Claim List Response File Reference Guide

Introduction

Beginning October 3, 2011, the ERRP Center will implement an automated Claim List review process which will produce a Claim List Response File (CLRF). The CLRF will indicate whether errors were found on the Claim List. If errors were found, the CLRF will identify the specific records with errors and the type of error(s) found. This CLRF Reference Guide provides detailed information about the CLRF and what the Plan Sponsor must do with the information provided to continue down the reimbursement path.

Objective

Identify CLRF errors and reason codes to submit an error-free Claim List to the ERRP Center.

The CLRF Reference Guide reviews several important concepts related to understanding the ERRP Center's automated Claim List processing. Specifically, this CLRF Reference Guide explains the following:

Section 1: Claim List Response File Overview
Describe the automated Claim List process and the resulting CLRF, including delivery methods, email notifications, and CLRF content.

Section 2: Claim List Response File Layout
Recognize the CLRF's records and their respective fields as they relate to the submitted Claim List.

Section 3: Field Errors/Reason Codes
Identify Claim List errors as described in the CLRF and use the ERRP Claim List Response File Reason Codes information on the ERRP Public Website (www.errp.gov) to review and correct error(s).

Section 1: Claim List Response File Overview

This section describes the automated Claim List process and the resulting CLRF, including delivery methods, email notifications, and CLRF content.

Automated Claim List Processing

Each time a Plan Sponsor submits a Claim List, the ERRP Center processes the Claim List and provides a CLRF. (The only exception is if the Claim List fails Level I processing. In such cases, a CLRF is not generated. Instead, the Plan Sponsor receives a phone call from the ERRP Center to discuss the Claim List errors.) The CLRF contains several fields that were included in the Plan Sponsor's Claim List (more information can be found in Section 2) and CLRF Reason Codes indicating that the ERRP Center found errors in the Claim List.

The inclusion of the CLRF is an important new step in the ERRP Reimbursement Flow. As a reminder, a Plan Sponsor needs to complete the following steps, in order, within the 90-day Early Retiree List (ERL) Response File effective period:

1. Review ERL Response File sent from ERRP Center
2. Send ERRP Center Claim List
3. Review CLRF sent from ERRP Center
    - If the CLRF indicates that the Claim List has errors, the Plan Sponsor needs to correct the errors and resubmit a revised Claim List. *Reminder: Each Claim List submission is a full file replacement of the previously submitted file. Do not resubmit only the claim records in error.*
    - If the CLRF indicates that the Claim List is error-free, the Plan Sponsor can move onto the next step.
4. Enter and submit Summary Cost Data in the ERRP Secure Website (SWS)
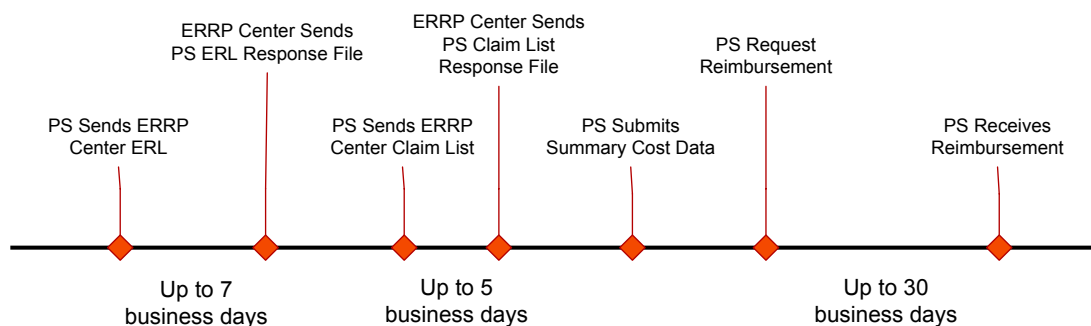5. Request Reimbursement

Figure 1. ERRP Reimbursement Timeline

If the Plan Sponsor must submit a new or revised ERL, the Claim List and Summary Cost Data must also be resubmitted, as applicable. If the ERL is still valid, but the Plan Sponsor must submit a revised Claim List, the Summary Cost Data must also be resubmitted, as applicable. If either of these situations applies, the Plan Sponsor must consider the ERRP Center's general processing and response times and plan accordingly, especially if the scenario occurs close to the end of the quarter.

If errors are found in any of the claim list records, the entire Claim List will be rejected (assigned the status of 'Invalid' in the ERRP SWS). If a Claim List has errors, the Plan Sponsor must resolve the data errors as soon as possible and resubmit their Claim List. ***Reminder: Each Claim List submission is a full file replacement of the previously submitted file. Do not resubmit only the claim records in error.*** The ERRP Center must receive an error-free Claim List (i.e. assigned the status of 'Accepted' in the ERRP SWS) before the Plan Sponsor can enter and submit Summary Cost Data and then submit a reimbursement request.

Remember that data submitted to the ERRP Center may be subject to further review beyond the automated Claim List processing through audit or other integrity related activities. With the introduction of the CLRF, the Claim List will be scrutinized in detail for additional error conditions not included in the prior Claim List Quality Assurance Review.

Claim List Response File Reason Codes

CLRF Reason Codes are codes that correspond to a specific message about an error found in a Claim List record. Each record in a CLRF can display up to four reason codes at a time. If the CLRF includes a claim line detail with four reason codes, the Plan Sponsor is strongly encouraged to review all data elements in the Claim List that was submitted and try to identify other potential errors. For information about CLRF Reason Codes, please review the [ERRP Claim List Response File Reason Codes](#).

