Indiana Dual Eligible Special Needs Plans 837P and 837I Encounters

Data Submitter Information Companion Guide

Based on ASC X12 version 005010X222A1 and 005010X223A2

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Preface

This Companion Guide to the v5010 ASC X12N Implementation Guides and associated errata adopted under HIPAA clarifies and specifies the data content when exchanging electronically with the FSSA. Transmissions based on this Companion Guide, used in tandem with the v5010 ASC X12N Implementation Guides, are compliant with both ASC X12 syntax and those guides. This Companion Guide is intended to convey information that is within the framework of the ASC X12N Implementation Guides adopted for use under HIPAA. The Companion Guide is not intended to convey information that in any way exceeds the requirements or usages of data expressed in the Implementation Guides.

Table of Content

1 Introduction

The Indiana Dual Eligible Special Needs Plans (D-SNP) 837P and 837I Encounters Data Submitter Information Companion Guide is intended to provide information to trading partners regarding the exchange of D-SNP Medicare encounter data in Electronic Data Interchange (EDI) format with the Indiana Family and Social Services (FSSA) Enterprise Data Warehouse (EDW). This document includes information about the communication, connectivity, testing, support, and transaction-specific information associated with this exchange and should serve as a main resource for current FSSA specific EDI protocols associated with these exchanges.

For the purposes of this document, Trading Partner is defined as any data submitter that transmits to or receives D-SNP Encounter data from the FSSA EDW. The FSSA EDW supports transactions adopted under HIPAA as well as additional supporting transactions as described in this guide.

1.1 Scope

This Companion Guide (CG) provides technical and connectivity specifications for ASC X12 837P and 837I transactions that are being exchanged with FSSA EDW. This CG is intended to clarify, supplement, and further define specific data requirements to be used in conjunction with, and not in place of, the ASC X12 Implementation Guide and Medicare's Encounter Data Submission and Processing Guide (See Table 1 for link). The instructions in this CG are not intended to be stand-alone requirements.

1.2 Overview

This CG provides information that supports a data submitter's ability to commence, support, and maintain data exchange with FSSA EDW. In addition, this CG supports the design and implementation of the ASC X12N 837P and 837I transaction standard needed to meet FSSA processing standards.

1.3 References

Table 1 – Resources Websites

Resource	Web Address
Medicare's Encounter Data Submission and Processing Guide (Published October 2020)	Encounter Data Submission and Processing Guide: Medicare Advantage Program (**csscoperations**.com)

Resource	Web Address
MA Companion Guide: CMS' Supplemental Instructions for EDR and CRR Data Elements (Published October 2020)	Appendix 3A. MA Companion Guide (csscoperations.com)
Dual Eligible Special Needs Plans Website (IN D-SNP)	https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/
D-SNP Encounters Trading Partner Agreement (TPA)	https://www.in.gov/medicaid/partners/files/IN-FSSA-DSNP-TPA-Template.PDF
Indiana Office of Technology	https://www.in.gov/iot/
Center for Medicare and Medicaid Services (CMS)	http://www.cms.hhs.gov
WEDI – Workgroup for Electronic Data Interchange	http://www.wedi.org
Medicare HCPCS Code Sets	https://www.cms.gov/medicare/coding/medhcpcsgeninfo
Washington Publishing Company	http://www.wpc-edi.com
American National Standards Institute	http://ansi.org
Accredited Standards Committee	http://www.x12.org

2 Getting Started

2.1 Working Together

The EDW Help Desk is established as the point of contact for basic information and troubleshooting. The EDW Help Desk is available to support most EDI questions/incidents and triage any issues where more advanced research is needed. A data submitter can open a Help Desk ticket by emailing the EDW Help Desk. (See Section 5.3, Table 2 – Contact Information)

2.2 Trading Partner Registration

An EDI data submitter is any entity that transmits electronic data to or receives electronic data from another entity as a Trading Partner. A specific EDI Trading Partner Agreement (TPA) is needed for data submitters to exchange electronic D-SNP encounter data with the FSSA EDW. The TPA stipulates the general terms and conditions under which the partners agree to

exchange information electronically. The document defines participant roles, communication, and security requirements.

The TPA designates the data submitter as the entity agreeing to the exchange of electronic data. The TPA also ensures the agreement between the data submitter and FSSA is governed by standard policies and practices to ensure the security and integrity of information exchanged. The TPA will contain the relevant contact information for each data submitter.

Under HIPAA, EDI applies to all covered entities transmitting the following HIPAA-established administrative standard transactions: ASC X12N 837P and 837I. In addition, the FSSA EDW will use the Reject File (RJ), Interchange Acknowledgement (TA1), and Implementation Acknowledgement (999) transactions to return information to the data submitter.

FSSA requires the publication of information on EDI for new trading partners that request to exchange D-SNP Encounter data with the FSSA EDW. Additionally, FSSA requires FSSA EDW to assess the capacity of entities to submit data electronically, establish their qualifications (see test requirements in Section 3), and enroll and assign submitter identification numbers (Submitter ID) to those approved to use EDI.

2.3   EDI Secure File Transfer Protocol

As part of the onboarding process, submitters are required to submit a TPA and receive approval from FSSA. A unique Submitter ID will be assigned by FSSA to include in the TPA and data submissions. The data submitter will also be provided additional details needed to connect and send data such as the SFTP systems Internet Protocol (IP), User ID and Password.

2.4   Supported Transactions

The FSSA EDW supports the approved version of the X12 Professional and Institutional electronic health care transactions for exchanging D-SNP encounters. Listed below are the supported inbound and outbound transactions.

837 Inbound Transactions:
- Health Care Claim: Professional (837) 005010X222A1
- Health Care Claim: Professional (837) DME 005010X222A1
- Health Care Claim: Institutional (837) 005010X223A2
- Health Care Claim: Institutional (837) DME 005010X223A2

837 Outbound Transactions:
- RJ File Rejection
- TA1 Interchange Acknowledgement
- Implementation Acknowledgement for Health Care Insurance (999) ASC X12C 005010X231

3 TESTING

All data submitters must produce accurate electronic test files before being allowed to submit claim transactions in production. Data submitters must sign and execute their TPA to begin testing with FSSA EDW. FSSA EDW will utilize a multi-phased approach for data submitter testing.

