



Center for Medicaid and State Operations

SMDL # 03-007

September 16, 2003

Dear State Medicaid Directors:

The purpose of this letter is to inform you of changes to the reporting specifications for the Medicaid Statistical Information System (MSIS). These changes are effective with the first quarterly tape submittals for Federal fiscal year (FFY) 2005 (the October - December 2004 quarter). However because of the intense interest in the new data, we encourage states to include these new data fields in the earliest possible quarterly tape submittals.

Effective in FFY 1999, MSIS became the primary Federal reporting medium for general Medicaid program information, replacing the hard-copy HCFA-2082 report. Under MSIS, states submit quarterly tape extracts of eligibles and claims data from their claims processing and administrative systems. The changes affect only the MSIS eligible tapes and no changes are required for the claims tape submittals. These changes are documented in the attached MSIS Data Dictionary replacement pages (also available on our web site at <http://www.cms.hhs.gov/medicaid/msis>).

The changes include updated coding related to race/ethnicity and the participation of eligibles in Medicaid waiver programs. We have added fields to the eligible record to capture indicators for each of the major race categories and a Hispanic/Latino ethnicity category. These multiple fields allow us to capture the race/ethnicity for individuals who feel they belong to multiple categories. These changes are being made to accommodate the coding of the multiple race/ethnicity categories now being captured by many states. Where states have not opted to capture multiple race/ethnicity categories at eligibility intake, the new fields will be coded consistently with the current coding. Refer to OMB Statistical Policy Directive 15, published in the Federal Register on October 30, 1997, for clarification on definitions related to race/ethnicity.

In addition to the race/ethnicity changes, we are adding fields to capture the participation of each reported individual in Medicaid waiver programs. More states have implemented these waivers, including 1915(b), 1915(c), and 1115 demonstration waiver programs, and we need to establish a consistent process for reporting on enrollment in these programs.

We have made every possible effort to minimize the impact of these changes on your systems development staff. We have worked closely with your staff throughout the 1999 MSIS implementation process, and we realize the potential impact of any transition in reporting requirements. For this reason, we have added the new information only as new fields in prior “filler” space. This means that no existing MSIS tape fields will change. The new data, which we anticipate will be readily available in most systems, will be added to the eligible type record in previously unused space, with no change in the total length of the reported record. We believe this will significantly reduce any added burden associated with accomplishing these changes and facilitate implementation of the changes for early FY 2004 quarterly submittals.

Please forward this information, along with the attached modifications to the MSIS data dictionary, to the appropriate state staff. We have an ongoing working relationship with the reporting staffs from the states, and look forward to providing any needed information or assistance to facilitate these changes.

We very much appreciate your efforts to implement the dramatic improvements in program information represented by MSIS. Please refer any questions or concerns regarding these MSIS changes to Roger Buchanan at (410) 786-0780 or rbuchanan@cms.hhs.gov.

Sincerely,

/s/

Dennis G. Smith

Enclosure (See below)

cc:

CMS Regional Administrators

CMS Associate Regional Administrators
for Medicaid and State Operations

Kathryn Kotula
Director, Health Policy Unit
American Public Human Services Association

Joy Wilson
Director, Health Committee
National Conference of State Legislatures

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Matt Salo
Director of Health Legislation
National Governors Association

Brent Ewig
Senior Director, Access Policy
Association of State and Territorial Health Officials

Jim Frogue
Director, Health and Human Services Task Force
American Legislative Exchange Council

Trudi Matthews
Senior Health Policy Analyst
Council of State Governments

5.4 ELIGIBLE File - Physical Data Record Layout

The following table summarizes the fields in the ELIGIBLE file record in the order in which they physically occur in each record (see Section 2, paragraph [e]). Fields whose values remain fixed for an entire quarter are referred to as "root" fields; fields that vary monthly are listed separately for each month.