Claim List Response File Delivery Method

The CLRF will be delivered to the Plan Sponsor via the same method the Claim List was submitted. If the Plan Sponsor selects Submission via ERRP SWS, then the CLRF will be available for download via the ERRP SWS. If the Plan Sponsor selects Submission via Plan Sponsor Mainframe to ERRP Data Center Mainframe or Submission via Vendor Mainframe to ERRP Mainframe, the corresponding CLRF will only be returned to the Plan Sponsor's (or Vendor's) Mainframe (i.e. a CLRF will not appear in the ERRP SWS).

If a CLRF is not listed on the "Download Claim List Response Files" page, it may be for one of the following reasons:

- **Claim List Response File Not Yet Available:** If the Claim List is uploaded to the ERRP SWS, the corresponding CLRF will be made available for download on the ERRP SWS approximately five business days after Claim List submission. The ERRP Center will send an email when a CLRF is available for download.
- **Claim List Submission Method used is Not** 'Submission via ERRP SWS'**:** If the Claim List was submitted to the ERRP Center using Plan Sponsor Mainframe to ERRP Data Center Mainframe or Vendor Mainframe to ERRP Mainframe, the corresponding CLRF will not appear on the ERRP Secure Website.

Claim List ERRP SWS Statuses

With the automated Claim List Review process, a Claim List can be in any of the following statuses as displayed on the ERRP SWS:

- **Uploaded** – Claim List uploaded via ERRP SWS successfully.
- **Submitted** – Claim List uploaded via ERRP SWS passed file level editing.
- **Error Found** – Claim List uploaded via ERRP SWS did not pass file level editing. Plan Sponsor will need to review errors and resubmit.
- **Received** – Claim List passed initial validity checks and will, next, be subject to the ERRP Center's automated Claim List review process.
- **Accepted**– Claim List passed the automated Claim List review process and a Claim List Response File has been created/sent. ERRP Center will send an email advising the Plan Sponsor and its appropriate Designee(s) that the Claim List processed successfully. **Note that a CLRF will be sent via the same submission method the Claim List was sent to the ERRP Center.** Once the Claim List is in an 'Accepted' status in the ERRP SWS, the Plan Sponsor may submit a Summary Cost Report and continue with the reimbursement process.
- **Invalid** - Claim List did not pass the automated Claim List review because errors were found. ERRP Center will send an email advising the Plan Sponsor and its appropriate Designee(s) that the Claim List processed unsuccessfully. **Note that a CLRF will be sent via the same submission method the Claim List was sent to the ERRP Center.** The CLRF will indicate the records in error and their respective reason codes. The Claim List must be corrected based on the information described in the CLRF and resubmitted. **Reminder:** *Each Claim List submission is a full file replacement of the previously submitted file. Do **not** only resubmit the claim records in error.*
- **Obsolete** – Claim List is no longer valid since a new ERL was subsequently submitted. A new Claim List is required before requesting reimbursement.
- **Not Processed** - Claim List was not processed by the ERRP Center for one of the following reasons: 1) A subsequent Claim List was received prior to processing (i.e., the Claim List was replaced by a new Claim List), or 2) an Early Retiree List was in process and not effective when the Claim List was submitted.

Claim List Email Notifications

There are two emails a Plan Sponsor can receive from the ERRP Center related to a Claim List submission. Each email provides the Plan Sponsor with information about the status of the Claim List and/or CLRF.

The two different emails are as follows:

- **ERRP Claim List Submission Unsuccessful**
  - This email will inform the Account Manager, Authorized Representative, and Designee(s) with the View/Send/Receive Claim Data privilege, the Request Reimbursement privilege, or the Report Costs privilege that the Claim List was determined to be invalid. This means the Claim List status has been updated from a 'Received' status to an 'Invalid' status on the ERRP SWS.

- Since the Claim List had errors, the Summary Cost Reporting capability will remain unavailable in the ERRP SWS for the application plan year until an error-free Claim List is received.

- **ERRP Claim List Submission Successful**

   - This email will inform the Account Manager, Authorized Representative, and Designee(s) with the View/Send/Receive Claim Data privilege or the Report Costs privilege that a Claim List was determined to be error-free. This means the Claim List status has been updated from a 'Received' status to an 'Accepted' status on the ERRP SWS.
   - Once a Claim List is in an 'Accepted' status, a Plan Sponsor is eligible to submit a Summary Cost Report and can continue through the reimbursement process.

Claim List Processing

A Claim List will go through five levels of automated processing sequentially. The first level of editing (Level I) is related to the Claim List's file formatting. Level I errors will not be included in the CLRF; instead the Plan Sponsor will receive a phone call from the ERRP Center to discuss the errors that were generated. The remaining Claim List level edits (Levels II – V) will be included in the CLRF.

In general, Claim Lists are processed one level at a time, in order, starting with Level I and ending with Level V. All claims in a Claim List will be processed through the respective level edits regardless of where in the file the error occurs. For example, if an error is encountered in Level II processing, all the claims will complete Level II processing and be addressed on the CLRF, as applicable.

Definitions for Edit Levels
- **Level I**: File Format/File Submission Level Edits – not on CLRF
- **Level II**: File Level Edits
- **Level III**: Field Level Edits/Validate ERRP Eligibility Periods
- **Level IV**: Person Level Edits and Duplicate Processing
- **Level V**: Trailer Validation

- **Level I: File Format/File Submission Level Edits**
   - If errors are found, no further processing occurs.
   - A CLRF is not generated. The Plan Sponsor will receive a phone call from the ERRP Center to discuss the errors that were generated.
   - Once the Level I edits are resolved and the Claim List is resubmitted, it will continue processing through Level II.
   - Examples of Level I Errors:
      - Record length does not match appropriate fixed-length Claim List file format.
      - Application ID in the Claim List does not match to the ERRP database.
      - Received a Mainframe Claim List from a different Vendor than is recorded in the ERRP database for a specific Application ID/Plan Year combination.