Phase 1: Connectivity Testing

Test objectives include:
- Confirm that submitters have connectivity to access SFTP.

- Confirm that submitters have SFTP credentials and that the service account is configured to submit files to FSSA.

- Determine submitters can submit files with the proper naming convention and can retrieve acknowledgement files via the SFTP.

Phase 2: Data Testing

Test objectives include:
- To offer data submitters the ability to test all transaction types from end-to-end.

- To verify and report back to the data submitter on errors encountered during multilevel editing (See Section 4.1 of this manual for more details on editing).

Phase 2 Data Testing will be performed in multiple submission cycles to cover all scenarios for testing. After successful completion of Phase 1 and Phase 2 testing, a data submitter will be approved to submit to production. Files sent to production prior to approval and/or without a 'P' in ISA15 will not be processed.

3.1 Testing Instructions

Phase 1: Connectivity Testing

- Data submitters receive SFTP connectivity instructions.
- Each data submitter will upload a test file to their test Inbound directory on the SFTP server.
- After FSSA EDW receives the file via the SFTP, a generic test response file will be uploaded to the Outbound directory for data submitter retrieval.
- Data submitters should promptly retrieve their response files.
- At the conclusion of connectivity testing, FSSA EDW will verify successful completion to data submitter and approve their moving to Phase 2 - Data Testing.

Phase 2: FSSA Data Testing

- Each data submitter will upload a file to their test Inbound directory on the SFTP server.
- FSSA assigned Submitter ID must be used in the ISA segment.
- The data submitter must add the FSSA assigned Submitter ID to the GS Segment. Data submitters that do not have a Submitter ID should contact the EDW Help Desk (See Section 5.3, Table 2 – Contact Information).
- ISA06 will contain the FSSA assigned Submitter ID.
- ISA14 must have a value of '1' to indicate a submission response is requested
- ISA15 must have a value of 'T' to indicate a test file.
- GS02 must contain the FSSA assigned Submitter ID.
- Each test submission must include all required loops and segments for each file type for testing. Submit different types of services (physician services, ambulance, labs, etc.) in the file to adequately represent all types of services in the test file.

- Each test submission must include one ST-SE transaction containing multiple claims.

- Each data submitter should submit at least 6 test files per file type for each submission Data submitters must submit correction files for corresponding RJ, TA1 or 999 error acknowledgement files.

- After FSSA receives the file via the SFTP, the FSSA EDW will process the file and return the appropriate responses.

- Additional requirements for test data will be documented in a test plan created as part of the onboarding process for a new data submitter.

4 Connectivity / Communications

4.1 Process Flows

Figure 1 - IN D-SNP Encounters Data Flow (Version 2.0)
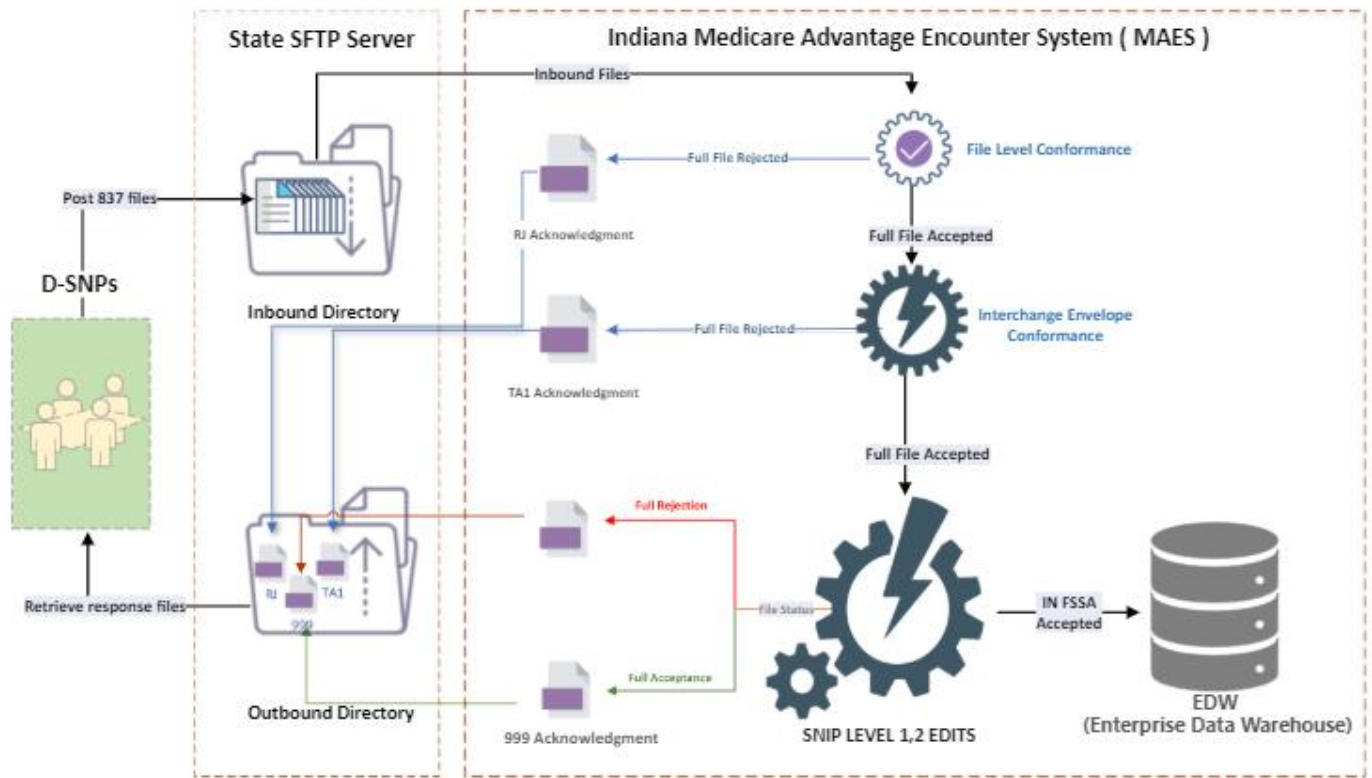
FSSA expects D-SNPs to submit ASC X12 837 files to the Inbound directory on the State SFTP weekly. Indiana Medicare Advantage Encounter System (IN MAES) will process the submitted files through three (3) levels of validations.

