

Early Retiree Reinsurance Program Prima Facie Evidence Cover Sheet Instructions - DRAFT

Prima Facie Evidence

Section 149.335(b) of the Early Retiree Reinsurance Program (ERRP) regulations require that, in order for a sponsor to receive reimbursement for the portion of a claim that an early retiree (including eligible spouses, surviving spouses, and dependents) paid, the sponsor must submit prima facie evidence that the individual paid his or her portion of the claim. We believe that the prima facie evidence requirement is satisfied by a legible receipt or copy of a receipt that demonstrates that the amount of Costs Paid by Early Retiree represented in a Claim List for a claim for health benefits (as defined by the Early Retiree Reinsurance Program statute, regulation, and other guidance) was incurred during the applicable plan year, and actually paid, by the early retiree or the early retiree's spouse, surviving spouse or dependent. Please note that Explanation of Benefit (EOB) statements generally will not be accepted as they usually do not include all of this information, particularly information demonstrating that the amount of costs was actually paid by an early retiree or spouse, surviving spouse, or dependent. We expect that each piece of prima facie evidence, at a minimum, will identify the following: the person or organization that provided the health benefit item or service, the item(s) and/or service(s) provided, the date paid, and the amount paid for the item(s) and/or service(s). Further, in order to track information on specific claims, each piece of prima facie evidence must be traceable, by Claim Number and the unique Member ID/Member Group ID combination, to a specific claim included in the Claim List. More than one piece of prima facie evidence may be submitted to support the Costs Paid by Early Retiree amount for a given claim.

When a sponsor includes, in its Claim List submitted with a reimbursement request, any amount greater than zero in Costs Paid by Early Retiree, the sponsor will be contacted by the ERRP Center and directed to submit, by mail, a package containing the necessary prima facie evidence to support such costs. The mailed package must include: each piece of prima facie evidence (i.e. paper receipts), an electronic Prima Facie Evidence Cover Sheet, and a hardcopy Prima Facie Evidence Cover Sheet. In order for the ERRP Center to track these claims, the sponsor must identify each receipt by assigning, and notating in the upper right hand corner of the receipt, a unique and sequential Receipt Identifier, which will be used for tracking purposes. In addition, if multiple items are included on a receipt, the sponsor must circle the items or services that support the reported Costs Paid by Early Retiree.

Answers to Common Questions related to submitting prima facie evidence are posted at www.errp.gov

Prima Facie Evidence Cover Sheet

The sponsor includes the following information on the Prima Facie Evidence Cover Sheet:

- 1) In the Plan Sponsor Name field, enter the Organization Name that appears on your application.