- **Level II: File Level Edits**
  - If errors are found, no further processing occurs.
  - A CLRF is generated.
  - Once the Level II edits are resolved and the Claim List is resubmitted, it will continue processing through Level III.
  - Examples of Level II Errors:
    - The Record Type entered in the Claim List does not match one of the specified values.
    - Application ID or Plan Year Start Date on the submitted Claim List detail line does not match the Application ID or Plan Year Start Date on the ERRP SWS
    - The Claim List contains no claim detail lines.

- **Level III: Field Level Edits/Validate ERRP Eligibility Period**
  - Claims for individual early retirees that did **NOT** have any errors in Level III will continue processing through to Level IV.
  - A CLRF with the results from Level III editing is not generated until the end of Level IV processing and includes both Level III and Level IV edits, as applicable.
  - Once the Level III and/or IV edits are resolved and the Claim List is resubmitted, it will continue processing through Level IV and V, as applicable.
  - Examples of Level III Errors:
    - The required Claim List field is blank or contains a null value.
    - The Member ID/Member Group ID combination matches more than one ERRP-Eligible individual for a given application plan year.
    - The field does not contain a valid value that matches any records when compared to the Early Retiree List Response File for a specific application plan year. The Eligibility List includes: Member ID; Member Group ID; DOB; and Gender.

- **Level IV: Person Level Edits and Duplicate Processing**
  - If errors are found in Level IV, the Claim List will not continue to Level V processing and a CLRF is generated.
  - Once the Level IV edits are resolved and the Claim List is resubmitted, it will continue processing through Level V.
  - Examples of Level IV Errors:
    - A duplicate Cost Adjustment Record Type (more than one CA or more than one CB) exists for the same Member ID/Member Group ID combination.
    - Duplicate claim (same Record Type, Member ID, Member Group ID, and Claim Number) appears later in the Claim List.
    - Member ID/Member Group ID combination does not have cumulative claim costs that meet the Cost Threshold.

- **Level V: Trailer Validation**
  - If errors are found, a CLRF is generated.
  - Once the Level V edits are resolved and the Claim List is resubmitted, it will continue processing and be set to an 'Accepted' status.
  - Cost Summary reporting will be available in the ERRP SWS to continue the reimbursement process.

o Example of Level V Errors:
  ▪ The values submitted in the File Trailer do not match the count/sum calculated from the claim detail lines for the following fields:
    • Total Number Of Unique Retirees (FT06)
    • Total Number Of Unique Claims (FT07)
    • Total Number Of Claim Service Line Records (FT08)
    • Total Item Plan Paid Amount (FT09)
    • Total Cost Paid By Early Retiree (FT10)
    • Total Cost Adjustment (FT11)

Claim List Processing Example

A Plan Sponsor submits a Claim List to the ERRP Center including data for three unique early retirees: Jane Smith, Ella Frank and Frank Ross. The Claim List passes Level I processing and proceeds to Level II. The Claim List passes Level II editing and proceeds to Level III. During Level III processing, an error is generated by Jane Smith's claim data, but Ella Frank and Frank Ross are error-free. Processing stops for Jane Smith at Level III; Ella Frank and Frank Ross proceed to Level IV. During Level IV processing, an error is generated by Ella Frank's claim data, but Frank Ross is error-free. Because there are errors generated during Level III and Level IV processing, processing for the Claim List does not proceed to Level V; a CLRF is generated. The resulting CLRF includes Level III reason codes for Jane Smith, Level IV Reason Codes for Ella Frank, and no reason codes for Frank Ross.
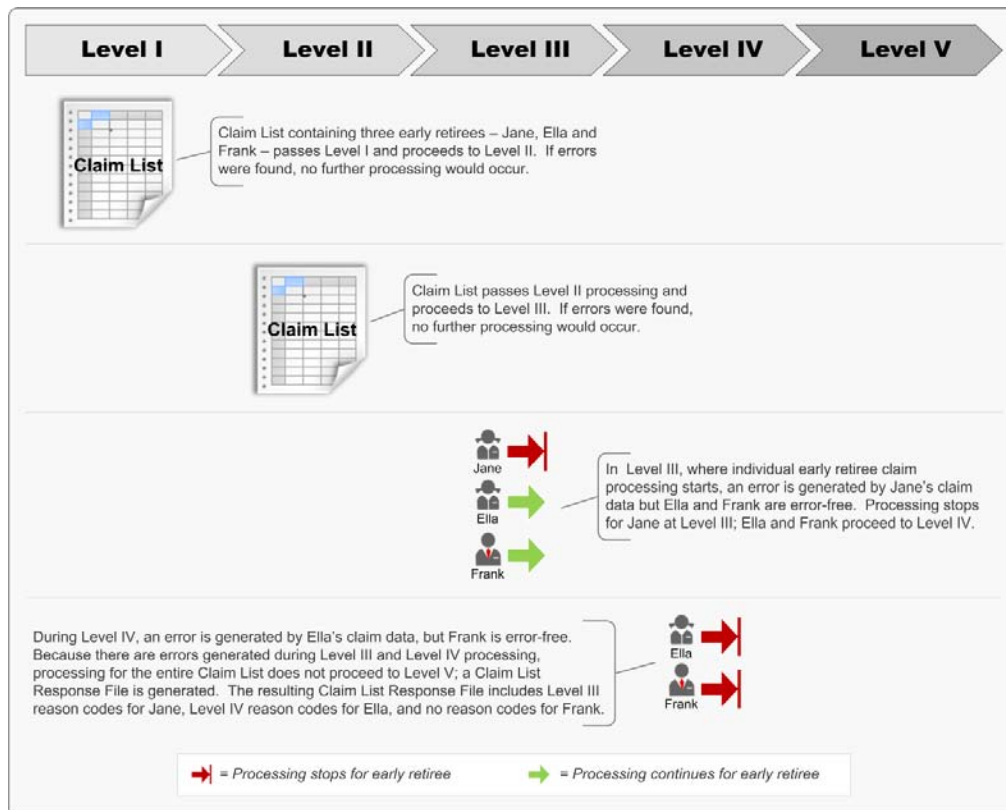

