



# **Indiana Dual Eligible Special Needs Plans Pharmacy Prescription Drug Event (PDE)**

**Data Submitter Information Companion Guide**

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## Preface

This Companion Guide to the *Centers for Medicare and Medicaid Services (CMS) Instructions: Requirements for Submitting Prescription Drug Event Data* specifies the data content when exchanging electronically with the FSSA. This Companion Guide is intended to convey information that is within the framework of the *CMS Instructions: Requirements for Submitting Prescription Drug Event Data*. The Companion Guide is not intended to convey information that in any way exceeds the requirements or usages of data expressed in the *CMS Instructions: Requirements for Submitting Prescription Drug Event Data*.

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# 1 Introduction

The Indiana Dual Eligible Special Needs Plans (D-SNP) Prescription Drug Event Data Submitter Information Companion Guide is intended to provide information to trading partners regarding the exchange of D-SNP Medicare prescription drug event (PDE) data 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.

For the purposes of this document, Trading Partner is defined as any data submitter that transmits to or receives D-SNP PDE data from the FSSA EDW.

## 1.1 Scope

This Companion Guide (CG) provides technical and connectivity specifications for PDE 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, *CMS Instructions: Requirements for Submitting Prescription Drug Event Data* and *CMS – PDE Outbound File Layout* (See Table 1 for links). 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 PDE transaction standard needed to meet FSSA processing standards.

## 1.3 References

*Table 1 – Resources Websites*

Resource	Web Address
CMS Instructions: Requirements for Submitting Prescription Drug Event Data	<a href="#">CSSC Operations - Prescription Drug Program (Part D)</a>
CMS – PDE Outbound File Layout	<a href="#">CSSC Operations - PDE Return/Outbound File Layout</a>
Dual Eligible Special Needs Plans Website (IN D-SNP)	<a href="https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/">https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/</a>
Indiana Office of Technology	<a href="https://www.in.gov/iot/">https://www.in.gov/iot/</a>

Resource	Web Address
Center for Medicare and Medicaid Services (CMS)	<a href="http://www.cms.hhs.gov">http://www.cms.hhs.gov</a>

## 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 when 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. An EDI Trading Partner Agreement (TPA) is needed for data submitters to exchange electronic D-SNP prescription drug event data with the FSSA EDW. If the data submitter has an existing TPA in place to exchange electronic D-SNP data with FSSA EDW, a separate TPA is not needed for submission of prescription drug event data.

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. The submitter shall be responsible for providing all necessary changes and updates to its contact information.

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 Prescription Drug Event (PDE) transactions for exchanging D-SNP pharmacy encounters. Listed below are the supported inbound and outbound transactions.

Inbound Transactions:

- PDE Inbound File

Outbound Transactions:

- XJ File
- XA Acknowledgement File

## 3 TESTING

All data submitters must produce accurate electronic test files before being allowed to submit prescription drug event (PDE) files in production. Data submitters must have a signed and executed 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 to the Inbound directory and can retrieve acknowledgement files via the SFTP Outbound directory.

### Phase 2: Data Testing

Test objectives include:

- To offer data submitters the ability to test the PDE submission process from end-to-end.
- To verify and report back to the data submitter on errors encountered during two levels of 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 'PROD' in HDR Field #5 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

