1080.00.
- Allowable Cost: Allowable Cost amount is $75,000.00 (Total Cost Pre 6/1/2010 ($0.00) + Total Cost On or After 6/1/2010 ($105,176.00) – Cost Threshold ($15,000.00) – Total Limit Reduction ($15,176.00)).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	$0.00	
Cost Paid by Early Retiree Pre 6/1/2010	$0.00	
Cost Adjustment (CB)	$0.00	
Total Cost Pre 6/1/2010	$0.00	Pre 6/1/2010: Item Plan Paid (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) = 0
Limit Reduction Amount applied pre 6/1/2010	$0.00	Cost Paid by Plan (0) + Cost Paid by Early Retiree (0) – Cost Adjustment-CB (0) - 15,000 = 0
Item Plan Paid On/ After 6/1/2010	$104,100.00	Item Plan Paid Post 6/1 (104100)
Cost Paid by Early Retiree On/after 6/1/2010	$1,080.00	
Cost Adjustment (CA)	$4.00	
Total Cost on or After 6/1/2010	$105,176.00	On or After 6/1/2010: Item Plan Paid (104100) + Cost Paid by Early Retiree (1080) - Cost Adjustment-CA (4) = 105176
Final Total Cost	$105,176.00	Total Cost Pre 6/1 (0) - Limit Reduction Pre 6/1 (0) + Total Cost On or After 6/1/10 (105176) = 105176
Limit Reduction Amount applied on/after 6/1/2010	$15,176.00	Final Total Cost (105176) - Cost Limit (90000) = 15176
Total Limit Reduction	$15,176.00	Pre 6/1 Limit Reduction (0) + On or After 6/1 Limit Reduction (15176) = 15176
Allowable Cost	$75,000.00	Total Cost Pre 6/1/2010 (0) + Total Cost On or After 6/1/2010 (105176) - Cost Threshold (15000) - Total Limit Reduction (15176) = 75000

- Limit Reduction: Final Total Cost amount of $105,176.00 exceeds the cost limit of $90,000 so there is a limit reduction amount of $15,176.00. Notice that only the claim detail line that met the $90,000 cost limit is reported on the Claim List. The balance of that claim paid amount beyond the $90,000 is the amount reported in the Limit Reduction field on the ERRP SWS. This claim detail line is identified in the illustration with bold underlined text.
- Cost Adjustments: Cost adjustments were applied to Frank's claim records after 6/1/2010. Consequently, the CA (Cost Adjustment After 6/1/2010) record must be submitted in the Claim List. (**Note**: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID.)
- File Trailer Subtotal for Frank Ross:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Frank Ross	7	10	104100.00	1080.00	4.00

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center must NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Frank Ross:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$ 104,096.00	$1,080.00	$15,000	$15,176.00

Note: When Plan Sponsors enter Summary Cost Data within the ERRP Secure Website, ERRP Center requires the Cost Adjustment be subtracted from the Cost Paid by Plan amount when entering the Cost Paid by Plan value. In *Illustration 4*, the Total Cost Paid by Plan is $104,100.00 – Cost Adjustment is $4.00 equal $104,096.00.

Illustration 5: Report claim data for applications with a transition plan year, i.e., plan year beginning prior to 6/1/2010, with Early Retiree claim data exceeding the cost threshold prior to 6/1/2010, meeting the cost limit with cost adjustments.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 5* link shown here:

Illustration 5

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It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Ella Frank, has a total of 5 claims eligible for ERRP. Specifically, she has 4 Institutional claim detail lines, 0 Prescription claim detail lines, and 2 Professional claim detail lines. She also has $20.00 worth of cost adjustments prior to 6/1/2010 and $10.00 worth of cost adjustments on or after 6/1/2010.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the [ERRP Mainframe Claim List layout] by an 'R' in the Required / Situational / Optional column) are identified in the illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue shaded fields on a Claim List submission does not include valid data, that Claim List will have errors.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the Claim List submitted to ERRP Center.
- Incurred Dates: All incurred dates (From Date of Service [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) are identified in the illustration by **bold aqua text with blue background**. In this illustration incurred dates are prior to 6/1/2010 and after 6/1/2010. Claims with incurred dates prior to 6/1/2010 *only* count toward cost threshold and are ineligible for reimbursement; however, they *must* be reported on the Claim List.