Figure 2. Claim List Response File Processing Example

For information on how to understand and resolve the error reason codes in the CLRF, please review the ERRP Claim List Response File Reason Codes. This document provides detailed reason code information, specifically in the 'What It Means' and 'What You Should Do' columns.

Section 2: Claim List Response File Layout

This section describes the CLRF's records and their respective fields as they relate to the submitted Claim List.

CLRF Data Elements

The CLRF contains several categories of information, including identifiable data elements from the processed Claim List to help the Plan Sponsor associate the CLRF back to the data submitted. To identify the Claim List the CLRF is associated with, the file contains information to include Application ID, Plan Year Start Date, File Name, File ID, and Date Submitted. Additionally, the CLRF layout includes many of the fields provided on the Claim List from the File Trailer. These File Trailer field values are returned to the Plan Sponsor in the CLRF layout as provided in the submitted Claim List.

The CLRF also includes a field called a Physical Record Number to allow you to crosswalk the errors identified back to the Claim List submitted to the ERRP Center for processing. This Physical Record Number is created by the ERRP Center during Claim List processing by automatically and sequentially numbering the Claim List starting from the first record down to the Trailer record. As a reminder, the ERRP Center does not sort or change the order of the claim records from the original submission. Consequently, the CLRF will return the claim records in the same order in which they were received. When a Claim List is in error, the Physical Record Number in the Detail Record identifies the physical row within the source Claim List where the error occurred.

It is important to note that Claim Lists submitted via Mainframe include at least two records on the Claim List per claim—one record for the claim header information and one record for *each* line of the claim. In addition a file header record is also submitted on the Mainframe, but not on SWS submissions. Each of these Mainframe submitted records would have a unique Physical Record Number on the CLRF since they were all originally reported on the Claim List. However, Claim Lists uploaded via SWS are not *submitted* with either a file header record or the claim header information in a separate record. Instead, during Claim List processing, the ERRP Center creates a header record for each Claim List and claim so it also ends up having one file header record and at least two records per claim like the MF—one record for the claim header information and one record for *each* line of the claim.

Note: Fields identified in the Claim List layout starting with a "FH" are used to build the claim file header record. Fields identified in the Claim List layout starting with a 'H' are used to build the claim header record and fields starting with a 'D' are used to build the claim detail records.

CLRF Layout

The Claim List layout provides three main records: Header (H), Detail (D), and Trailer (T). Figure 1 on the following page illustrates the data elements in each of the three main records.

Note: The use of a header row to list field names is for demonstration purposes only and is not included in the actual CLRF.

Record Type (1)	Application ID (2)	Plan Year Start Date (3)	File Name (4)	File ID (5)	Date Submitted (6)	Claim List Status (7)	Number of Records Submitted (8)	Number of Valid Records (9)	Number of Invalid Records (10)	Total Number of Unique Retirees (11)	Total Number of Claims (12)	Total Number of Claim Service Line	Total Cost Paid By Plan (14)	Total Cost Paid by Early Retiree (15)	Total Cost Adjustment (16)
H	1667500010	20100101	ClaimList_Errors.c	201127500000022	20110914	IN	65	61	4	4	31	59	$350,227.00	$1,747.00	$39.00

Record Type (1)	Claim Number (2)	Claim Line Item Number (3)	Physical Record Number (4)	Claim Response Reason Code 1	Claim Response Reason Code 2	Claim Response Reason Code 3	Claim Response Reason Code 4
D	1142780743		25	HI02004	HI05001		

Record Type (1)	Claim Number (2)	Claim Line Item Number (3)	Physical Record Number (4)	Claim Response Reason Code 1	Claim Response Reason Code 2	Claim Response Reason Code 3	Claim Response Reason Code 4
D	290999999	001	36	DP21010			

Record Type (1)	Claim Number (2)	Claim Line Item Number (3)	Physical Record Number (4)	Claim Response Reason Code 1	Claim Response Reason Code 2	Claim Response Reason Code 3	Claim Response Reason Code 4
D	301941908	2	41	DP09013	DP21010		

Record Type (1)	Claim Number (2)	Claim Line Item Number (3)	Physical Record Number (4)	Claim Response Reason Code 1	Claim Response Reason Code 2	Claim Response Reason Code 3	Claim Response Reason Code 4
D			65	FT06017			

Record Type (1)	Application ID (2)	Plan Year Start Date (3)	File ID (4)	Total Count of Response File Records (5)
T	1667500010	20100101	201127500000022	4