File Level Conformance: D-SNP ASC X12 837 file is first validated to check the file conformance standards (see *Section 8.1* for more details). Files that fail file conformance edits are rejected and not processed further. A corresponding RJ File Acknowledgement will be generated for rejections and uploaded to the Outbound directory on the State SFTP.

A submitted file that passes File Level Conformance editing is accepted for further processing through interchange validation.

Interchange Envelope Conformance: Submitted ASC X12 837 File is validated for interchange envelope accuracy. Files that fail the interchange conformance edits are rejected and not processed further. A corresponding TA1 Interchange Acknowledgement will be generated for rejections and uploaded to the Outbound directory on the State SFTP.

A submitted file that passes Interchange Envelope Conformance editing is accepted for further processing through functional group validation.

Functional Group Validation: The final phase of editing is performed at the transaction (ST/SE) level within the X12 837 file to ensure compliance with the TR3 Implementation Guides. The transactions that fail the SNIP Level 1 and 2 editing are rejected and included with specific error details in the corresponding 999 Functional Acknowledgement. The transactions that pass the SNIP Level 1 and 2 editing will be accepted and included in the corresponding 999 Functional Acknowledgement as accepted. The accepted transactions are processed further to load to FSSA EDW.

The 999 Functional Acknowledgement will be created for each submission and will report both accepted and rejected transactions.

For each ASC X12 837 file submitted, Indiana MAES will generate one of the 48 files mentioned in *Section 8* of this manual.

Submissions that pass all three levels of validations are accepted and loaded to FSSA Enterprise Data Warehouse (EDW).

4.2 Transmission

As part of the data submitter onboarding process, two directories will be set up on the State SFTP and a service account with required access will be setup for each data submitter.

SFTP Server Name: gasecuremft.in.gov

Inbound Directory: /EDW/DSNP/<Data Submitter Name>/Inbound

Outbound Directory: /EDW/DSNP/<Data Submitter Name>/Outbound

FSSA expects the data submitter to place ASC X12 837 files in the respective Inbound directory. Acknowledgement files generated by FSSA EDW will be uploaded to the Outbound directory.

To request or update individual access to these directories, the data submitter must contact the EDW Help Desk and provide the following details as part of their request:

Organization Name:

Contact Name:

Contact Email:

Contact Phone Number:

SFTP Folder:

Type of Access:

- Refer to Section 5 of this manual for contact information regarding any transmission issues.

4.3 Inbound File Naming Convention

The file naming convention for inbound files exchanged with the FSSA is:

(TranCategory).(UserID).(Transaction).(TransactionSuffix).(ProgramSuffix).(Frequency).(Date).

(SEQNO).(DAT)

Values for each node
Tran Category
TR – Transaction

User ID
FSSA assigned Submitter ID.
(Example: DEXT1234)

Transaction
837I – Institutional 837
837P – Professional 837

Transaction Suffix
M – DME
X – Non DME

Program Suffix
A – Medicare Advantage

Frequency – Default Weekly
W – Weekly
M - Monthly

Date Time
14-digit date and time stamp (24-hour time, in the format YYYYMMDDHHMMSS)

Sequence Number

A sequence number to uniquely identify the file within the timestamp. (This is a 3-digit numeric value)

File Extension as .DAT

Examples:
Inbound Transactions for 837P (Non DME), 837P (DME), 837I (Non DME) and 837I (DME)
Submissions:

Transaction Type	Inbound File Name
Professional 837 (Non DME) from a Data Submitter (Submitter ID – DEXP1234)	TR.DEXP1234.837P.X.A.W.20220104130103.001.DAT
Professional 837 (DME) from a Data Submitter (Submitter ID – DEXP1234)	TR.DEXP1234.837P.M.A.W.20220104130103.001.DAT
Institutional 837 (Non DME) from a Data Submitter (Submitter ID – DEXP1234)	TR.DEXP1234.837I.X.A.W.20220104130103.001.DAT
Institutional 837 (DME) from a Data Submitter (Submitter ID – DEXP1234)	TR.DEXP1234.837I.M.A.W.20220104130103.001.DAT

4.4   Outbound File Naming Convention

All outbound files sent to the data submitters for download are created using the submitted file name except for the Tran Category.

Examples are listed below.

Tran Category:

RJ – Reject File
IA – TA1 X12 (Interchange Acknowledgement)
FA – Functional Acknowledgement (999)

Examples:

Response Transactions for a Medicare 837P (Non DME) Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ.DEXP1234.837P.X.A.W.20220104130103.001.DAT
TA1 Acknowledgements	IA.DEXP1234.837P.X.A.W.20220104130103.001.DAT
999 Acknowledgements	FA.DEXP1234.837P.X.A.W.20220104130103.001.DAT

Response Transactions for a Medicare 837P (DME) Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ.DEXP1234.837P.M.A.W.20220104130103.001.DAT
TA1 Acknowledgements	IA.DEXP1234.837P.M.A.W.20220104130103.001.DAT
999 Acknowledgements	FA.DEXP1234.837P.M.A.W.20220104130103.001.DAT

Response Transactions for a Medicare 837I (Non DME) Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ.DEXP1234.837I.X.A.W.20220104130103.001.DAT
TA1 Acknowledgements	IA.DEXP1234.837I.X.A.W.20220104130103.001.DAT
999 Acknowledgements	FA.DEXP1234.837I.X.A.W.20220104130103.001.DAT

Response Transactions for a Medicare 837I (DME) Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ.DEXP1234.837I.M.A.W.20220104130103.001.DAT
TA1 Acknowledgements	IA.DEXP1234.837I.M.A.W.20220104130103.001.DAT
999 Acknowledgements	FA.DEXP1234.837I.M.A.W.20220104130103.001.DAT

Note: The date time and sequence number on outbound files will match the date time and sequence number submitted by the data submitter on the inbound file to facilitate reconciliation of responses from the FSSA EDW.