- Excess Cost Threshold: Prior to 6/1/2010, Ella accumulated $15,217.00 of total claim paid amounts. The ERRP SWS will deduct the $15,000 cost threshold from this amount before considering the amount eligible for reimbursement along with any cost adjustments prior to 6/1/2010. However, the balance of $197.00 (Total Item Plan Paid Amount of $15,200.00+ Total Cost Paid by Early Retiree prior to 6/1/2010 of $17.00 – Cost Adjustments of $20.00 - Cost Threshold of $15,000) is also ineligible for reimbursement since the incurred dates are prior to 6/1/2010. Consequently this excess cost threshold amount must be reported as a limit reduction. This claim detail line for Claim Number (DI04) ending in 80743 is identified in the illustration with **bold text**. Remember to *only* report the claim detail line that crosses the threshold unless the claim includes an amount in the Cost Paid by Early Retiree amount. If there is a Cost Paid by Early Retiree amount, the entire claim must be included in the Claim List.
- Cost Paid by Early Retiree amounts: Cost Paid by Early Retiree (HI09, HP09, HX09) amounts are identified in the illustration by **bold red text**. The Cost Paid by Early Retiree amount is reported in the Claim Level Header record. Total Cost Paid by Early Retiree amount is $502.00.
- Allowable Cost: Allowable Cost amount is $75,000.00 (Total Cost Pre 6/1/2010 ($15,197.00) + Total Cost on or After 6/1/2010 ($88,875.00) – Cost Threshold ($15,000.00 – Total Limit Reduction ($14,072.00)).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	**$15,200.00**	
Cost Paid by Early Retiree Pre 6/1/2010	**$17.00**	
Cost Adjustment (CB)	**$20.00**	
Total Cost Pre 6/1/2010	**$15,197.00**	**Pre 6/1/2010: Item Plan Paid (15200) + Cost Paid by Early Retiree (17) - Cost Adjustment-CB (20) = 15197**
Limit Reduction Amount applied pre 6/1/2010	**$197.00**	**Cost Paid by Plan (15200) + Cost Paid by Early Retiree (17) - Cost Adjustment-CB (20) - 15,000 = $197.00**
Item Plan Paid On/ After 6/1/2010	**$88,400.00**	**Item Plan Paid Post 6/1 (88400)**
Cost Paid by Early Retiree On/After 6/1/2010	**$485.00**	
Cost Adjustment (CA)	**$10.00**	
Total Cost on or After 6/1/2010	**$88,875.00**	**Post 6/1/2010: Item Plan Paid (88400) + Cost Paid by Early Retiree (485) - Cost Adjustment-CA (10) = 88875**
Final Total Cost	**$103,875.00**	**Total Cost Pre 6/1 (15197) - Limit Reduction Pre 6/1 (197) + Total Cost On or After 6/1/10 (88875) = 103875**
Limit Reduction Amount applied on/after 6/1/2010	**$13,875.00**	**Final Total Cost (103875) - Cost Limit (90000) = 13875**
Total Limit Reduction	**$14,072.00**	**Pre 6/1 Limit Reduction (197) + On or After 6/1 Limit Reduction (13,875) = 14072**
Allowable Cost	**$75,000.00**	**Total Cost Pre 6/1/2010 (15197) + Total Cost on or After 6/1/2010 (88875) - Cost Threshold (15000) - Total Limit Reduction (14072) = 75000**

- Limit Reduction on or After 6/1/2010: Final Total Cost amount of $103,875.00 is beyond the cost limit of $90,000.00 so there is a limit reduction amount of $13,875.00. Notice that only the claim detail line that met the $90,000.00 cost limit is reported on the Claim List. The balance of that claim paid amount beyond the $90,000.00 is the amount reported in the Limit Reduction field on the ERRP SWS. This claim detail line is identified in the illustration with bold underlined text. It is important to note that for this early retiree, the Limit Reduction field will be the sum of the excess cost threshold amount plus the balance over the cost limit. The total Limit Reduction for Ella is $14,072.00 (Pre 6/1/2010 Cost Threshold of $197.00 + On or After 6/1/2010 Cost Limit of $13,875.00).
- Cost Adjustments: Cost adjustments were applied to Ella's claim records prior to and on or after 6/1/2010. Consequently, the CB (Cost Adjustment Prior to 6/1/2010) and the CA (Cost Adjustment On or After 6/1/2010) records must be submitted in the Claim List. (Note: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID).
- File Trailer Subtotal for Ella Frank:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Ella Frank	5	6	103600.00	502.00	30.00