Figure 3. Sample Claim List Response File Layout

Header Record

Figure 3. Sample CLRF Layout represents a CLRF with headers added for demonstration purposes. The Header record contains 16 fields as follows:

1. **Record Type**: A one byte alphabetic field identifying the record as Header. "H" indicates that this is the Header record.
2. **Application ID**: A 10-digit numeric field provided to the Plan Sponsor to identify the Application. This field corresponds to the Application ID (FH02, FT02) field on the Claim List.
3. **Plan Year Start Date**: Date the Plan Year begins, provided in CCYYMMDD format. This date is specific to the Application ID. This field corresponds to the Plan Year Start Date (FH03, FT03) field on the Claim List.
4. **File Name:** The file name of the Claim List submitted by the Plan Sponsor.
5. **File ID:** 15-digit identifier generated by the ERRP Center to uniquely identify each Claim List.
6. **Date Submitted**: The date the file was submitted to the ERRP Center. This field is unique to the CLRF.
7. **Claim List Status**: The status of a Claim List (i.e., IN – Invalid or AC – Accepted). This field is unique to the CLRF.
8. **Number of Records Submitted**: The number of records submitted in the Claim List, includes the Claim List Header and Trailer records. For SWS submissions, a Claim List Header record is created by the ERRP system and is included in this count (i.e. there will be one extra count of records than what was submitted). For Mainframe submissions, a Claim List Header Record is required to be submitted by the sender.
9. **Number of Valid Records**: The number of submitted Claim List records, including Claim List Header and Trailer records that passed validation. For SWS submissions, a Claim List Header record is created by the ERRP system and is included in this count (i.e. there will be one extra record counted than what was submitted).
10. **Number of Invalid Records**: The number of submitted Claim List records, including Claim List Header and Trailer records that contain errors.
11. **Total Number of Unique Retirees**: The total number of unique retirees as submitted on the Claim List Trailer record. This field corresponds to the Total Number of Unique Retirees (FT06) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.
12. **Total Number of Claims**: The total number of claims as submitted on the Claim List Trailer record. This field corresponds to the Total Number of Claims (FT07) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.
13. **Total Number of Claim Service Line Records**: The total number of claim service line records as submitted on the Claim List Trailer record. This field corresponds to the Total Number of Claim Service Line Records (FT08) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.
14. **Total Cost Paid by Plan**: The total cost paid by plan as submitted on the Claim List Trailer record. This field corresponds to the Total Cost Paid by Plan (FT09) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.

15. **Total Cost Paid By Early Retiree**: The total cost paid by early retiree as submitted on the Claim List Trailer record. This field corresponds to the Total Cost Paid By Early Retiree (FT10) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.

16. **Total Cost Adjustment**: The total cost adjustment as submitted on the Claim List Trailer record. This field corresponds to the Total Cost Adjustment (FT11) field on the Claim List. **Note**: If invalid data is supplied in this numeric field on the incoming Claim List Trailer (i.e. alphanumeric), a blank or space will be returned in this field on the CLRF.

Detail Record

The next line or record is the Detail record. The Detail record has a maximum of 8 fields. The data elements are as follows:

1. **Record Type**: A one byte alphabetic field identifying the record as Detail; "D" indicates that this is a Detail record.

2. **Claim Number**: A unique ID of a given claim that is assigned by the claim processing system or as defined by the Plan Sponsor (i.e., carrier claim processing system, not ERRP system). This field corresponds to the Claim Number (HP04, HI04, HX04) field on the Claim List. This field will only be populated with data if the error pertains to a given Claim Number submitted. It will not be populated if the claim number was either left blank or if the error pertains to a Claim List Header, Claim List Trailer, or Cost Adjustment Record.

3. **Claim Line Item Number**: Line number identifying the service line associated with a claim assigned by the claim processing system or as defined by the Plan Sponsor (i.e., carrier claim processing system, not ERRP system). This field corresponds to the Claim Line Item Number (DP05, DI05, DX05) field on the Claim List. This field will only be populated with data if the error pertains to a given Claim Line Item Number submitted. It will not be populated if the claim line item number was either left blank or if the error pertains to a Claim List Header, Claim List Trailer, Claim Header, or Cost Adjustment Record.

4. **Physical Record Number**: A record number identifying the physical row within the source Claim List where the error occurred. This Physical Record Number is created by the ERRP Center during Claim List processing by automatically and sequentially numbering the Claim List in the order it was received starting from the first record down to the Trailer record.

5. **Claim Response Reason Code 1**: An alphanumeric reason code identifying the specific field and error condition that caused the error to occur. The first four positions identify the Claim List field in error; the last three positions identify the error type.

6. **Claim Response Reason Code 2**: An alphanumeric reason code identifying the specific field and error condition that caused the error to occur. The first four positions identify the Claim List field in error; the last three positions identify the error type.

7. **Claim Response Reason Code 3**: An alphanumeric reason code identifying the specific field and error condition that caused the error to occur. The first four positions identify the Claim List field in error; the last three positions identify the error type.

8. **Claim Response Reason Code 4**: An alphanumeric reason code identifying the specific field and error condition that caused the error to occur. The first four positions identify the Claim List field in error; the last three positions identify the error type.

Note: A maximum of 4 reason codes may be contained per record.