4.5 Transmission Schedule

FSSA expects D-SNP encounter claims to be submitted weekly each Tuesday by midnight. Weekly submissions will include all D-SNP encounter claims that were accepted by CMS in the prior week. If no encounter claims are accepted by CMS for that week, no submission to the EDW is expected. D-SNPs should submit encounter claims the next week after it receives acknowledgement from CMS. If no ASC X12 837 files are available in the Inbound directory for a submitter, an automated email notification will be sent to the data submitter stating that no file was available for processing.

Note: To mitigate short-term burden of a D-SNP having to shift to more frequent weekly file submission, D-SNPs may submit files monthly for up to 3 months after implementation on the 15th of each month by midnight. All D-SNPs should be fully transitioned to weekly submission by the fourth quarter of 2022.

4.6   Re-transmission Procedures

If the file is rejected based on an RJ (Reject) or a TA1 (Failure) then the issue identified in the RJ file or the TA1 Acknowledgements file should be addressed. After fixing the issue the submitter should ensure that a new Interchange Control Number (ICN) is generated for the resubmission, and a new file name should be provided. The data submitter would retransmit the file through the normal transmission procedures.

If the file is rejected due to an error within ST/SE (Transaction Set), the entire file needs to be resubmitted, as no records from that ST/SE will be accepted by FSSA EDW. The data submitter would retransmit the file through the normal transmission procedures.

4.7   Communication Protocol Specifications

D-SNP encounter submissions can be submitted in batches to the State SFTP site.

Host – gasecuremft.in.gov

More information can be found on the IOT Website - IOT: Secure File Transfer (SFTP) (in.gov).

4.8   Security Protocols and Passwords

By connecting to the State SFTP Server, trading partners agree to adhere to FSSA Information Security policy found at - https://www.in.gov/fssa/security-policies/

A Service account with a non-expiring password will be setup for each trading partner. Account details will be communicated to trading partner during on-boarding. The trading partner will be held accountable for any actions taken by the service account.

Passwords must be kept private and secure. Sharing their password is a violation of these policies and procedures and the workforce member will be held accountable for any actions taken by anyone with whom they shared their password. If a password is inadvertently compromised, the workforce member will immediately change their password and report it to the IOT Help Desk.

5   Contact Information

5.1   EDI Technical Assistance

Routine communications regarding data transmissions may be directed to the FSSA EDW by submitting a ticket through the EDW Help Desk. (See Section 5.3, Table 2 – Contact Information)

5.2   SFTP Technical Assistance

For issues with SFTP access or password resets, individuals should contact the Indiana Office of Technology (IOT) at:

1-800-382-1095 or (317) 234-HELP (4357)

OR

Submit a Help Desk ticket through the IOT website.

5.3   Applicable Websites / Email

Table 2 - Contact Information

Website/Email Description	Website/Email
Dual Eligible Special Needs Plans (IN D-SNP) home page	https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/
Trading Partner Agreement on Dual Eligible Special Needs Plans (IN D-SNP website)	https://www.in.gov/medicaid/partners/files/IN-FSSA-DSNP-TPA-Template.PDF
FSSA EDW Help Desk email address	edw-helpdesk.FSSA@fssa.in.gov
IOT website – Help Desk tickets	https://www.in.gov/iot/

6   Control Segments / Envelope

Interchange Control (ISA/IEA), Functional Group (GS/GE), and Transaction Set (ST/SE) envelopes must be used as described in the TR3. Enveloping information must be as follows:

Table 3 - Control Segments/Envelope Requirements

Page #	Element	Name	Codes/Content	Notes/Comments
	ISA	Interchange Control Header		
C.4	ISA01	Authorization Information Qualifier	00	FSSA expects the value to be 00.
C.4	ISA02	Authorization Information		FSSA expects 10 blank spaces.
C.4	ISA03	Security Information Qualifier	00	FSSA expects "00".
C.4	ISA04	Security Information		FSSA does not use Security Information and will ignore content sent in ISA04.
C.4	ISA05	Interchange ID Qualifier	27, ZZ	Must be "27" or "ZZ".
C.4	ISA06	Interchange Sender ID		FSSA assigned Submitter ID.
C.5	ISA07	Interchange ID Qualifier	27, ZZ	Must be "27" or "ZZ".
C.5	ISA08	Interchange Receiver ID		INFSSAEDW
C.5	ISA11	Repetition Separator		Refer Section 6.1
C.6	ISA14	Acknowledgement Requested	1	Must be value 1 - Interchange Acknowledgement Requested (TA1). TA1 Acknowledgement will be only sent when there is an error

Page #	Element	Name	Codes/Content	Notes/Comments
				in the ISA/IEA Interchange Envelope.
C.6	ISA15	Usage Indicator	P	P = Production Data
	GS	Functional Group Header		
C.7	GS02	Application Sender Code		FSSA assigned Submitter ID.
C.7	GS03	Application Receiver's Code		INFSSAEDW
C.7	GS04	Functional Group Creation Date		Must not be a future date.
C.7	GS08	Version Identifier Code	005010X222A1, 005010X223A2	Expected value: "005010X222A1" for 837P and "005010X223A2" for 837I

6.1 ISA-IEA

Delimiters – Inbound Transactions

As detailed in the TR3 Implementation Guides, delimiters are determined by the characters sent in specified, set positions of the ISA header. For transmissions inbound to FSSA, these characters are determined by the data submitter and can be any characters as defined in the TR3 and must not be contained within any data elements within the ISA/IEA Interchange Envelope.