ELIGIBLE RECORD SUMMARY				
<u>FIELD NAME</u>	<u>COBOL PICTURE</u>	<u>- POSITION -</u>		<u>DEFAULT ERROR TOLERANCE</u>
		<u>START</u>	<u>END</u>	
<u>ROOT FIELDS</u>				
MSIS-IDENTIFICATION-NUMBER	X(20)	01	20	0.1%
DATE-OF-BIRTH	9(8)	21	28	0.1%
DATE-OF-DEATH	9(8)	29	36	5.0%
SEX-CODE	X(1)	37	37	2.0%
RACE-ETHNICITY-CODE	9(1)	38	38	2.0%
SOCIAL-SECURITY-NUMBER	9(9)	39	47	2.0%
COUNTY-CODE	9(3)	48	50	5.0%
ZIP-CODE	9(5)	51	55	5.0%
TYPE-OF-RECORD	9(1)	56	56	2.0%
FEDERAL-FISCAL-YEAR-QUARTER	9(5)	57	61	0.1%
DUAL-ELIGIBLE-FLAG	9(2)	62	63	2.0%
HIC-NUMBER	X(12)	64	75	5.0%
MSIS-CASE-NUMBER	X(12)	76	87	0.1%
RACE-CODE-1	9(1)	88	88	5.0%
RACE-CODE-2	9(1)	89	89	5.0%
RACE-CODE-3	9(1)	90	90	5.0%
RACE-CODE-4	9(1)	91	91	5.0%
RACE-CODE-5	9(1)	92	92	5.0%
ETHNICITY-CODE	9(1)	93	93	5.0%
FILLER	X(9)	94	102	

ELIGIBLE RECORD SUMMARY

<u>FIELD NAME</u>	<u>COBOL PICTURE</u>	<u>- POSITION -</u>		<u>DEFAULT ERROR TOLERANCE</u>
		<u>START</u>	<u>END</u>	
<u>MONTHLY FIELDS</u>				
MONTH 1:				
DAYS-OF-ELIGIBILITY	S9(2)	103	104	2.0%
ELIGIBILITY-GROUP	X(6)	105	110	2.0%
MAINTENANCE-ASSISTANCE-STATUS	X(1)	111	111	0.1%
BASIS-OF-ELIGIBILITY	X(1)	112	112	0.1%
HEALTH-INSURANCE	9(1)	113	113	5.0%
TANF-CASH-FLAG	9(1)	114	114	2.0%
RESTRICTED-BENEFITS-FLAG	9(1)	115	115	5.0%
PLAN-TYPE-1	9(2)	116	117	5.0%
PLAN-ID-1	X(12)	118	129	5.0%
PLAN-TYPE-2	9(2)	130	131	5.0%
PLAN-ID-2	X(12)	132	143	5.0%
PLAN-TYPE-3	9(2)	144	145	5.0%
PLAN-ID-3	X(12)	146	157	5.0%
PLAN-TYPE-4	9(2)	158	159	5.0%
PLAN-ID-4	X(12)	160	171	5.0%
CHIP-CODE	X(1)	172	172	5.0%
INCOME-CODE	X(2)	173	174	5.0%
WAIVER-TYPE-1	X(1)	175	175	5.0%
WAIVER-ID-1	X(2)	176	177	5.0%
WAIVER-TYPE-2	X(1)	178	178	5.0%
WAIVER-ID-2	X(2)	179	180	5.0%
WAIVER-TYPE-3	X(1)	181	181	5.0%
WAIVER-ID-3	X(2)	182	183	5.0%
FILLER	X(10)	184	193	
MONTH 2:				
DAYS-OF-ELIGIBILITY	S9(2)	194	195	2.0%
ELIGIBILITY-GROUP	X(6)	196	201	2.0%
MAINTENANCE-ASSISTANCE-STATUS	X(1)	202	202	0.1%
BASIS-OF-ELIGIBILITY	X(1)	203	203	0.1%
HEALTH-INSURANCE	9(1)	204	204	5.0%
TANF-CASH-FLAG	9(1)	205	205	2.0%
RESTRICTED-BENEFITS-FLAG	9(1)	206	206	5.0%
PLAN-TYPE-1	9(2)	207	208	5.0%
PLAN-ID-1	X(12)	209	220	5.0%
PLAN-TYPE-2	9(2)	221	222	5.0%
PLAN-ID-2	X(12)	223	234	5.0%
PLAN-TYPE-3	9(2)	235	236	5.0%
PLAN-ID-3	X(12)	237	248	5.0%
PLAN-TYPE-4	9(2)	249	250	5.0%
PLAN-ID-4	X(12)	251	262	5.0%
CHIP-CODE	X(1)	263	263	5.0%
INCOME-CODE	X(2)	264	265	5.0%
WAIVER-TYPE-1	X(1)	266	266	5.0%
WAIVER-ID-1	X(2)	267	268	5.0%
WAIVER-TYPE-2	X(1)	269	269	5.0%
WAIVER-ID-2	X(2)	270	271	5.0%
WAIVER-TYPE-3	X(1)	272	272	5.0%
WAIVER-ID-3	X(2)	273	274	5.0%
FILLER	X(10)	275	284	