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center must NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Ella Frank:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$ 103,570.00	$502.00	$15,000	$14,072.00

Note: Within the ERRP Secure Website when entering the Summary Cost Data, ERRP Center requires the Cost Adjustment be subtracted from the Cost Paid by Plan amount when entering the Cost Paid by Plan value. So in *Illustration 5*, the Total Cost Paid by Plan is $103,600.00 - $30.00 = $103,570.00.

Illustration 6: **Accurately report bundled claims in the Claim List**

Bundling is a method of reporting claims that allows the plan sponsor to report the total Item Plan Paid amount of multiple service lines for one claim on a single Claim List detail line.

We are aware that claims being reported to the ERRP Center may contain bundled services, a method by which the insurance company decides to combine payment for two or more medical services. When reporting bundled claims to the ERRP Center, the Plan Sponsors will identify these claims on the Claim List using a bundle code. The bundle code for Institutional claims is **XXXX** (four Xs) in the Revenue Code field. The bundle code for Professional claims is **XXXXX** (five Xs) in the Procedure Code field. The claim detail line that includes the bundle code is called the bundled claim detail line. Institutional and Professional claims are eligible for bundling; Prescription claims are not eligible for bundling.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration 6* link shown here:

Illustration 6

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It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

The Early Retiree, Greg Mill, has a total of 11 claims eligible for ERRP. Specifically, he has 9 Institutional claim detail lines, 2 Prescription claim detail lines, and 6 Professional claim detail lines.

Discussion Points:

- Early Retiree Name column: This column is included in the illustration worksheet for illustration purposes only and is not a valid field in the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription)
- Required Fields: Required fields (as identified in the ERRP Mainframe Claim List layout by an 'R') are identified in the illustration by blue shaded cells and include data that is consistent with the field description/values. If one of the required blue fields on a Claim List submission does not include valid data, that Claim List would be rejected.
- Incurred Dates: All incurred dates (From Date of Service [DI07, DP06], Filled Date [DX06] and/or Admit Date [DI06]) occurring on or after 6/1/2010 are identified in the illustration by **bold aqua text with blue background**.
- Filler fields: For ease of understanding, [spaces] has been inserted in all Filler fields in the Claim List Example Online Excel Workbook as a reminder that only spaces are allowed in Filler fields. Do NOT include alphanumeric characters or special characters in Filler fields in the mainframe Claim List submitted to ERRP Center.

- **When reporting bundled <u>Institutional</u> claims to the ERRP Center, all of the following conditions must be true:**
    1. The bundled services must contain at least one bundled claim detail line with the value XXXX (four Xs) in the Revenue Code (DI22) field; and it **must** be the first line of the bundled set of services/procedures/products. Additionally, if there is a value for Cost Paid by Early Retiree, the Cost Paid by Early Retiree value (greater than zero) **must** be entered in the Cost Paid by Early Retiree (HI09) field on the claim level header record for the bundled claim. For the SWS submitter this would be the first detail row which does not have to be the XXXX claim detail line.

        Note: To avoid renumbering claim Line Items or replacing valid Revenue Codes, the first claim Line Item for the bundled claim can be assigned by the Plan Sponsor (e.g. 000, 999, etc.). The Plan Sponsor may assign a Line Item for the first line of the bundled claim as a bundled claim detail line to avoid overwriting a valid claim.

    2. The claim detail line with Revenue Code 'XXXX' shall have an Item Plan Paid Amount greater than zero.

        Note: There may be occasions when the total amount of the bundled claim services is paid by the Early Retiree (e.g. deductible); that amount is found in the Cost Paid by Early Retiree, and the Item Plan Paid Amount will equal zero for that claim.

    3. The bundled claim detail line must be followed by at least one subsequent claim detail line for which all the following conditions are true:

        - Valid value entered in the Principal ICD Procedure Code (DI16) field; or
        - Valid value (not XXXX) entered in the Revenue Code (DI22) field; or
        - Valid value entered in the Procedure Code (DI23) field; and
        - Value entered in the Item Plan Paid Amount (DI31) field equal to zero; and
        - Must have a From Date of Service (DI07) and To Date of Service (DI08) that is within the date range specified in the bundled claim detail line.