Delimiters – Outbound Transactions

For transmissions outbound from FSSA, these characters will be used in data elements within an ISA/IEA Interchange Envelope.

Table 4 - Outbound Delimiters

Delimiter	Character Used
Data Element Separator	*
Repetition Separator	^
Component Element Separator	:
Segment Terminator	~

Inbound Data Element Detail and Explanation

All data elements within the ISA/IEA interchange envelope must follow ASC X12N syntax rules as defined within the TR3 Implementation Guides.

6.2 GS-GE

Functional Group (GS-GE) Codes are transaction specific. Therefore, information concerning the GS/GE Functional Group Envelope can be found in Table 6.

7 Specific Business Rules and Limitations

This section describes the specific requirements that are in addition to the standard information in the TR3.

7.1 General Notes

- Submissions must be limited to one ISA/IEA per file.

- Submissions must be limited to one GS-GE (Functional Group) per file.

- Submissions must be limited to one ST-SE per file.

- The value in GE01 must be the value of '1'.

- The Submitter ID in ISA06 (Interchange Sender ID) and GS02 (Application Sender's Code) must match. Both should match with Submitter ID in file name.

- IEA02 and ISA13 must match.

- ISA08 and GS03 must match.

- ISA15 should be set to the value of 'P' for production submission.

- ISA13 Interchange Control Number (ICN) must be unique for all accepted submissions per submitter.

- File size must be limited to 10 MB.

- Claim count should be limited to 5000 claims per file.

- If the file is greater than 10 MB, the file must be split into multiple files less than or equal to 10 MB each and must follow the file formatting requirements for each file and naming conventions listed in *Section 4.3*. Each file will be processed separately.

- FSSA EDW will pick up all files placed in Inbound folders which adhere to Inbound File Naming Convention in *Section 4.3* for processing and will place the acknowledgement files to Outbound folder for data submitter retrieval. If there are no files available in the Inbound directory for processing, an automated notification will be sent to the data submitter.

- A unique file name must be applied with no spaces or special characters in accordance with the file naming conventions listed in *Section 4.3*.

- Acknowledgement files will remain available to download for 15 days from the date of creation. If files are not retrieved after 15 days, the acknowledgement files will be purged.

- Data submitters should only submit CMS accepted D-SNP encounters to FSSA. The definition for a CMS accepted encounter claim is 'An encounter claim that has an "accepted" status at the header level (line 000) on the CMS MAO 002 report."

- Submissions must include **all** services reported to CMS on an EDR and CRR.

- Submissions must only include D-SNP encounter claims with dates of service on or after 1/1/2022.

- A 999 Accepted acknowledgement from FSSA must be received for an original claim prior to submission of another (different) file with a void or replacement of that claim. Voids and replacements are permissible within the same file as an original claim.

- Submissions must include all D-SNP encounter claims processed during a deemed eligibility period for any member who temporarily loses Medicaid eligibility for up to six months.

- D-SNPS are required to correct and resubmit rejected files within 90 days of rejection or 90 days following contract year end--whichever is first.

- FSSA will derive the IHCP Provider ID using the NPI, Taxonomy Code and Billing Provider Service Location Zip Code that is submitted on the D-SNP encounter claims transaction.

- FSSA does not expect to receive claim attachments with D-SNP encounter data submissions. Any attachment information submitted in 2300 PWK (claim level) or 2400 PWK (line level) will be accepted but will not be utilized.

- DME encounters should be submitted in the 837P or 837I format in a separate file.

- EDW will default the claim status at the header level to 'P' (Paid) status for **CRR records only**. D-SNPs are required to submit the claim status at the header level for EDR records using Loop 2300, NTE02.

- D-SNPs are required to submit the claim status (both CMS and D-SNP adjudication status) at the line (detail) level on all CRRs and EDRs using Loop 2400, NTE02.

- Historical file submissions for dates of service 01/01/2022 through go-live can be submitted using one of the following methods:
    - Include only the latest iteration of encounter claims accepted by CMS. Any voids and replacements that occurred prior to the latest iteration of the encounter claims would not be included in the files.
    - Include all original encounter claims, voids and replacements accepted by CMS.

7.2 General Transaction Notes

The following are Medicare-specific general rules pertaining to the 837P transaction:

Each data submitter must consult the following guides for submitting the encounters.
1. Refer to TR3 Implementation Guides
2. All D-SNP 837 Institutional and Professional encounter claim submissions must adhere to CMS Supplemental Instructions in *Section 3.2.2*, of Medicare's Encounter Data Submission and Processing Guide (See Table 1, Section 1.3 for resource link).
3. Refer to *Section 10* for submitting the Internal Control Number assigned by CMS.

Table 5 – CMS Encounter Data Submission and Processing Guide Reference

Page #	Section #	Rules for Submission of Encounters
6	3.2.2	How to Populate an EDR or CRR
10	3.5	Submitter Options for Populating Certain Data Elements
13	3.6	National Provider Identifier and Employer Identification Number Guidance
16	3.7	PWK Segment for Special Considerations
17	3.8	Items and Services Covered under Capitated Arrangements
18	3.9	Appropriate Procedure Codes on CRRs
18	3.10	Populating "Other Payer Paid" Fields
18	3.11	DME Guidance

Page #	Section #	Rules for Submission of Encounters
19	3.11.1	DME Services Incident to Submissions
19	3.11.2	DMEPOS Supplier Services Submissions
20	3.12	Ambulance Encounter Processing
20	3.13	Telehealth Encounter Processing

8 Acknowledgements and/or Reports

As part of the D-SNP encounter claim submission process, each X12 837 file submitted will have a corresponding acknowledgement file. The acknowledgement files provide notification to the submitter about various phases of editing and serve different purposes as detailed further in this section.