ELIGIBLE RECORD SUMMARY

FIELD NAME	COBOL PICTURE	- POSITION -		DEFAULT ERROR TOLERANCE
		START	END	
MONTH 3:				
DAYS-OF-ELIGIBILITY	S9(2)	285	286	2.0%
ELIGIBILITY-GROUP	X(6)	287	292	2.0%
MAINTENANCE-ASSISTANCE-STATUS	X(1)	293	293	0.1%
BASIS-OF-ELIGIBILITY	X(1)	294	294	0.1%
HEALTH-INSURANCE	9(1)	295	295	5.0%
TANF-CASH-FLAG	9(1)	296	296	2.0%
RESTRICTED-BENEFITS-FLAG	9(1)	297	297	5.0%
PLAN-TYPE-1	9(2)	298	299	5.0%
PLAN-ID-1	X(12)	300	311	5.0%
PLAN-TYPE-2	9(2)	312	313	5.0%
PLAN-ID-2	X(12)	314	325	5.0%
PLAN-TYPE-3	9(2)	326	327	5.0%
PLAN-ID-3	X(12)	328	339	5.0%
PLAN-TYPE-4	9(2)	340	341	5.0%
PLAN-ID-4	X(12)	342	353	5.0%
CHIP-CODE	X(1)	354	354	5.0%
INCOME-CODE	X(2)	355	356	5.0%
WAIVER-TYPE-1	X(1)	357	357	5.0%
WAIVER-ID-1	X(2)	358	359	5.0%
WAIVER-TYPE-2	X(1)	360	360	5.0%
WAIVER-ID-2	X(2)	361	362	5.0%
WAIVER-TYPE-3	X(1)	363	363	5.0%
WAIVER-ID-3	X(2)	364	365	5.0%
FILLER	X(10)	366	375	

The error tolerance describes, for each field, the maximum allowable percentage of records submitted that may have missing, unknown, or invalid codes. Error rates in excess of the error tolerance level for any field will cause the entire file to be rejected.

5.5 ELIGIBLE File - Logical Data Record Layout

The following table summarizes the fields in the ELIGIBLE file record in the order in which fields are processed by the validation program (see Section 2.0. paragraph [e]). NOTE: Monthly fields are edited collectively in month order. (ex. DAYS-OF-ELIGIBILITY Month 1, DAYS-OF-ELIGIBILITY Month 2, DAYS-OF-ELIGIBILITY Month 3)