    4. The Unit Quantity (DI29) is an optional field meaning it can be provided or left blank; however, if a value is provided it should be listed on either the bundled claim detail line as total quantity or the supporting bundled claim detail line(s) denoting quantity for each detail.

        Note: A Claim List will be rejected when an optional field is populated with an invalid value. For more information about a Claim List rejecting due to an invalid value identified as optional, please review [ERRP Claim List Common Question H1100-38](#).

    5. Rows 17-24 from Greg Mill's claim data listed in the table below display that the Institutional bundled set of services/procedures/products has been bundled correctly. Three Institutional claim detail lines (rows 21-23) are bundled for a total Item Plan Paid Amount (DI31) of $6,800.00 listed in row 20.

	Early Retiree Name	HI01 Record Type	HI04 Claim Number	HI09 Cost Paid by Early Retiree	HI10 Type of Bill			
17								
18	Greg Mill	HI	5345246000	$16.00	999			

	Early Retiree Name	DI01 Record Type	DI04 Claim Number	DI05 Claim Line Item	DI06 Admit Date	DI07 From Date of Service	DI08 To Date of Service	DI22 Revenue Code	DI31 Item Plan Paid Amount
19									
20	Greg Mill	DI	5345246000	000	20101016	20101016	20101018	XXXX	$6,800.00
21	Greg Mill	DI	5345246000	001	20101016	20101016	20101018	0120	$0.00
22	Greg Mill	DI	5345246000	002	20101016	20101016	20101018	0272	$0.00
23	Greg Mill	DI	5345246000	003	20101016	20101016	20101018	0963	$0.00
24	Greg Mill	DI	5345246000	004	20101016	20101016	20101018	0300	$650.00

Greg Mill – Early Retiree claim detail lines illustrating Institutional bundling

a) Row 20, the Institutional bundle code XXXX is entered in the Revenue Code (DI22) field indicating the payment of a bundled set of services/procedures/products, and the Item Plan Paid Amount (DI31) is $6,800.00 indicating a bundled payment of $6,800.00.

b) Row 18, Type of Bill (HI10) is equal to 999 which means the Admission Date (DI06) of 10/16/2010 is the incurred date for rows 20-23. The To Date of Service (DI08) for rows 20-23 is 10/18/2010.

c) Rows 21-23, have an Admission Date (DI06) on or after 10/16/2010. Additionally, the From Date of Service (DI07) is 10/16/2010 and the To Date of Service (DI08) is 10/18/2010. These claim detail lines have an accurate date range which is on or after the Admission Date (DI06) and on or before the To Date of Service (DI08) of the bundled code claim detail line, row 20.

d) The Cost Paid by Early Retiree amount of $16.00 for the bundled claim is included in the total Cost Paid by Early Retiree amount on row 18, which is the claim level header record for claim number 5345246000.

e) Rows 21-23, the Revenue Code (DI22) field is populated with a valid values and the Item Plan Paid Amount (DI31) is equal to zero. This indicates that payment for this bundled set of services/procedures/products have been bundled into the $6,800.00 Item Plan Paid Amount reported on the bundled claim detail line (row 20).

Note: All detail lines associated with and following the Institutional bundled claim detail line must contain an Item Plan Paid Amount equal to zero and a valid Procedure Code, Revenue Code or ICD Principal Procedure Code.

f) Row 24 indicates a claim detail line for the same Claim Number (5345246000) found within the bundled example. However this claim detail line is separate from the bundled claim as indicated with $650.00 in the Item Plan Paid Amount (DI31) field. The Claim Number 5345246000 and Line Item of 004 indicates the claim detail line is part of the same claim. However, it is not included in the bundled claim amount since the Item Plan Paid Amount (DI31) is $650.00 and not $0.00.

