

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



**Center for Medicare**

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DATE: April 4, 2011

TO: All Medicare Advantage (MA) Organizations (MA, MA-PD, All Cost Plans, PACE) Required to Submit Risk Adjustment Data

FROM: Cheri Rice  
Director, Medicare Plan Payment Group

SUBJECT: Validation of RAPS ICD-10 Compliant Format File

This notice is to advise all MA organizations that effective January, 2012, the current RAPS file format will change to become ICD-10 Compliant.

All submitters of risk adjustment data must validate their ability to submit files in the new RAPS compliant format. Validation files should be submitted to Palmetto, GBA beginning Wednesday, July 6, 2011. All MA organizations must submit an acceptable file no later than Thursday, September 15, 2011. The submitter requirements, RAPS compliant file format and RAPS error codes are attached.

Submitters should note this is a RAPS compliant format validation and not an ICD-10 certification. CMS is accepting comments regarding the new format or validation submission process until Wednesday, May 25, 2011.

Comments should be sent to the CSSC at [csscooperations@palmettogba.com](mailto:csscooperations@palmettogba.com).

## **SUBMITTER REQUIREMENTS**

Submitters should ensure they meet the following criteria when producing RAPS files for validation:

- Field number '5' in the AAA, header record, with a value of 'TEST'.
- New field in the AAA, header record, field number '6' with a value of 'ICD9'.
- Plans should submit no less than 10 records on the validation file.

## RAPS Compliant File Format: Effective 1/2012

### AAA RECORD

FIELD NO	FIELD NAME	POSITION	PICTURE	VALUE
1	RECORD-ID	1 – 3	X(3)	'AAA'
2	SUBMITTER-ID	4 – 9	X(6)	'Shnnnn'
3	FILE-ID	10 – 19	X(10)	
4	TRANSACTION-DATE	20 – 27	9(8)	'CCYYMMDD'
5	PROD-TEST-IND	28 – 31	X(4)	'PROD' Or 'TEST' Or 'CERT'
6	FILE-DIAG-TYPE	32 – 36	X(5)	'ICD9' Or 'ICD10'
7	FILLER	37 – 512	X(476)	SPACES

### BBB RECORD

FIELD NO.	FIELD NAME	POSITION	PICTURE	VALUE
1	RECORD-ID	1 – 3	X(3)	'BBB'
2	SEQ-NO	4 – 10	9(7)	Must begin with '0000001'
3	PLAN-NO	11 – 15	X(5)	'Hnnnn'
4	FILLER	16 – 512	X(497)	SPACES

### CCC RECORD

FIELD NO.	FIELD NAME	POSITION	PICTURE	VALUE
1	RECORD-ID	1 – 3	X(3)	'CCC'
2	SEQ-NO	4 – 10	9(7)	Must begin with '0000001'
3	SEQ-ERROR-CODE	11 – 13	X(3)	SPACES
4	PATIENT-CONTROL-NO	14 – 53	X(40)	Optional
5	HIC-NO	54 – 78	X(25)	
6	HIC-ERROR-CODE	79 – 81	X(3)	SPACES
7	PATIENT-DOB	82 – 89	X(8)	'CCYYMMDD'
8	DOB-ERROR-CODE	90 – 92	X(3)	SPACES
9 – 15	DIAGNOSIS-CLUSTER (10 OCCURRENCES)	93 – 412		
9.0	PROVIDER-TYPE		X(2)	HOSPITAL IP PRINCIPAL = 01 HOSPITAL IP OTHER = 02 HOSPITAL OP = 10 PHYSICIAN = 20
9.1	FROM-DATE		9(8)	'CCYYMMDD'
9.2	THRU-DATE		9(8)	'CCYYMMDD'
9.3	DELETE-IND		X(1)	SPACE or 'D'
9.4	DIAGNOSIS-CODE		X(7)	ICD-9 or ICD-10
9.5	DIAG-CLSTR-ERROR-1		X(3)	SPACES
9.6	DIAG-CLSTR-ERROR-2		X(3)	SPACES
16	CORRECTED-HIC-NO	413 – 437	X(25)	SPACES
17	FILLER	438 - 512	X(75)	SPACES

**YYY RECORD**

FIELD NO.	FIELD NAME	POSITION	PICTURE	VALUE
1	RECORD-ID	1 – 3	X(3)	'YYY'
2	SEQ-NO	4 – 10	9(7)	Must begin with '0000001'
3	PLAN-NO	11 – 15	X(5)	'Hnnnn'
4	CCC-RECORD-TOTAL	16 – 22	9(7)	
5	FILLER	23 – 512	X(490)	SPACES