- 2) In the Application ID field, enter the Application ID, provided by the ERRP Center upon the application's approval, for which the prima facie evidence is being submitted.
- 3) In the Plan Year Start Date field, enter the Plan Year Start Date, using the MM/DD/YYYY format, for the plan year to which the provided evidence applies.
- 4) In the Plan Year End Date field, enter the Plan Year End Date, using the MM/DD/YYYY format, for the plan year to which the provided evidence applies.
- 5) In the Number of Pages Including Cover Sheet field, enter the number of pages being submitted (including the cover sheet).
- 6) In the Today's Date field, enter today's date using the MM/DD/YYYY format.
- 7) In the Contact Name field, enter the name of the person submitting the prima facie evidence package. This person will be contacted if there are questions regarding the prima facie evidence package.
- 8) In the Contact Phone field, enter the phone number of the person submitting the prima facie evidence package.
- 9) Log into the ERRP Secure Website and Navigate to the Summary Cost Data page for the appropriate application ID. The page will display the following information that corresponds to the prima facie evidence submission, all of which must be entered into the Prima Facie Evidence Cover Sheet:
 - a. Reimbursement Request #
 - b. Current Cost Paid by Early Retiree
 - c. Old Cost Paid by Early Retiree
 - d. Net Cost Paid by Early Retiree
 - e. Reimbursement Request Date
 - f. Reimbursement Request Total
- 10) In each Receipt Identifier field, enter the unique number assigned by the sponsor for the specific receipt being submitted in this package as prima facie evidence of the Cost Paid by Early Retiree included in the Claim List. If the receipt is being submitted as evidence for more than one member or claim (e.g. if a receipt includes costs paid for health benefit items or services delivered to both an early retiree and spouse) it may be listed more than once on the cover sheet.
- 11) In each Claim Number field, enter the Claim Number to which the Cost Paid by Early Retiree applies. The Claim Number must be the same Claim Number that is found on the Claim List for a claim that contains the relevant health benefit item or service.
- 12) In each Cost Paid by Early Retiree field, enter the amount associated with a given item or service that was paid by the individual, as indicated in the piece of evidence. If there are multiple pieces of evidence for a single claim, the combined dollar amount of all items must be equal to the Cost Paid by Early Retiree field reported in the Claim List for the specific claim.
- 13) In each Member ID field, enter the applicable Member ID for the Early Retiree, Spouse, Surviving Spouse, or Dependent for whom the item or service was delivered. There can only be one Member ID/Member Group ID combination per item or service, and the combination entered in each row of the Prima Facie Evidence Cover Sheet should match the applicable combination for

an individual that has been approved and included in the most recent Early Retiree List Response File provided by the ERRP Center.

- 14) In each Member Group ID field, enter the applicable Member Group ID associated with the Member ID (reference item #11). There can only be one Member ID/Member Group ID combination per item or service, and the combination entered in each row of the Prima Facie Evidence Cover Sheet should match the applicable combination for an individual that has been approved and included in the most recent Early Retiree List Response File provided by the ERRP Center.
- 15) In each Provider ID field, enter the provider ID for the individual or organization that delivered the health benefit item or service to the early retiree or the early retiree's spouse, surviving spouse or dependent. This Provider ID must be the same Provider ID that is found on the Claim List for a given item or service. For professional claims, one of the Rendering Provider IDs from the associated claim in the Claim list must be entered in this field.

Please sort the information provided on the Prima Facie Evidence Cover Sheet sequentially by Receipt Identifier.

Note that the total paid amount for the receipts included on the Prima Facie Evidence Cover Sheet does not have to equal the sum of the total of all receipts included in the package, because there may be health benefit items or services on the receipts that are irrelevant for ERRP purposes. However, each specific Receipt Identifier on the Prima Facie Evidence Cover Sheet must match to the item(s) or service(s) identified on a receipt.

Submitting Prima Facie Evidence Associated with an Adjusted Claim

When a claim for a health benefit item or service is adjusted (e.g. a claim is reprocessed) in such a way that causes the previously submitted prima facie evidence, supporting a specific amount of Cost Paid by Early Retiree related to a given claim, to no longer be accurate, the sponsor must take action to update and correct the prima facie evidence in support the claim. (See 45 CFR 149.600). For example, if a claim is reprocessed by the plan and assigned a new Claim Number in the process, prima facie evidence must be resubmitted for the adjusted claim and a new Receipt Identifier must be assigned by the plan to such resubmitted evidence in order for the ERRP Center to successfully map the evidence to a specific claim in the claim list. Otherwise, only new evidence shall be sent with subsequent Claim List submissions. In order to accurately calculate reimbursements, certain data associated with a given item or service, included both in the Claim List and submitted prima facie evidence, must match. More specifically, the Claim Number and the Cost Paid by Early Retiree amount listed on this cover sheet must match the Claim Number and Cost Paid by Early Retiree amount submitted on the Claim List.

Submitting the Prima Facie Evidence Package to the ERRP Center

Once the Prima Facie Evidence Cover Sheet has been completed, save it to a compact disk (CD), print a paper copy, combine these items into a single package with the paper receipts, and mail via the U.S. Postal Service to:

[insert address here].

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