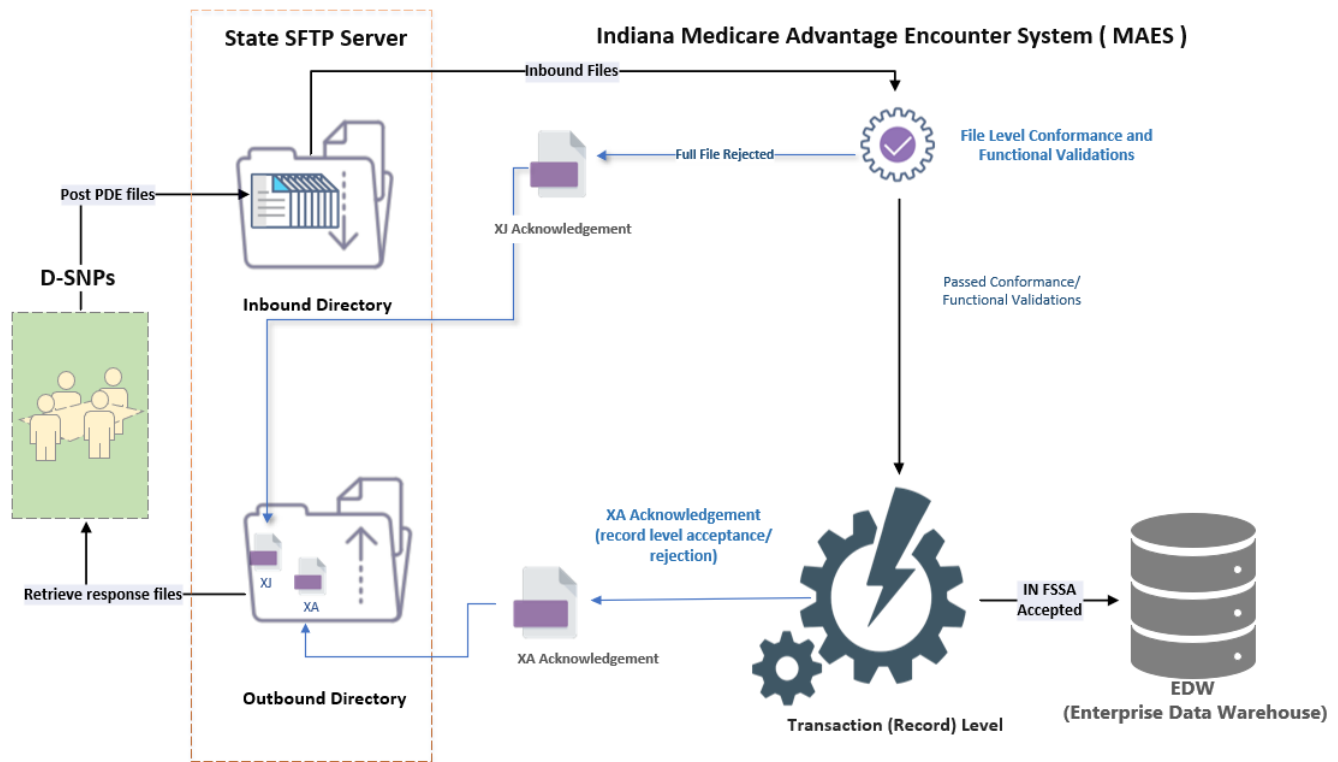
- Each data submitter will upload a file to their test Inbound directory on the SFTP server.
- FSSA assigned Submitter ID must be used in the HDR segment.
- HDR, Field #2 will contain the Submitter ID. This will be populated with the first six (6) characters of the Trading Partner ID assigned by FSSA EDW.
- Each test submission will have TEST indicated in the HDR Field #5.
- Each test submission must include all required elements on the PDE file for testing.
- Each test submission must include one BHD transaction containing multiple PDEs.
- Each data submitter should submit at least three (3) test files for each submission. Data submitters must submit correction files for corresponding XJ and XA 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 Pharmacy PDE Data Flow (Version 1.0)



FSSA expects D-SNPs to submit PDE files to the Inbound directory on the State SFTP weekly. Indiana Medicare Advantage Encounter System (IN MAES) will process the submitted files through two (2) levels of validations.

**File Level Conformance and Functional Validation:** D-SNP PDE file is first validated to check the file conformance standards and functional validations. Control records will have the record ID of HDR, TLR, BHD and BTR. (See Section 8.1 for more details). Files that fail file conformance or functional validations are rejected and not processed further. A corresponding XJ 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 and functional validations is accepted for further processing through record level validation.

**Record Level Validation:** Submitted PDE File is validated for detail records accuracy. The detail records will have the record ID of DET.

A corresponding XA Acknowledgement file will be generated for all files that pass file level conformance

and functional validations. An XA Acknowledgement file where all PDE records have been accepted will show no errors. Any PDE records that were rejected will have errors reported in the XA Acknowledgement file

The XA Acknowledgement file will be uploaded to the Outbound directory on the State SFTP.

## 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/Pharmacy

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

FSSA expects the data submitter to place PDE 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 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**

XPDE – PDE Transaction

**Transaction Suffix**

P - Pharmacy

**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 Medicare PDE Submissions:**

Transaction Type	Inbound File Name
PDE File from a Data Submitter (Submitter ID – DEXP1234)	TR.DEXP1234.XPDE.P.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 file name submitted by the D-SNP except for Tran Category. The Tran Category on the outbound files will be either XJ or XA as indicated below.