Acknowledgement files will remain available to download for 15 days from the creation date. If not retrieved after 15 days, the acknowledgement reports will be purged.

8.1 RJ File Acknowledgement

The first phase of editing evaluates the submitted X12 837 file to verify if it is processible and agrees with file conformance. X12 837 files that fail file conformance checks will be rejected and there is no further processing. The submitter must correct and resubmit any file that is rejected. An RJ File Acknowledgement will be generated if the submission fails one or more of the following six (6) file conformance edits.

1. **File Size:** The size of file submitted is required to be no more than 10MB.
   Error Message: *Size of submitted file is more than 10MB.*
2. **Duplicate File:** Name of the file cannot be the same as a previously submitted and accepted file.
   Error Message: *File name is same as previously submitted and accepted file.*
3. **Duplicate ICN:** Interchange Control Number (ICN) cannot be the same as a previously submitted and accepted in ISA13.
   Error Message: *Interchange Control Number is same as previously submitted and accepted.*
4. **Invalid File Name:** Submitted file does not conform to the file naming convention outlined in *Section 4.3.*
   Error Message: *The file name does not conform to the file naming convention*

detailed in the IN D-SNP Companion Guide.

5. **Invalid Characters:** Submitted file contains data with characters that are not a part of the acceptable character set defined in TR3 Implementation guides.
    Error Message: *The file contains character set that is not valid.*
6. **Invalid Usage Indicator:** File contains invalid Usage indicator in ISA15. Expected value 'P' for production submission and 'T' for test submission.
    Error Message: *The file contains an invalid Usage indicator in ISA15. P-Production Submission, T-Test Submission.*

If the file is accepted for processing, it will be staged for Interchange validation.

Refer to *Section 11.1* of this manual for an example of RJ File Acknowledgement.

8.2   TA1 Interchange Acknowledgement

The second phase of editing analyzes the Interchange Control Structure (ISA-IEA envelope) for syntactical and contextual accuracy. Errors detected in the ISA/IEA interchange will generate a TA1 Interchange Acknowledgement and cause the submitted X12 837 file to be rejected. If the file is rejected, there is no further processing. The submitter must correct and resubmit any file that is rejected.

If the file is accepted for processing, it will be staged for Functional Group validation.

Refer to *Section 11.1* of this manual for an example of TA1 Interchange Acknowledgement.

8.3   999 Functional Acknowledgement

The third phase of editing is performed on each transaction (ST/SE) within the submitted X12 837 file. A 999 Functional Acknowledgement transaction is generated for all X12 837 files that do not fail Interchange validation. The purpose of the 999 response is to report the accept or reject status of each transaction (ST/SE) within a submitted X12 837 file. The reason a transaction has passed or failed is determined by the following SNIP levels of testing performed:

Level 1: Testing for valid segments, segment order, element attributes, numeric values in numeric data elements, X12 syntax, and compliance with X12 rules. This process tests the fundamental formatting and control elements of the X12 envelope and internal structure.

Level 2: Testing for HIPAA implementation-guide-specific requirements, such as repeat counts, elements, and segments, required or intra-segment situational data elements. Tests the code value specified in the guide for that transaction (as opposed to external code sets).

Different 999 Acknowledgement files will be created for each submission for both accepted and rejected transactions.

All Transactions Accepted: 999 Accepted Functional Acknowledgement is generated when a transaction set passes the SNIP level editing. The acknowledgement file will contain the transaction set in the submitted file that passes with a status as 'Accepted'.

All Transactions Rejected: 999 Rejected Functional Acknowledgement file is generated when a transaction set fails the SNIP level editing. The acknowledgement file will contain the transaction set in the submitted file with a status as 'rejected'.

Refer to *Section 11.1* of this manual for an example of 999 Functional Acknowledgement.

If the data submitter does not receive an RJ, TA1 or 999 Acknowledgement for any submission, they should contact FSSA EDW through the EDW Help Desk.

9 Trading Partner Agreement

EDI Trading Partner Agreements (TPAs) ensure the integrity of the electronic data exchange process. The TPA is a contract related to the electronic exchange of information between entities. The TPA stipulates the general terms and conditions under which the partners agree to exchange information electronically.

FSSA requires all trading partners to execute a TPA to exchange data related to D-SNP encounter claims. To initiate a TPA for IN D-SNP encounter claim submissions, individuals should submit a request to the FSSA point of contact: Taylor Walters, Medicare, and Medicaid Coordination Manager. The TPA can also be accessed electronically at the following web address: https://www.in.gov/medicaid/partners/files/IN-FSSA-DSNP-TPA-Template.PDF

Upon submitting a completed and signed TPA to FSSA, a unique Submitter ID will be sent to the entity that has executed the TPA. Required system testing can only be initiated after FSSA has received a fully executed TPA.

10 Transaction-Specific Information

D-SNP encounter submissions for IN adheres to all transaction specific information from CMS companion guide **"Appendix 3A. MA Companion Guide: CMS' Supplemental Instructions for EDR and CRR Data Elements.pdf"** (See *Table 1*, *Section 1.3* for resource link). Refer to *Table 6* below for all the CMS outlined transaction specific information.