- **When reporting bundled Professional claims to the ERRP Center, all of the following conditions must be true:**
  1. The bundled services must contain at least one bundled claim detail line with the value XXXXX (five Xs) in the Procedure Code (DP09) field; and it **must** be the first line of the bundled set of services/procedures/products. Additionally, if there is a value for Cost Paid by Early Retiree, the Cost Paid by Early Retiree value (greater than zero) **must** be entered in the

Cost Paid by Early Retiree (HP09) field on the claim level header record for the bundled claim. For the SWS submitter this would be the first detail row which does not have to be the XXXX claim detail line.

Note: To avoid renumbering claim Line Items or replacing valid Procedure Codes, the first claim line item for the bundled claim can be assigned by the Plan Sponsor (e.g. 000, 999, etc.). The Plan Sponsor may assign a Line Item for the first line of the bundled claim as a bundled claim detail line to avoid overwriting a valid claim.

2. The bundled claim detail line must be followed by at least one subsequent claim detail line for which the following conditions are true:
   - Valid value (not XXXXX) entered in the Procedure Code (DP09) field; and

   - Value entered in the Item Plan Paid Amount (DP24) field equal to zero; and

   - The subsequent claim detail line must appear before the next bundled claim detail line (occurrence of XXXXX) in the Claim List; and

   - Must have a From Date of Service (DP06) and To Date of Service (DP07) that is within the date range specified in the bundled claim detail line.

3. The Unit Quantity (DP20) is an optional field meaning it can be provided or left blank, however if a value is provided it should be numeric (without a decimal) and listed on either the bundled claim detail line as total quantity or the supporting bundled claim detail line(s) denoting quantity for each detail.

   Note: A Claim List will be rejected when an optional field is populated with an invalid value. For more information about a Claim List rejecting due to an invalid value identified as optional, please review ERRP Claim List Common Question H1100-38.

4. The claim detail line with Procedure Code 'XXXXX' shall have an Item Plan Paid Amount greater than zero.

   Note: There may be occasions when the claim amount is paid by the Early Retiree (e.g. higher deductible); that amount is found in the Cost Paid by Early Retiree, and the Item Plan Paid Amount will equal zero for that claim.

5. Rows 37-42 from Greg Mill's claim data listed in the table below display the Professional bundled set of services/procedures/products have been bundled correctly. Two Professional claim detail lines (rows 41-42) are bundled for a total Item Plan Paid Amount (DP24) of $4,800.00 listed in row 40.

	Early Retiree Name	HP01 Record Type	HP04 Claim Number	HP09 Cost Paid by Early Retiree				
37								
38	Greg Mill	HP	5345211000	$12.00				
39	Early Retiree Name	DP01 Record Type	DP04 Claim Number	DP05 Claim Line Item	DP06 From Date of Service	DP07 To Date of Service	DP09 Procedure Code	DP24 Item Plan Paid Amount
40	Greg Mill	DP	5345211000	000	20100605	20100605	XXXXX	$4,800.00
41	Greg Mill	DP	5345211000	001	20100605	20100605	A4258	$0.00
42	Greg Mill	DP	5345211000	002	20100605	20100605	P2028	$0.00

Greg Mill – Early Retiree claim detail lines illustrating Professional bundling

a) Row 40, the Professional bundle code XXXXX is entered in the Procedure Code (DP09) field indicating the bundled set of services/procedures/products, and the Item Plan Paid Amount (DP24) is greater than zero ($4,800.00) indicating a bundled payment of $4,800.00.

b) Row 40, the claim detail line with the bundled code of XXXXX (five X's) in the Procedure Code (DP09), has a From Date of Service (DP06) of 06/05/2010 and a To Date of Service (DP07) of 06/05/2010.

c) Rows 41-42 are within the date range of the bundled claim detail line with the bundled code. Both Row 41 and 42 have a From Date of Service (DP06) equaling 06/05/2010 and a To Date of Service (DP07) equaling 06/05/2010.

d) The Cost Paid by Early Retiree amount of $12.00 for the bundled claim is included in the total Cost Paid by Early Retiree (HP09) amount on row 38, which is the claim level header record for claim number 5345211000.

e) Rows 41-42, the Procedure Code (DP09) field is populated with valid values and the Item Plan Paid Amount (DP24) is zero. This indicates that payment for this procedure has been bundled into the $4,800.00 Item Plan Paid Amount (DP24) reported on the bundled claim detail line in row 40.
Note: All detail lines associated with and following the Professional bundled claim detail line must contain an Item Plan Paid Amount equal to zero and a valid Procedure Code.