	<u>FIELD-TYPE</u>
MSIS-IDENTIFICATION-NUMBER	(Root)
DATE-OF-BIRTH	(Root)
DATE-OF-DEATH	(Root)
SEX-CODE	(Root)
RACE-ETHNICITY-CODE	(Root)
RACE-CODE-1	(Root)
RACE-CODE-2	(Root)
RACE-CODE-3	(Root)
RACE-CODE-4	(Root)
RACE-CODE-5	(Root)
ETHNICITY-CODE	(Root)
SOCIAL-SECURITY-NUMBER	(Root)
COUNTY-CODE	(Root)
ZIP-CODE	(Root)
TYPE-OF-RECORD	(Root)
FEDERAL-FISCAL-YEAR-QUARTER	(Root)
DUAL-ELIGIBILITY-FLAG	(Root)
HIC-NUMBER	(Root)
MSIS-CASE-NUMBER	(Root)
DAYS-OF-ELIGIBILITY	(Monthly)
ELIGIBILITY-GROUP	(Monthly)
MAINTENANCE-ASSISTANCE-STATUS	(Monthly)
BASIS-OF-ELIGIBILITY	(Monthly)
TANF-CASH-FLAG	(Monthly)
RESTRICTED-BENEFITS-FLAG	(Monthly)
PLAN-TYPE-1	(Monthly)
PLAN-ID-1	(Monthly)
PLAN-TYPE-2	(Monthly)
PLAN-ID-2	(Monthly)
PLAN-TYPE-3	(Monthly)
PLAN-ID-3	(Monthly)
PLAN-TYPE-4	(Monthly)
PLAN-ID-4	(Monthly)
HEALTH-INSURANCE	(Monthly)
CHIP-CODE	(Monthly)
INCOME-CODE	(Monthly)
WAIVER-TYPE-1	(Monthly)
WAIVER-ID-1	(Monthly)
WAIVER-TYPE-2	(Monthly)
WAIVER-ID-2	(Monthly)
WAIVER-TYPE-3	(Monthly)
WAIVER-ID-3	(Monthly)

ELIGIBLE FILE

Data Element Name: RACE-CODE-1

Definition: Root Field - A code indicating if the eligible has indicated a race of White.

Field Description:

<u>COBOL Error</u> <u>PICTURE</u>	<u>Tolerance</u>	<u>Example</u> <u>Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's race demographics includes a race of White. This determination is independent of indications of other races. That is, for RACE-CODE-1 through RACE-CODE-5, any combination of race codes is possible. If there is no available race information for the eligible, code all five RACE-CODE(s) as 0, and the race for the eligible will be deemed to be **unknown**.

Valid Values Code Definition

0	Non-White or Race Unknown
1	White

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value not equal to 0 OR 1 - Reset to 0	203
3. Relational Field in Error.....	999
4. Value = 0 and Race/Ethnicity Code = 1	550
5. Value = 1 and Race/Ethnicity Code is not equal to 1 or 7 or 8.....	551

ELIGIBLE FILE

Data Element Name: RACE-CODE-2

Definition: Root Field - A code indicating if the eligible has indicated a race of Black or African-American.

Field Description:

<u>COBOL Error</u> <u>PICTURE</u>	<u>Tolerance</u>	<u>Example</u> <u>Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's race demographics includes a race of Black or African-American. This determination is independent of indications of other races. That is, for RACE-CODE-1 through RACE-CODE-5, any combination of race codes is possible. If there is no available race information for the eligible, code all five RACE-CODE(s) as 0, and the race for the eligible will be deemed to be **unknown**.

Valid Values	Code Definition
0	Non-Black or African American or Race Unknown
1	Black or African American

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value not equal to (0 OR 1) - Reset to 0	203
3. Relational Field in Error.....	999
4. Value = 0 and Race/Ethnicity Code = 2	550
5. Value = 1 and Race/Ethnicity Code is not equal to 2 or 7 or 8.....	551

ELIGIBLE FILE

Data Element Name: RACE-CODE-3

Definition: Root Field - A code indicating if the eligible has indicated a race of American Indian or Alaska Native.

Field Description:

<u>COBOL Error PICTURE</u>	<u>Tolerance</u>	<u>Example Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's race demographics includes a race of American Indian or Alaska Native. This determination is independent of indications of other races. That is, for RACE-CODE-1 through RACE-CODE-5, any combination of race codes is possible. If there is no available race information for the eligible, code all five RACE-CODE(s) as 0, and the race for the eligible will be deemed to be **unknown**.

Valid Values Code Definition

- 0 Non-American Indian or Alaska Native or Race Unknown
- 1 American Indian or Alaska Native

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value not equal to 0 OR 1 - Reset to 0	203
3. Relational Field in Error.....	999
4. Value = 0 and Race/Ethnicity Code = 3	550
5. Value = 1 and Race/Ethnicity Code is not equal to 3 or 7 or 8.....	551

ELIGIBLE FILE

Data Element Name: RACE-CODE-4

Definition: Root Field - A code indicating if the eligible has indicated a race of Asian.