Table 6 - Transaction Specific Requirements

Page #	Section #	Rules for Submission of Encounters
8-30	A3A.3.	Transaction-Specific Data Elements: CMS' Supplemental Instructions for the X12 837 5010

FSSA expects the data elements listed in *Table 7* below in addition to the transaction specific information in Appendix 3A.MA Companion Guide. The additional data elements indicated below, are over and above the information in the TR3 Implementation Guides and CMS Companion Guide **"Appendix 3A. MA Companion Guide: CMS' Supplemental Instructions for EDR and CRR Data Elements.pdf"** (See Table *1, Section 1.3* for resource link)

Table 7 - Transaction Specific Instructions

Trans Type	Loop ID	Segment Name	Data Element	Description	Notes/Comments
837I, 837P	1000 B	RECEIVER NAME	NM103	Organization Name	Send 'INFSSAEDW'
837I, 837P	1000 B	RECEIVER NAME	NM109	Identification Code	Send 'INFSSAEDW'
837I, 837P	2300	REF - REPRICED CLAIM NUMBER	REF01	Reference Identification Qualifier	Send the value '9A' when submitting an Internal Control Number assigned by CMS.
837I, 837P	2300	REF - REPRICED CLAIM NUMBER	REF02	Repriced Claim Reference Number	Send Internal Control Number assigned by CMS in this data element
837P	2300	NTE-CLAIM NOTE	NTE01	Note Reference Code	Send 'ADD' – Additional Information.
837P	2300	NTE-CLAIM NOTE	NTE02	Claim Note Text	Send DSNP adjudication header status (P/D) in the following format: **INDSNP|<P/D>** P - Paid in D-SNP adjudication process D - Denied in D-SNP

Trans Type	Loop ID	Segment Name	Data Element	Description	Notes/Comments
					adjudication process Example: A DSNP fully denied claim would be reported as follows: **INDSNP|D** **D-SNP adjudication status at the header must be reported on all EDRs. EDW will default the header status to 'P' (Paid) on CRRs only.** Note: Concatenated information should be separated by Pipe Delimiter character '|' Pipe. The NTE02 field allows up to 80 characters.
837I	2300	NTE-BILLING NOTE	NTE01	Note Reference Code	Send '**ADD**' – Additional Information.
837I	2300	NTE-BILLING NOTE	NTE02	Billing Note Text	Send DSNP adjudication header status (P/D) in the following format: **INDSNP|<P/D>** P - Paid in D-SNP adjudication process D - Denied in D-SNP adjudication process Example: A DSNP paid claim would be reported as follows: **INDSNP|P** **D-SNP adjudication status**

Trans Type	Loop ID	Segment Name	Data Element	Description	Notes/Comments
					at the header must be reported on all EDRs. EDW will default the header status to 'P' (Paid) on CRRs only. Note: Concatenated information should be separated by Pipe Delimiter character '|' Pipe. The NTE02 field allows up to 80 characters.
837I, 837P	2400	NTE – THIRD PARTY ORGANIZATION NOTES	NTE02	Line Note Text	Send the CMS MAO-002 line status (A/R) and the DSNP adjudication line status (P/D) in the following format: **CMS|<A/R>|INDSNP|<P/D>** A - Accepted by CMS R - Rejected by CMS P - Paid in D-SNP adjudication process D - Denied in D-SNP adjudication process Example: A CMS **accepted** detail line and IN DSNP **denied** detail line will be submitted as follows: **CMS|A|INDSNP|D** **Line (detail) level claim status (both CMS and D-SNP adjudication status) must be reported on all EDRs and CRRs.** Note: Concatenated

Trans Type	Loop ID	Segment Name	Data Element	Description	Notes/Comments
					information should be separated by Pipe Delimiter character '|' Pipe. The NTE02 field allows up to 80 characters.

11 Transmission Examples

11.1 Transmission Examples

837P

```
ISA*00*        *00*        *ZZ*DEXT1234        *ZZ*INFSSAEDW
*160916*0830*^*005010*100008469*1*P*:~
GS*HC*DEXT1234* INFSSAEDW        *20160916*083054*100008469*X*005010X222A1~
ST*837*0001*005010X222A1~
BHT*0019*00*3920394930203*20171204*1615*RP~
NM1*41*2*Howdee Hospital*****46*TGJ23~
PER*IC*SARA JONES*TE*1234567890~
NM1*40*2*BLUE SHIELD OF NORTH*****46*NYSDOH APD~
HL*1**20*1~
NM1*85*1*HOWDEE HOSPITAL*****XX*3344556601~
N3*888 MAIN STREET~
N4*SAN DIEGO*CA*270074919~
REF*EI*464881128~
HL*2*1*22*1~
SBR*N*18*******BL~
NM1*IN*1*DAWSON*SAMUELS****MI*ZZZ5201452101
N3*729 MAIN STREET~
N4*TOLEDO*OH*270664919~
DMG*D8*20140909*M~
NM1*PR*2*BLUE SHIELD OF NORTH*****MI*566855964~
CLM*33333333*150***11:B:1**A*Y*Y*10*11:AA:EM:OH:US*12*13*14******15~
DTP*096*D8*20221204~
DTP*434*RD8*20221204~
DTP*435*D8*20221204~
DTP*050*D8*20221204~
HI*BK:36769:::::::N~
NM1*77*2*INCREDIBLE LABORATORIES INC****XX*54327659~
N3*832 ELM STREET~
N4*MACON*AZ*345675443~
```

```
SBR*S*01*008514*BLM**1***BL~
AMT*D*765.43~
NM1*IN*1*QUEST LABS*****MI*929194989~
NM1*PR*2*BLUE SHIELD OF NORTH*****PI*566894964~
DTP*573*D8*20171204~
LX*1~
SV2*1*HC:90837:50:UN:1:32:23*150*UN*1**10~
DTP*472*D8*20171204~
SE*66*100008469~
GE*1*100008469~
IEA*1*100008469~
```