6. Allowable Cost: Allowable Cost amount is $7,751.00 (Item Plan Paid Amount of $22,638.00+ Cost Paid by Early Retiree amount of $113.00 – Cost Threshold of $15,000.00 = $7,751.00).

Description	Dollar Amount	Calculation
Item Plan Paid Pre 6/1/2010	$0.00	
Cost Paid by Early Retiree Pre 6/1/2010	$0.00	
Cost Adjustment (CB)	$0.00	
Total Cost Pre 6/1/2010	$0.00	Pre 6/1/2010: Item Plan Paid (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) = 0
Limit Reduction Amount applied pre 6/1/2010	$0.00	Cost Paid by Plan (0) + Cost Paid by Early Retiree (0) - Cost Adjustment-CB (0) - 15,000 = Total is less than 15000 = 0
Item Plan Paid On/ After 6/1/2010	$22,638.00	Item Plan Paid Post 6/1 (22638)
Cost Paid by Early Retiree On/after 6/1/2010	$113.00	
Cost Adjustment (CA)	$0.00	
Total Cost on or After 6/1/2010	$22,751.00	On or After 6/1/2010: Item Plan Paid (22638) + Cost Paid by Early Retiree (113) - Cost Adjustment-CA (0) = 22751
Final Total Cost	$22,751.00	Total Cost Pre 6/1 (0) - Limit Reduction Pre 6/1 (0) + Total Cost On or After 6/1/10 (22751) = 22751
Limit Reduction Amount applied on/after 6/1/2010	$0.00	Final Total Cost (22751) - Cost Limit (90000) = Total less than 90000 = 0
Total Limit Reduction	$0.00	Pre 6/1 Limit Reduction (0) + On or After 6/1 Limit Reduction (0) = 0
Allowable Cost	$7,751.00	Total Cost Pre 6/1/2010 (0) + Total Cost On or After 6/1/2010 (22751) - Cost Threshold (15000) - Total Limit Reduction (0) = 7751

- Limit Reduction: Allowable Cost is $7,751.00, which is less than the cost limit of $90,000 so there is no limit reduction.

- Cost Adjustments: No applicable cost adjustments (**Note**: The cost adjustment layouts are not required unless cost adjustments have been applied to a Member ID/Member Group ID).
- File Trailer Subtotal for Greg Mill:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Greg Mill	11	17	22638.00	113.00	0.00

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center should NOT include dollar signs or decimal points.

- ERRP SWS Summary Cost Data Subtotal for Greg Mill:

Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
$22,638.00	$113.00	$15,000	$0.00

Illustration: *Claim List Headers and Formatting*
Compile all Claim List record types (File Header, Professional, Institutional, Prescription, Cost Adjustment and File Trailer) and all early retiree claim records into single Claim List and correlate to the ERRP SWS Summary Cost Data.

Before reviewing the information below, select the Supporting Claim Data Worksheet link for *Illustration: CL Headers and Formatting* which displays column headers, and *Illustration: CL No Headers and Formatting* which does not display column headers shown here:

Headers and
Formatting

No Headers
and Formatting

It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.

Discussion Points:

- Early Retiree Name column: The Early Retiree Name column included in *Illustrations 1-5* has been removed from *CL Headers and Formatting* to acurately reflect the Claim List Layout. DO NOT INCLUDE THE EARLY RETIREE NAME COLUMN IN YOUR CLAIM LIST SUBMISSION.
- File Header: The File Header contains global header information for the Claim List. The File Header must be the first record in the Claim List. There must be only one File Header record in the Claim List.
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header).
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription, CA – Cost Adjustment on or after 6/1/2010, and CB – Cost Adjustment before 6/1/2010).
- File Trailer: The File Trailer contains final totals for the Claim List. The File Trailer must be the last record in the Claim List. There must be only one File Trailer record in the Claim List.
- In *Illustration: CL Headers and Formatting* and *Illustration: CL No Headers and Formatting*, Claim List records are grouped by record type in the following order for demonstration purposes: FH, CA, CB, HI, DI, HP, DP, HX, DX, and FT. Although Claim List record types can be grouped in any order, the Mainframe Claim List must adhere to the following sort requirements:
  1. The FH (File Header) must be the first record in the Claim List.
  2. All the claim detail records for the same claim number are grouped together and preceded by the appropriate claim level header record (HI followed by DI, HP followed by DP, HX followed by DX); and
  3. The FT (File Trailer) must be the last record in the Claim List.