**ZZZ RECORD**

FIELD NO.	FIELD NAME	POSITION	PICTURE	VALUE
1	RECORD-ID	1 – 3	X(3)	'ZZZ'
2	SUBMITTER-ID	4 – 9	X(6)	'SHnnnn'
3	FILE-ID	10 – 19	X(10)	
4	BBB-RECORD-TOTAL	20 – 26	9(7)	
5	FILLER	27 – 512	X(486)	SPACES

Format Changes Effective 1/2012

- **AAA Record**

Changed field 6 in the AAA record from filler (32-512) X(481) SPACES to field 6 FILE-DIAG-TYPE (32-36) X(5) 'ICD9' or 'ICD10' and added field 7 FILLER (37-512) X(476) SPACES

- **CCC Record**

Changed field 9.4 from 5 bytes X(5) to 7 bytes X(7) eliminating the 9.5 X(2) filler field. Field 9.5 is now called DIAG-CLSTR-ERROR-1, field 9.6 is now called DIAG-CLSTR-ERROR-2, and 9.7 has been eliminated.

**RAPS ICD-10 COMPLIANT FORMAT ERROR CODES: Effective 1/2012**

100	INVALID RECORD TYPE	AAA
101	AAA RECORD MISSING FROM TRANSACTION	AAA
102	MISSING / INVALID SUBMITTER-ID ON AAA RECORD	AAA
103	MISSING FILE-ID ON AAA RECORD	AAA
104	MISSING / INVALID TRANSACTION DATE ON AAA RECORD	AAA
105	MISSING / INVALID PROD-TEST-CERT-INDICATOR ON AAA RECORD	AAA
106	MISSING / INVALID FILE-DIAG-INDICATOR ON AAA RECORD	AAA
112	SUBMITTER ID NOT ON FILE	AAA
113	FILE NAME DUPLICATES ANOTHER FILE ACCEPTED WITHIN LAST 12 MONTHS	AAA
114	TRANSACTION DATE IS GREATER THAN CURRENT DATE	AAA
151	ZZZ RECORD MISSING FROM TRANSACTION	ZZZ
152	MISSING / INVALID SUBMITTER-ID ON ZZZ RECORD	ZZZ
153	MISSING / INVALID FILE-ID ON ZZZ RECORD	ZZZ
154	MISSING / INVALID BBB-RECORD-TOTAL;	ZZZ
162	ZZZ SUBMITTER-ID DOES NOT MATCH SUBMITTER-ID ON AAA RECORD	ZZZ
163	FILE ID DOES NOT MATCH FILE ID ON AAA RECORD	ZZZ
164	ZZZ VALUE IS NOT EQUAL TO THE NUMBER OF BBB RECORDS	ZZZ
165	FERAS/RAPS EDI AGREEMENT NOT ON FILE.	NA
177	ZZZ TEST FILE CANNOT EXCEED 3,000 CCC RECORDS	ZZZ
201	BBB RECORD MISSING FROM TRANSACTION	BBB
202	MISSING / INVALID SEQUENCE NUMBER ON BBB RECORD	BBB
203	MISSING / INVALID PLAN NUMBER ON BBB RECORD	BBB
212	SEQUENCE NUMBER ON BBB RECORD IS OUT OF SEQUENCE	BBB
213	SUBMITTER ID NOT AUTHORIZED TO SUBMIT FOR THIS PLAN ID	BBB
227	ICD9/ICD10 FILE TYPE IN HEADER DOES NOT MATCH TYPE DIAGNOSIS CODE ENTERED IN DETAIL RECORD	AAA
251	YYY RECORD MISSING FROM TRANSACTION	YYY
252	MISSING / INVALID SEQUENCE NUMBER ON YYY RECORD	YYY
253	MISSING / INVALID PLAN NUMBER ON YYY RECORD	YYY
254	MISSING / INVALID DETAIL-RECORD-TOTAL	YYY
262	LAST YYY SEQUENCE NUMBER IS NOT EQUAL TO NUMBER OF YYY RECORDS	YYY
263	PLAN NUMBER DOES NOT MATCH PLAN NUMBER IN	YYY