**Tran Category:**

XJ – File Rejection

XA – Acknowledgement File

## Examples:

### Response Transactions for Medicare PDE Submissions:

Transaction Type	Outbound File Name
XJ - File Rejection	XJ.DEXP1234.XPDE.P.A.W.20220104130103.001.DAT
XA - Acknowledgement File	XA.DEXP1234.XPDE.P.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 prescription drug events to be submitted weekly each Tuesday by midnight. Weekly submissions will include all D-SNP prescription drug events that were accepted by CMS in the prior week. If no prescription drug events are accepted by CMS for that week, no submission to the EDW is expected. D-SNPs should submit prescription drug events the next week after it receives acknowledgement from CMS. If no PDE 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 15<sup>th</sup> of each month by midnight. All D-SNPs should be fully transitioned to weekly submission by 90 days after initial implementation.

## 4.6 Re-transmission Procedures

If the file is rejected based on an XJ (Reject) or an XA (Failure) then the issue identified in the XJ file or the XA Acknowledgement file should be addressed. After fixing the issue the submitter should ensure that a new File ID (HDR Field #3) 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 BHD, the entire file needs to be resubmitted, as no records from that BHD 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 prescription drug event 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	<a href="https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/">https://www.in.gov/medicaid/partners/medicaid-partners/dual-eligible-special-needs-plans/</a>

Trading Partner Agreement on Dual Eligible Special Needs Plans (IN D-SNP website)	<a href="https://www.in.gov/medicaid/partners/files/IN-FSSA-DSNP-TPA-Template.PDF">https://www.in.gov/medicaid/partners/files/IN-FSSA-DSNP-TPA-Template.PDF</a>
FSSA EDW Help Desk email address	<a href="mailto:edw-helpdesk.FSSA@fssa.in.gov">edw-helpdesk.FSSA@fssa.in.gov</a>
IOT website – Help Desk tickets	<a href="https://www.in.gov/iot/">https://www.in.gov/iot/</a>

## 6 Control Segments / Envelope

Interchange Control (HDR, TLR, BHD and BTR) Enveloping information must follow PDE Inbound File layout indicated in **Appendix 1**.

## 7 Specific Business Rules and Limitations

This section describes the specific requirements that are in addition to the standard information in the CMS Instructions: Requirements for Submitting Prescription Drug Event Data.

### 7.1 General Notes

- File\_ID must match between HDR and TLR.
- Submitter\_ID must match between HDR and TLR.
- Sequence Numb must match between BHD and BTR.
- Contract Numb must match between BHD and BTR.
- PBP ID must match between BHD and BTR.
- Sequence Numb in BHD must start with 0000001.
- File size must be limited to 50 MB.
- If the file is greater than 50 MB, the file must be split into multiple files less than or equal to 50 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 directory which adhere to Inbound File Naming Convention in *Section 4.3* for processing and will place the acknowledgement files to Outbound directory for data submitter retrieval.
- 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.

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- Data submitters should only submit CMS accepted D-SNP Pharmacy PDE records to FSSA.
- Submissions must only include D-SNP PDE records with dates of service on or after 1/1/2022.
- 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.
- The Submitter ID on the PDE Inbound File HDR and TLR should contain the first six (6) characters of the D-SNPs Trading Partner ID assigned by FSSA EDW.
- FSSA EDW will use the following data elements to identify a unique PDE:
  - Medicare Beneficiary Identifier (MBI)
  - Service Provider ID
  - Service Provider ID Qualifier
  - Prescription Service Reference Number
  - Date of Service
  - Fill Number
  - Dispensing Status
- D-SNPs are required to submit PDE adjustments to EDW in the order they were submitted and accepted by CMS. Any rejections by the EDW must be addressed prior to submitting a subsequent adjustment.
- D-SNPs will submit only one version of a PDE per file.
- Original PDE records (accepted by CMS) that have one or more adjustments/replacements within the same week, that are all accepted by CMS, should not be sent to EDW. In this situation, the **adjusted PDE** (latest iteration) would be sent to EDW as an original.