Field Description:

<u>COBOL Error PICTURE</u>	<u>Tolerance</u>	<u>Example Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's race demographics includes a race of Asian. This determination is independent of indications of other races. That is, for RACE-CODE-1 through RACE-CODE-5, any combination of race codes is possible. If there is no available race information for the eligible, code all five RACE-CODE(s) as 0, and the race for the eligible will be deemed to be **unknown**.

Valid Values Code Definition

- 0 Non-Asian or Race Unknown
- 1 Asian

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value not equal to 0 OR 1 - Reset to 0	203
3. Relational Field in Error.....	999
4. Value = 0 and Race/Ethnicity Code = 4	550
5. Value = 1 and Race/Ethnicity Code is not equal to 4 or 7 or 8.....	551

ELIGIBLE FILE

Data Element Name: RACE-CODE-5

Definition: Root Field - A code indicating if the eligible has indicated a race of Native Hawaiian or other Pacific Islander.

Field Description:

<u>COBOL Error PICTURE</u>	<u>Tolerance</u>	<u>Example Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's race demographics includes a race of Native Hawaiian or other Pacific Islander. This determination is independent of indications of other races. That is, for RACE-CODE-1 through RACE-CODE-5, any combination of race codes is possible. If there is no available race information for the eligible, code all five RACE-CODE(s) as 0, and the race for the eligible will be deemed to be **unknown**.

Valid Values Code Definition

- 0 Non-Native Hawaiian or Other Pacific Islander or Race Unknown
- 1 Native Hawaiian or Other Pacific Islander

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value not equal to 0 OR 1 - Reset to 0	203
3. Relational Field in Error.....	999
4. Value = 0 and Race/Ethnicity Code = 6	550
5. Value = 1 and Race/Ethnicity Code is not equal to 6 or 7 or 8.....	551

ELIGIBLE FILE

Data Element Name: ETHNICITY-CODE

Definition: Root Field - A code indicating if the eligible has indicated an ethnicity of Hispanic or Latino.

Field Description:

<u>COBOL Error PICTURE</u>	<u>Tolerance</u>	<u>Example Value</u>
9(1)	5.0%	1

Coding Requirements:

Use this code to indicate if the eligible's demographics include an ethnicity of Hispanic or Latino. This determination is independent of indication of RACE-CODE (1-5).

Valid Values Code Definition

0	Not Hispanic or Latino
1	Hispanic or Latino
9	Ethnicity Unknown

Error Condition	Resulting Error Code
1. Value is Non-Numeric - Reset to 0	812
2. Value is 9	301
3. Value not equal to 0 or 1 or 9	203
4. Relational Field in Error.....	999
5. Value = 0 and Race/Ethnicity Code = 5 OR 7	550
6. Value = 1 and Race/Ethnicity Code is not equal to 5 OR 7.....	551

ELIGIBLE FILE

Data Element Names: WAIVER-ID-1
WAIVER-ID-2
WAIVER-ID-3

Definition: Monthly Fields - Fields for specifying up to three waiver programs under which the eligible individual is covered during the month. These Ids must be assigned by the State, using alpha or numeric codes, to uniquely identify each specific waiver program(s) under which the individual is covered. The categories of waiver programs include 1915(b), 1915(c), combined (b)/(c) programs, and 1115 demonstrations. Individuals are to be associated with a specific waiver only if they are enrolled in a waiver program.

In order to support more detailed analysis of the waiver data, States must submit a hard-copy baseline crosswalk showing the MSIS WAIVER-ID number, and the associated approved full waiver ID number and name. Updates to this crosswalk must be submitted when waivers are added or ID numbers are changed.

Field Description:

<u>COBOL PICTURE</u>	<u>Error Tolerance</u>	<u>Example Value</u>
X(2)	5.0%	C1

Coding Requirements:

Please fill in the monthly WAIVER-ID fields in sequence (e.g., if an individual is enrolled in two waivers, only the first and second set of monthly fields should be used—8 fill the WAIVER-ID-3 field. If only enrolled in one waiver, code WAIVER-ID-1 and 8-fill WAIVER-ID-2 and WAIVER-ID-3).