Trailer

The next line or record is the Trailer record. The Trailer record has 5 fields. A description of the data elements are as follows:

1. **Record Type**: A one byte alphabetic field identifying the record as Trailer. "T" indicates that this is the Trailer record.
2. **Application ID**: A 10-digit numeric field provided to the Plan Sponsor to identify the Application. This field corresponds to the Application ID (FH02, FT02) field on the Claim List.
3. **Plan Year Start Date**: Date the Plan Year begins, provided in CCYYMMDD format. This date is specific to the Application ID. This field corresponds to the Plan Year Start Date (FH03, FT03) field on the Claim List.
4. **File ID**: 15-digit identifier generated by the ERRP System to uniquely identify each Claim List.
5. **Total Count of Response File Records**: Count of Detail records between the Header and Trailer records in the CLRF.

CLRF with Errors

A CLRF that contains errors and is, consequently, considered 'Invalid' and will include one or more Detail records.

```
H,1667500010,20100101,ClaimList_Errors.csv,201125700000022,20110914,IN,65,61,4,4,31,59,35022700,174700,3900
D,1142780743,,25,HI02004,HI05001
D,290999999,001,36,DP21010
D,301941908,2,41,DP09013,DP21010
D,,,65,FT06017
T,1667500010,20100101,201125700000022,4
```

Figure 4. Claim List Response File with Reason Codes

Figure 4 is a snapshot of a CLRF with reason codes indicating errors on the Claim List. The CLRF includes a Header record "H" (shaded blue), four (4) Detail records "D" (shaded yellow) with reason codes (shaded red) and a Trailer record "T" (shaded green). A comma separates each field within a record.
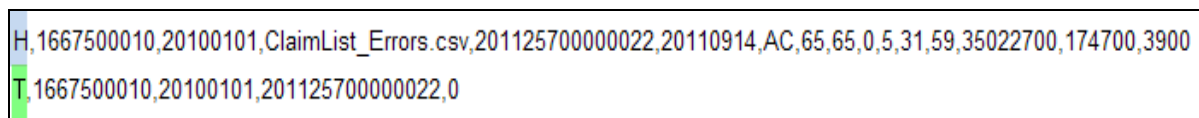
- The first record item, the Header record "H," has 16 fields with data elements.
- The first Detail record "D" contains two reason codes, HI02004 and HI05001. The first four positions of the reason code identify the Claim List field in error, and the last three positions identify the error type. For reason code HI02004, the Claim List field is "**HI02**," and the error type is "**004**." For reason code HI05001, the Claim List field is "**HI05**," and the error type "**001**." Claim List field HI02 generated error condition 004 and HI05 generated error condition 001 for Claim Number 1142780743.

- The second Detail record "D" has one reason code, DP21010. The Claim List field is "**DP21**" and the error type is "**010**." Claim List field DP21 generated error condition 010 for Claim Number 290999999.
- The third Detail record "D" has two reason codes, DP09013 and DP21010. The first four positions of the reason code DP09013 ("**DP09**") identify the Claim List field in error, and the last three positions ("**013**") identify the error type. Similarly, for reason code DP21010, "**DP21**" is the Claim List field, and the last three positions ("**010**") identify the error type. Claim List field DP09 generated error condition 013 and DP21 generated error condition 010 for Claim Number 301941908.
- The fourth Detail record "D" has one reason code, FT06017. The Claim List field is "**FT06**," and "**017**" is the error type. Claim List field FT06 generated error condition 017.
- The last record item is the Trailer record "T," which has five fields with data elements.

Note: CLRF records can contain a maximum of four reason codes per record.

CLRF without Errors

A CLRF that does not contain errors and is, consequently, considered accepted will include **_no detail records._**

```
H,1667500010,20100101,ClaimList_Errors.csv,201125700000022,20110914,AC,65,65,0,5,31,59,35022700,174700,3900
T,1667500010,20100101,201125700000022,0
```

Figure 5. Error-Free Claim List Response File

Figure 5 is a snapshot of a CLRF that has no reason codes. There are only two records in the CLRF. A Header record ("H") and a Trailer record ("T"). The first line is the Header record "H." The second line is the Trailer record "T."

A CLRF that has no Detail records between the Header and Trailer record indicates that the Plan Sponsor submitted an error-free Claim List and the Claim List Status is denoted as 'Accepted' (i.e. 'AC' in the Claim List Status Field on the CLRF Header record).

An error-free Claim List allows the Plan Sponsor to continue through the reimbursement process to begin entering Summary Cost Data, as applicable.

Section 3: Field Errors/Reason Codes

This section explains how to identify Claim List errors as described in the CLRF and use the ERRP Claim List Response File Reason Codes information on the ERRP Public Website (www.errp.gov) to review and correct errors.

ERRP CLRF Reason Codes Reference Document

When you receive a CLRF, if there are detail lines (Record Type of D), the Claim List is invalid and you will need to examine the errors. The tool you will use to interpret the CLRF is the ERRP Claim List Response File Reason Codes document, which is found on www.errp.gov under the Reference Materials section. The ERRP CLRF Reason Codes document is an online reference tool for Claim List fields and their associated CLRF reason codes.

Here is an example of how to use the ERRP CLRF Reason Codes document in conjunction with the Claim List and CLRF to resolve the errors identified in the CLRF:

1. Open the following three documents:
   - The CLRF received from the ERRP Center;
   - The Claim List submitted to the ERRP Center to which the CLRF correlates; and
   - The ERRP Claim List Response File Reason Codes document.