837I

```
ISA*00*        *00*        *ZZ*DEXT1234      *ZZ*INFSSAEDW
*160916*0830*^*005010*100008469*1*P*:~
GS*HC*DEXT1234*INFSSAEDW    *20160916*083054*100008469*X*005010X223A2~
ST*837*0001*005010X223A2~
BHT*0019*00*3920394930203*20171204*1615*RP~
NM1*41*2*Howdee Hospital*****46*TGJ23~
PER*IC*SARA JONES*TE*1234567890~
NM1*40*2*BLUE SHIELD OF NORTH*****46*NYSDOH APD~
HL*1**20*1~
NM1*85*1*HOWDEE HOSPITAL*****XX*3344556601~
N3*888 MAIN STREET~
N4*SAN DIEGO*CA*270074919~
REF*EI*464881128~
HL*2*1*22*1~
SBR*N*18*******BL~
NM1*IL*1*DAWSON*SAMUELS****MI*ZZZ5201452101
N3*729 MAIN STREET~
N4*TOLEDO*OH*270664919~
DMG*D8*20140909*M~
NM1*PR*2*BLUE SHIELD OF NORTH*****MI*566855964~
CLM*33333333*150***11:B:1**A*Y*Y*10*11:AA:EM:OH:US*12*13*14******15~
DTP*096*D8*20221204~
DTP*434*RD8*20221204~
DTP*435*D8*20221204~
DTP*050*D8*20221204~
HI*BK:36769::::::::N~
NM1*77*2*INCREDIBLE LABORATORIES INC****XX*54327659~
N3*832 ELM STREET~
N4*MACON*AZ*345675443~
SBR*S*01*008514*BLM**1***BL~
AMT*D*765.43~
NM1*IL*1*QUEST LABS*****MI*929194989~
```

NM1*PR*2*BLUE SHIELD OF NORTH*****PI*566894964~
DTP*573*D8*20171204~
LX*1~
SV2*1*HC:90837:50:UN:1:32:23*150*UN*1**10~
DTP*472*D8*20171204~
SE*66*100008469~
GE*1*100008469~
IEA*1*100008469~

RJ

The File Could Not Be Processed Because Of The Following Error(s). If You Need Additional Assistance After Reviewing Your File. Please Contact The FSSA-EDW Helpdesk At edw-helpdesk.FSSA@fssa.in.gov

 - The file name does not conform to the file naming convention detailed in the IN D-SNP Companion Guide.

TA1

ISA*00*   *00*   *ZZ*INFSSAEDW   *ZZ*DEXT1234
*200604*1027*^*00501*000284788*0*T*:~TA1*100210443*200508*1311*A*000~IEA*0*000284788~

999

ISA*00*   *00*   *ZZ*INFSSAEDW   *ZZ* DEXT1234
*200405*1555*^*00501*000259598*0*T*:GS*FA*INFSSAEDW
*DEXT1234*20200405*1555*1*X*005010X231A1ST*999*000000001*005010X231A1AK1*HC*1874*0
05010X299AK2*837*0002*005010X299IK5*AAK9*A*1*1*1SE*6*000000001GE*1*1IEA*1*000259598

11.2 Acronym Listing

Table 8 - Acronyms Listing and Definitions

Acronym	Definition
ANSI	American National Standards Institute
ASC	Accredited Standards Committee
CG	Companion Guide
CMS	Centers for Medicare & Medicaid Services

Acronym	Definition
CRR	Chart Review Records
DISA	Data Interchange Standards Association
DME	Durable Medical Equipment
DMEPOS	Durable Medical Equipment, Prosthetics, Orthotics and Supplies
D-SNP	Dual-Eligible Special Needs Plan
EDI	Electronic Data Interchange
EDR	Encounter Data Records
EDW	Enterprise Data Warehouse
FSSA	Family and Social Services Administration
GS/GE	GS – Functional Group Header / GE – Functional Group Trailer
HCPCS	Healthcare Common Procedure Coding System
HIPAA	Health Insurance Portability and Accountability Act of 1996
ICN	Interchange Control Number
IOT	Indiana Office of Technology
MAES	Medicare Advantage Encounter System
MAO	Medicare Advantage Organization
SFTP	Secure File Transfer Protocol
SNIP	Strategic National Implementation Process
TPA	Trading Partner Agreement
WEDI	Workgroup for Electronic Data Interchange
WPC	Washington Publishing Company

11.3 Change Summary

The following table details the version history of this CG.

Table 9 - Companion Guide Version History

Version	Date	Section(s) Changed	Change Summary
1.0	January 18, 2022	All	Initial Draft
1.0	February 4, 2022	Section 4.2 Transmission. Section 4.3 – Inbound Naming Convention, 4.5 – Transmission Schedule, 7.1 – General Notes and Table 7 – IN specific data elements.	Section 4.2 - Updated name of SFTP server. Section 4.3 – Updated inbound file naming convention. Section 4.5 - Modified submission frequency to include monthly submissions. Section 7.1 – Updated to include note on having accepted original claim prior to submitting void/replacement. Note on resubmission of rejected files. Table 7 – Updated Loop 2320 SBR09 notes.
1.0	March 4, 2022	Section 4.3 – Inbound File Naming Convention Section 4.4 – Outbound File Naming Convention Table 7 – Transaction Specific Instructions	Updated Section 4.3 – Inbound File Naming Convention – added Transaction Suffix (M-DME, X- Non DME). Updated examples in Section 4.4 – Outbound File Naming Convention. Updated Table 7 – Transaction Specific Instructions – Added instructions for Receiver Name in Loop 1000B, data element NM103 and NM109. Added instructions for indicating paid/denied claim status at the header (Loop 2300, NTE01 and NTE02) and line level (Loop 2400, NTE02).
1.0	March 14, 2022	3.1 Testing Instructions	Updated Section 3.1 -Testing Instructions (Phase 2 – FSSA Data Testing), updated Section 4.6 – Retransmission Procedures, updated General Notes and Table 7 regarding

Version	Date	Section(s) Changed	Change Summary
			reporting of claim header status (Loop 2300, NTE02) and line level claim status (Loop 2400, NTE02).
1.0	May 18, 2022	7.1 General Notes	Included a bullet in Section 7.1 – 'General Notes' regarding submission of historical files with either the latest iteration of the encounter claims accepted by CMS or can submit all original, voids and replacements accepted by CMS.
1.0	June 2, 2022	7.1 General Notes	Updated Section 7.1 – 'General Notes'. Changed GE02 to GE01 in the following note "The value in GE01 must be the value of '1'."
2.0	March 17, 2022	9 – Trading Partner Agreement.	Changed contact to Taylor Walters, Medicare, and Medicaid Coordination Manager.