Enter the coded WAIVER-ID number assigned by the State, and reported in the hard-copy crosswalk documentation.

If individual is not eligible for Medicaid during the month, 0-fill all three fields.

If individual is not enrolled in waiver during the month, 8-fill all three fields.

<u>Error Condition</u>	<u>Resulting Error Code</u>
1. Value is "SPACE FILLED".....	303
2. Relational Field in Error.....	999
3. Value is <> "00" <u>AND</u> DAYS-OF-ELIGIBILITY = +00 <u>AND</u> CHIP CODE<>"3"	502
4. Value is = "00" <u>AND</u> DAYS-OF-ELIGIBILITY <u>NOT</u> = +00.....	502
4. Value is <> "88" <u>AND</u> corresponding WAIVER-TYPE = 0 or 8	538
6. Value is = "88" <u>AND</u> corresponding WAIVER-TYPE = 1 THROUGH 5 OR 9.....	538
7. Value is > "00" in any month later than the month that included DATE-OF-DEATH.	504
8. Value appears more than once in monthly array <u>AND</u> VALUE<>"88" OR "SPACE Filled"	532

ELIGIBLE FILE

Data Element Names: WAIVER-TYPE-1
WAIVER-TYPE-2
WAIVER-TYPE-3

Definition: Monthly Fields - Codes for specifying up to three waiver types under which the eligible individual is covered during the month.

Field Description:

<u>COBOL PICTURE</u>	<u>Error Tolerance</u>	<u>Example Value</u>
X(1)	5.0%	3

Coding Requirements:

Please fill in the monthly WAIVER-TYPE fields in sequence (e.g., if an individual is enrolled in two waivers, only the first and second set of monthly fields should be used; if only enrolled in one waiver, code WAIVER-TYPE-1 and 8-fill WAIVER-TYPE-2 through WAIVER-TYPE-3).

Values must correspond to associated WAIVER-ID-NUMBER.

Valid Values Code Definition

0	Individual was not eligible for Medicaid this month
1	The associated Waiver-ID-Number is for an <u>1115 waiver</u> this month. May also be called a research, experimental, demonstration or pilot waiver or refer to consumer-directed care or expanded eligibility. May cover entire State or just a geographic entity or specific population.
2	The associated Waiver-ID-Number is for a <u>1915(b) waiver</u> this month. May also be called managed care, freedom-of-choice, statewideness, selective contracting, comparability, or program waiver.
3	The associated Waiver-ID-Number is for a <u>1915(c) waiver</u> this month. May also be called Home and Community Based Care, HCBS, HCB, and will often mention specific populations such as MR/DD, aged, disabled/physically disabled, aged/disabled, AIDS/ARC, mental health, TBI/head injury, special care children/technology dependent children.
4	The associated Waiver-ID-Number is a combined <u>1915(b)(c) waiver</u> this month. Includes both managed care and alternatives to institutional long term care such as: case management; homemaker/home health aid; personal care services; adult day health; habilitation; respite.
5	The associated Waiver-ID-Number is for a <u>HIFA (Health Insurance and Flexibility and Accountability) waiver</u> this month. May also be called demonstration waiver or refer to the eligibility expansion, and will be a new waiver on or after August 2001.
6	The associated Waiver-ID-Number is for Pharmacy waiver coverage this month. Includes waivers under 1115 demonstration authority which are primarily intended to increase coverage or expand eligibility for pharmacy benefits.
7	The associated Waiver-ID-Number is for <u>another</u> type of waiver.
8	Not applicable, individual is eligible for Medicaid, but is NOT enrolled in a waiver this month.
9	The associated Waiver-ID-Number is for an unknown type of waiver.

<u>Error Condition Code</u>	<u>Resulting Error</u>
1. Value is Non-Numeric – Reset to 9.....	812
2. Value is 9-filled	301
3. Value is not valid	203
4. Relational Field in Error	999
5. Value is <> 0 <u>AND</u> DAYS-OF-ELIGIBILITY= +00 <u>AND</u> CHIP-CODE <>"3"	502
6. Value is 0 <u>AND</u> DAYS-OF-ELIGIBILITY <> +00	502