2. View the CLRF first.

```
H,1667500010,20100101,ClaimList_Errors.csv,201125700000022,20110914,IN,65,61,4,4,31,59,35022700,174700,3900
D,1142780743,,25,HI02004,HI05001
D,1142780743,001,25,DI22010
D,290999999,001,36,DP21010
D,301941908,002,41,DP09013,DP21010
D,,,65,FT06017
T,1667500010,20100101,201125700000022,4
```

Figure 6. Claim List Response File

3. Open the Claim List associated to the CLRF to locate the error(s) in your claim data. Information in the CLRF that can be used to help identify the correct Claim List include, File Name, Date Submitted, and Number of Records Submitted. In Figure 4 the Claim List filename associated to this Response File is "ClaimList_Errors.csv" submitted on 09/14/2011 with 65 record submitted.

4. In Figure 6, the first detail line identifying specific Claim List errors found in the above CLRF is: **D,1142780743,,25,HI02004,HI05001**. This indicates that claim number 1142780743 on Physical Record Number 25 has the following two errors: HI02004 and HI05001.

   Note: As a reminder, the CLRF includes a field called a Physical Record Number to allow you to crosswalk the errors identified back to the Claim List submitted to the ERRP Center for processing. This Physical Record Number is created by the ERRP Center during Claim List processing by automatically and sequentially numbering the Claim List in the order it was received starting from the first record down to the Trailer record. When a Claim List is in

error, the Physical Record Number in the Detail record identifies the physical row within the source Claim List where the error occurred.

5. Record 25 has two errors: one in field HI02 (Member ID), and the associated reason code is 004; another error is found in field HI05 (Derived Indicator), and the associated reason code is 001.

6. To identify the errors in the Claim List, find the corresponding record number (25) and the applicable fields.

12	DI,1667500010,20100101,4443336661q,ABC Medical Plan,401253201,N,20100901,19500101,2,0,000,99,125478564,001,20100625,20100625,20100625,1,250.00,,,,
13	DI,1667500010,20100101,98765432s,ABC Medical Plan,866666697,N,20100831,19500717,2,6500,131,G2,100000006,001,20100710,20100710,20100710,1,250.00,,,
14	DI,1667500010,20100101,98765432s,ABC Medical Plan,866666697,N,20100831,19500717,2,0,131,G2,100000006,002,20100710,20100710,20100710,1,250.00,,,,,,,
15	DI,1667500010,20100101,98765432s,ABC Medical Plan,866666697,N,20100831,19500717,2,0,131,G2,100000006,003,20100710,20100710,20100710,1,250.00,,,,,,,
16	DI,1667500010,20100101,98765432s,ABC Medical Plan,866666697,N,20100831,19500717,2,0,131,G2,100000006,003,20100710,20100710,20100710,1,250.00,,,,,,,
17	DI,1667500010,20100101,123456789,ABC Medical Plan,34535345243000,N,20101029,19530601,2,0,999,99,125478564,001,20100516,20100516,20100518,1,540.1,
18	DI,1667500010,20100101,123456789,ABC Medical Plan,34535345243000,N,20101029,19530601,2,0,999,99,125478564,002,20100516,20100516,20100518,1,540.1,
19	DI,1667500010,20100101,123456789,ABC Medical Plan,34535345243000,N,20101029,19530601,2,0,999,99,125478564,003,20100516,20100516,20100518,1,540.1,
20	DI,1667500010,20100101,42020101,ABC Medical Plan,2239018109,N,20101231,19480101,1,80000,999,99,125478564,001,20100605,20100605,20100608,1,540.1,2
21	DI,1667500010,20100101,42020101,ABC Medical Plan,2239018109,N,20101231,19480101,1,0,999,99,125478564,002,20100605,20100605,20100608,1,540.1,250.00
22	DI,1667500010,20100101,42020101,ABC Medical Plan,2239018109,N,20101231,19480101,1,0,999,99,125478564,003,20100605,20100605,20100608,1,540.1,250.00
23	DI,1667500010,20100101,42020101,ABC Medical Plan,2239018109,N,20101231,19480101,1,0,999,99,125478564,004,20100605,20100605,20100608,1,540.1,250.00
24	DI,1667500010,20100101,123456789A,ABC Medical Plan,1142780800,N,20110701,19480128,2,1500,131,XX,1234567890,001,20100525,20100525,20100525,1,250.
25	DI,1667500010,20100101,123456786A,ABC Medical Plan,1142780745,N,20110701,19480128,2,0,131,XX,1234567890,001,20100525,20100525,20100525,1,250.00,,,,
26	DI,1667500010,20100101,123456789A,ABC Medical Plan,1142780745,N,20110701,19480128,2,48500,131,XX,1234567890,001,20100901,20100901,20100905,1,250
27	DI,1667500010,20100101,123456789A,ABC Medical Plan,1142780745,N,20110701,19480128,2,0,131,XX,1234567890,002,20100901,20100901,20100905,1,250.00,,

Figure 7. CSV File with Errors

Figure 7 is a snapshot of a .CSV File Claim List with the previously mentioned errors HI02004 and HI05001 (**Note**: The Claim List in its entirety is not displayed in this figure). The errors are identified in the CLRF highlighted in red on the Member ID and Derived Indicator fields.

7. For further assistance identifying the Claim List field errors mentioned in the CLRF, you may want to view your Claim List in a file with a header row as seen in Figure 6.