NOTE: *Illustration: CL No Headers and Formatting* contains a dark red outlined box indicating the claim number (383892922) and that claim line item numbers (1-6) are grouped together within the Claim List to meet the sort requirement.

- For ease of understanding, the ERRP Mainframe Claim List layout record type header rows were left in *Illustration: CL Headers and Formatting*; however, this information must **_not_** be reported in actual Claim Lists submitted to the ERRP Center Mainframe. Doing so will cause the Claim List to have errors. *Illustration: CL No Headers and Formatting* displays the raw values within the Claim List with all header information removed.
- Within *Illustration: CL No Headers and Formatting*, the value equal to 6500 that is shaded in blue is an example of the Cost Paid by Early Retiree dollar amount of $65.00 entered within the first record for claim number 866666697. The entire claim is outlined in blue.
- Ensure once the claim data is compiled that each claim level header record and its respective claim detail records have the same information to include: Member ID (DI02, DP02, DX02, CA02, CB02), Member Group ID (DI03, DP03, DX03, CA03, CB03), and Claim Number (DI04, DP04, DX04).
- Note that *Illustration: CL Headers and Formatting* has field values that are formatted, for example, dollar signs, decimals, etc. *Illustration: CL No Headers and Formatting* has fields formatted as required by the Claim List Layout, i.e., without dollar signs, decimals where applicable, leading zeros in numeric fields, trailing spaces in alphanumeric fields.
- File Trailer Totals for all early retirees previously discussed in this Claim List example:

Early Retiree	Total # Claims	Total # Claim Lines	Total Cost Paid by Plan	Total Cost Paid by Early Retiree	Cost Adjustment
Jane Wright	7	17	$33,310.00	$0.00	$0.00
Molly Trent	5	15	$14,997.00	$115.00	$0.00
Sally Smith	7	11	$94,220.00	$50.00	$5.00
Frank Ross	7	10	$104,100.00	$1,080.00	$4.00
Ella Frank	5	6	$103,600.00	$502.00	$30.00
Greg Mill	11	17	$22,638.00	$113.00	$0.00
File Trailer Totals	42	76	$372,865.00	$1,860.00	$39.00

- ERRP SWS Summary Cost Data Totals for all early retirees previously discussed in this Claim List example:

Early Retiree	Cost Paid by Plan	Cost Paid by Early Retiree	Threshold Reduction	Limit Reduction
Jane Wright	$33,310.00	$0.00	$15,000.00	$0.00
Molly Trent	$14,997.00	$115.00	$15,000.00	$0.00
Sally Smith	$94,215.00	$50.00	$15,000.00	$4,678.00
Frank Ross	$104,096.00	$1,080.00	$15,000.00	$15,176.00
Ella Frank	$103,570.00	$502.00	$15,000.00	$14,072.00
Greg Mill	$22,638.00	$113.00	$15,000.00	$0.00
Cost Summary Totals	$372,826.00	$1,860.00	$90,000.00	$33,926.00

Note: For ease of understanding, the dollar values previously mentioned in this Claim List Reference Guide include a decimal and/or a dollar sign; however, dollar amounts provided in the Claim List submitted to ERRP Center must NOT include dollar signs or decimal points.

- The Claim List data should support the ERRP SWS Cost Summary information entered as shown below.

Application ID: 1018941737
Plan Year: January 1, 2010 - December 31, 2010

Cost Summary

	Costs Paid By Plan	Costs Paid By Early Retiree	Threshold Reduction	Limit Reduction	Gross Eligible	Cost Adjustment	Allowable Costs
(UPDATED)	$372,826.00	$1,860.00	$90,000.00	$33,926.00	$250,760.00	$0.00	$250,760.00