	BBB RECORD	
264	YYY VALUE IS NOT EQUAL TO THE NUMBER OF DETAIL RECORDS	YYY
272	SEQUENCE NUMBER ON YYY RECORD IS OUT OF SEQUENCE	YYY
301	DETAIL RECORD MISSING FROM TRANSACTION	CCC
302	MISSING / INVALID SEQUENCE NUMBER ON DETAIL RECORD	CCC
303	SEQUENCE-ERROR-CODE FILLER NOT EQUAL TO SPACES	CCC
304	HIC-ERROR-CODE FILLER NOT EQUAL TO SPACES	CCC
305	DOB-ERROR-CODE FILLER NOT EQUAL TO SPACES	CCC
307	DIAGNOSIS-CLUSTER-ERROR-1 NOT EQUAL TO SPACES	CCC
308	DIAGNOSIS-CLUSTER-ERROR-2 NOT EQUAL TO SPACES	CCC
309	SEQUENCE-NUMBER ON DETAIL RECORD IS OUT OF SEQUENCE	CCC
310	MISSING / INVALID HIC-NO ON DETAIL RECORD	CCC
311	AT LEAST ONE DIAGNOSIS CLUSTER REQUIRED ON TRANSACTION	CCC
313	DELETE-INDICATOR MUST BE EQUAL TO A SPACE OR "D" FOR DELETE	CCC
314	INVALID DIAGNOSIS CODE FORMAT ON DETAIL RECORD	CCC
315	CORRECTED HIC NOT EQUAL TO SPACES	CCC
353	HIC NUMBER DOES NOT EXIST ON CME	CCC
400	MISSING / INVALID PROVIDER-TYPE ON DETAIL RECORD	CCC
401	INVALID SERVICE FROM-DATE ON DETAIL RECORD	CCC
402	INVALID SERVICE THRU-DATE ON DETAIL RECORD	CCC
403	SERVICE THRU-DATE MUST BE GREATER THAN 12/31/2004	CCC
404	SERVICE FROM-DATE MUST BE LESS THAN OR EQUAL TO THRU-DATE	CCC
405	DOB IS GREATER THAN SERVICE FROM-DATE	CCC
406	SERVICE FROM-DATE IS NOT WITHIN MEDICARE ENTITLEMENT PERIOD	CCC
407	SERVICE THRU-DATE IS NOT WITHIN MEDICARE ENTITLEMENT PERIOD	CCC
408	SERVICE FROM-DATE IS NOT WITHIN MA ORG ENROLLMENT PERIOD	CCC
409	SERVICE THRU-DATE IS NOT WITHIN MA ORG ENROLLMENT PERIOD	CCC
410	BENEFICIARY IS NOT ENROLLED IN ANY PLAN ON OR AFTER SERVICE FROM-DATE	CCC
411	SERVICE THRU-DATE IS GREATER THAN DATE OF	CCC

	DEATH	
412	SERVICE FROM-DATE GREATER THAN TRANSACTION DATE	CCC
413	SERVICE THRU-DATE GREATER THAN TRANSACTION DATE	CCC
414	SERVICE THRU-DATE GREATER THAN 09/30/2013 FOR ICD-9 DIAGNOSIS	CCC
415	SERVICE THRU-DATE BEFORE 10/01/2013 FOR ICD-10 DIAGNOSIS	CCC
450	DIAGNOSIS DOES NOT EXIST FOR THIS SERVICE THRU-DATE	CCC
451	SERVICE THRU-DATE IS GREATER THAN DIAGNOSIS END DATE	CCC
453	DIAGNOSIS CODE IS NOT APPROPRIATE FOR PATIENT SEX	CCC
454	DIAGNOSIS IS VALID, BUT IS NOT SUFFICIENTLY SPECIFIC FOR RISK ADJUSTMENT GROUPING	CCC
455	DIAGNOSIS CLUSTER NOT EDITED DUE TO RECORD FORMAT ERROR	CCC
460	SERVICE FROM- AND THRU-DATE SPAN IS GREATER THAN 31 DAYS	CCC
490	COULD NOT DELETE; DIAGNOSIS CLUSTER NOT IN RAPS DATABASE BENEFICIARY RECORD	CCC
491	DELETE ERROR, DIAGNOSIS CLUSTER PREVIOUSLY DELETED	CCC
492	DIAGNOSIS CLUSTER WAS NOT SUCCESSFULLY DELETED. A DIAGNOSIS CLUSTER WITH THE SAME ATTRIBUTES WAS ALREADY DELETED FROM THE RAPS DATABASE ON THIS DATE	CCC
500	BENEFICIARY HIC NUMBER HAS CHANGED ACCORDING TO CMS RECORDS; USE CORRECT HIC NUMBER FOR THE FUTURE SUBMISSIONS	CCC
502	DIAGNOSIS CLUSTER WAS ACCEPTED BUT NOT STORED. A DIAGNOSIS CLUSTER WITH THE SAME ATTRIBUTES IS ALREADY STORED IN THE RAPS DATABASE.	CCC