Physical Record Number	FH01 Type	FH02 App ID	FH03 Plan Year Start Date	HI02 Member ID	HI03 MemGroupID	HI04 Claim Number	HI05 Derived Claim Indicator
6	DI	1667500010	20100101	4443336661q	ABC Medical Plan	383892922	N
7	DI	1667500010	20100101	4443336661q	ABC Medical Plan	383892922	N
8	DI	16⁰			ABC Medical Plan	383892922	N
9	DI				ABC Medical Plan	383892922	N
10					ABC Medical P		
11					ABC M⁻		
12					AB⁰		
13					AB⁰		
14					AB⁰		
15					AB⁰		
16					AB⁰		
17					AB⁰		
18					AB⁰		
19					ABC Medical Plan	5435534524500⁰	N
20	DI	1667500010	20100101	42020101	ABC Medical Plan	2239018109	N
21	DI	1667500010	20100101	42020101	ABC Medical Plan	2239018109	N
22	DI	1667500010	20100101	42020101	ABC Medical Plan	2239018109	N
23	DI	1667500010	20100101	42020101	ABC Medical Plan	2239018109	N
24	DI	1667500010	20100101	123456789A	ABC Medical Plan	1142780800	N
25	DI	1667500010	20100101	123456786A	ABC Medical Plan	1142780743	
26	DI	1667500010	20100101	123456789A	ABC Medical Plan	1142780745	N
27	DI	1667500010	20100101	123456789A	ABC Medical Plan	1142780745	N

Note (left callout):
RF Error Code HI02004
Found in **Physical Record Number 25**
Error in Field = HI02 (Member ID)
RC = 004 - (Level III Edit) Field does not contain a valid value that matches any records when compared to ERL RF.
Correct: Verify the values in these fields, remove ineligible member's claims from the Claim List and resubmit.

Note (right callout):
RF Error Code HI05001
Found in **Physical Record Number 25**
Error in Field = HI05 (Derived Claim Indicator)
RC = 001 - (Level III Edit) The required field is blank or null.
Correct: Enter a Valid alphanumeric value in the required field.

Figure 8. Claim List with Column Headers and Physical Record Number Column

Figure 8 is a snapshot of a Claim List with column headers and a physical record number column added for illustration purposes only. When a Claim List is converted to .CSV for upload to the ERRP SWS, these header titles should not be included.

8. In Figures 7 and 8, the first detail line of the CLRF identifies field HI02 (Member ID) within the SWS Claim List layout having generated reason code 004. The HI02 (Member ID) field has an error on Physical Record Number 25. This reason code associated with field HI02 is a Level III field edit evaluating the specific individual's claims.

9. Within the ERRP Secure Website Claim List Layout or Mainframe Claim List Layout, as applicable, locate field HI02 (Member ID).

10. Under the Claim List Response File Reason Codes column, click the reason code 004 link. This link takes you directly to the Reason Code 004 description, which, in this example, under the Title column of the Claim List Response File Reason Code section states: "Member ID/Member Group ID combination cannot be found in the ERRP Database."

11. Review the reason code 004 'What It Means' column, which states: "The field does not contain a valid value that matches any records when compared to the Early Retiree List Response File for a specific application plan year."

12. Review the 'What You Should Do' column for instructions for resolving the error in the Claim List.

13. At this point, you should have enough information to resolve the error within the Claim List.

    Note: The Claim List Layout Navigation column has been added to provide greater navigational flexibility by returning to the Claim List Layout field that had the error or perhaps viewing another Claim List Layout field that could potentially contain the same error.

14. Continue to perform this process to resolve each error identified by a reason code within the CLRF.

Unlike the MF submissions, the SWS will not have unique Physical Record Numbers for each of these records (the claim file header, each claim header and each claim detail line) since the claim file and claim header records were not originally submitted on the SWS CL. Instead the claim file header is assigned the same Physical Record Number as the first claim detail line in the file. The claim header records are assigned the same Physical Record Number as the first detail line of a given claim so it is possible to have two records on the CLRF with the same Physical Record Number if there are errors on both a claim header field and a claim detail line field on the same claim. In addition, although rare, it is possible that if there is an error in the file header record fields and the first claim header and claim detail line, there could be up to 3 records on the CLRF with the same Physical Record Number. In this situation, the file header reason codes will be listed in one record, the claim header reason codes will be listed in a separate record, and the claim detail lines reason codes will be listed in yet another record. The Plan Sponsor should use this information to locate the error in the submitted Claim List.

```
H,1667500010,20100101,ClaimList_Errors.csv,201125700000022,20110914,IN,65,61,4,4,31,59,35022700,174700,3900
D,1142780743,,25,HI02004,HI05001
D,1142780743,001,25,DI22010
D,290999999,001,36,DP21010
D,301941908,002,41,DP09013,DP21010
D,,,65,FT06017
T,1667500010,20100101,201125700000022,4
```

Figure 9. Repeated Physical Record Number

In Figure 9, the CLRF displays two records for the same Physical Record Number 25. The first detail line indicates reason codes associated to claim header fields HI02 (Member ID) and HI05 (Derived Claim Indicator). The second detail line indicates a reason code associated to the claim detail field DI22 (Revenue Code). These Claim List fields are found on one claim detail line (25) within the Claim List. However, within the CLRF the claim header fields and the claim detail lines are separated into two different records.

Additionally, the CLRF allows up to four reason codes per record. Since the claim header information is in a separate record than the claim detail information on the CLRF, the claim header record could have up to four reason codes, as well as each individual detail line could also have up to four reason codes. A maximum of four reason codes can be returned on the CLRF for the claim file header record as well. Although the CLRF only returns four reason codes per record, further Claim List processing may have identified more than four errors, but it is only possible to report on the CLRF the first four encountered for each record. Consequently, if the CLRF includes a claim line detail with four reason codes, the Plan Sponsor is strongly encouraged to review all data elements in the Claim List that was submitted and try to identify other potential errors.