- FT Total Cost Paid by Plan (FT09) field: Subtracting the Total Cost Adjustment amount in the Trailer record from the Total Cost Paid by Plan amount equals the amount entered in the Cost Paid by Plan field in the Summary Cost Data within the ERRP Secure Website. The Total Cost Paid by Plan amount in the File Trailer record not only equals the Summary Cost Data, but it also corresponds to the cumulative amount of the individual Cost Paid by Plan amounts in the Claim List.
- FT Total Cost Paid by Early Retiree (FT10) field: Equals the amount entered in the Cost Paid By Early Retiree field in the Summary Cost Data in the ERRP Secure Website.
- FT Total Cost Adjustment (FT11) field: Equals the aggregated total of all Cost Adjustment Amount fields (both in the Cost Adjustment records CA06 and CB06) included in the Claim List. Reminder: CA06 – Cost Adjustment Amount (on or after June 1, 2010) and CB06 – Cost Adjustment Amount (before June 1, 2010)
- FT Total Number of Unique Retirees (FT06) field: Equals the count of unique Early Retirees within the Claim List identified by Unique Person Identifier (UPI), which is derived from the following Early Retiree List fields: Member ID, Member Group ID, Gender, and DOB. Note: If there is one unique person (i.e. one UPI) with two Member ID/ Member Group ID combinations, the unique retiree count must equal one. Even if the early retiree is in two benefit packages, that person counts as one when calculating the Total Number of Unique Retirees.

Illustration: CL Mainframe
Example of Claim List data in Mainframe format for submission to the ERRP Center.

Before reviewing the information below, select the Supporting Claim Data Worksheet for *Illustration CL Mainframe* link shown here:

CL Mainframe

__It is important to note that this ERRP Claim List illustration is for an application with a Plan Year of 01/01/2010 – 12/31/2010. As a result, the cost threshold is equal to $15,000 and the cost limit is $90,000.__

Discussion Points:

- File Header: The File Header contains global header information for the Claim List. The File Header must be the first record in the Claim List. There must be only one File Header record in the Claim List. On the *Illustration: CL Mainframe* worksheet, the File Header is identified by a red outline highlighting the claim data value:
  - FH16675000102010010120111101101518
- Claim Level Header Records: Each eligible claim is preceded in the Claim List by a claim level header record in the respective claim record layout (HI – Institutional claim level header, HP – Professional claim level header, HX – Prescription claim level header)
- Claim Detail Records: Each claim detail record is in the respective claim record layout (DI – Institutional, DP – Professional, DX – Prescription, CA – Cost Adjustment on or after 6/1/2010, and CB – Cost Adjustment before 6/1/2010). On the *Illustration: CL Mainframe* worksheet, an example of claim detail records for a unique claim grouped following the claim level header record is identified by an blue outline highlighting the following claim data values:
  - HI4443336661Q   ABC MEDICAL PLAN   383892922 N20100803195001012000000000099999125478564
  - DI4443336661Q   ABC MEDICAL PLAN   383892922 00120100610201006102010062015 40.1 250.00   47.01 0124   9900001100021204001000000
  - DI4443336661Q   ABC MEDICAL PLAN   383892922 00220100610201006102010062015 40.1 250.00   47.01 0250   9900002000021204000200000
  - DI4443336661Q   ABC MEDICAL PLAN   383892922 00320100610201006102010062015 40.1 250.00   47.01 0300   9900005000021204000300000
  - DI4443336661Q   ABC MEDICAL PLAN   383892922 00420100610201006102010062015 40.1 250.00   47.01 0301   9900006000021204000150000
  - DI4443336661Q   ABC MEDICAL PLAN   383892922 00520100610201006102010062015 40.1 250.00   47.01 0320   9900001000021204000150000

- o DI4443336661Q   ABC MEDICAL PLAN   383892922
  0062010061020100610201006201540.1 250.00   47.01
  0329   9900000100021204000200000

- File Trailer: The File Trailer contains final totals for the Claim List. The File Trailer must be the last record in the Claim List. There must be only one File Trailer record in the Claim List. On the *Illustration: CL Mainframe* worksheet, the File Trailer is identified by a green outline highlighting the claim data value:
  - o FT166750001020100101201111011015180000060000000420000000007600037
    28650000000186000000000003900

- Mainframe format requirements: Claim List records must be formatted as follows:
  - o Fixed block format
  - o 300 character record length
  - o Numeric fields are right justified and zero filled to the left
  - o Alphanumeric fields are left justified and space filled to the right
  - o Optional numeric fields that do not contain claim values are zero filled
  - o Optional alphanumeric fields that do not contain claim values are space filled
  - o Filler fields must be space filled