Submission Guideline:

- Original PDE record accepted by CMS. (Do not send to EDW)
- Latest Adjustment of the original PDE record accepted by CMS. (Send to EDW as an **original** PDE record.)
- Original/Replacement PDE records (accepted by CMS) that are deleted and accepted by CMS within the same week should not be sent to EDW. In this situation, the **deletion PDE** (latest iteration) would be sent to EDW.

Submission Guideline:

- Original/Replacement PDE record accepted by CMS. (Do not send to EDW)
- Deletion of the Original/Replacement PDE record accepted by CMS. (Send to EDW)
- 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 PDE records accepted by CMS. Any adjustments and deletions that occurred prior to the latest iteration of the PDE record would not be included in the files.
- If the latest iteration within the history of the PDE record is a deletion (accepted by CMS), only submit the latest deletion record.
- Include all original PDE records, adjustments and deletions accepted by CMS.

## 7.2 General Transaction Notes

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

Each data submitter must consult the following guide for submitting the PDE records.

1. Refer to CMS Instructions: Requirements for Submitting Prescription Drug Event Data (Medicare PDE Guidance) (dated April 26, 2006)
2. The following data elements will identify a unique Prescription Drug Event record. (Reference CMS Instructions: Requirements for Submitting Prescription Drug Event Data, Section 3.1)
  - Medicare Beneficiary Identifier (MBI)
  - Service Provider ID
  - Service Provider ID Qualifier
  - Prescription/Service Reference Number
  - Date of Service
  - Fill Number
  - Dispensing Status

## 8 Acknowledgements and/or Reports

As part of the D-SNP encounter claim submission process, each PDE 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 XJ File Acknowledgement

The first phase of editing evaluates the submitted PDE file to verify if it is processable and agrees with file level conformance and functional validations. This phase of editing also includes editing of HDR, BHD, BTR and TLR records. PDE files that fail file level conformance or functional editing checks will be rejected and there is no further processing. The submitter must correct and resubmit any file that is rejected. An XJ File Acknowledgement will be generated if the submission fails one or more of the following file level conformance or functional level edits.



Table 3 - XJ Error Codes

No.	Error	Error Message (in XJ File)
1	HDR Record is Missing	<i>The HDR Record is missing. The file should contain one HDR Record (Record ID = 'HDR').</i>
2	BHD Record is Missing	<i>The BHD Record is missing. The file should contain one BHD Record (Record ID = 'BHD').</i>
3	DET Record is Missing	<i>The DET Record is missing. The file should contain at least one DET Record (Record ID = 'DET').</i>
4	BTR Record is Missing	<i>The BTR Record is missing. The file should contain one BTR Record (Record ID = 'BTR').</i>
5	TLR Record is Missing	<i>The TLR Record is missing. The file should contain one TLR Record (Record ID = 'TLR').</i>
6	Record Length for HDR Record is Invalid.	<i>The Total Record length for the HDR segment is either greater than or less than expected length of 512.</i>
7	Record Length for BHD Record is Invalid	<i>The Total Record length for the BHD segment is either greater than or less than expected length of 512.</i>
8	Record Length for DET Record is Invalid	<i>The Total Record length for the DET segment is either greater than or less than expected length of 512.</i>
9	Record Length for BTR Record is Invalid	<i>The Total Record length for the BTR segment is either greater than or less than expected length of 512.</i>
10	Record Length for TLR Record is Invalid	<i>The Total Record length for the TLR segment is either greater than or less than expected length of 512.</i>
11	File Size Greater than 50 MB	<i>Size of submitted file is more than 50MB.</i>
12	Duplicate File Name Submitted	<i>File name is same as previously submitted and accepted file.</i>
13	Invalid File Name	<i>The file name does not conform to the file naming convention detailed in the IN D-SNP pharmacy companion guide.</i>
14	Invalid Character Set	<i>The file contains character set that is not valid.</i>
15	Prod Test Cert Indicator	<i>The file contains an invalid PROD TEST CERT IND in HDR (Field #5). Valid values are PROD-Production Submission, TEST-Test Submission CERT – Cert Submission.</i>
16	Submitter ID in HDR is Invalid	<i>The file contains an invalid Submitter ID in HDR (Field #2). It should contain the first six (6) characters of the Trading Partner ID assigned by FSSA.</i>
17	File ID in HDR is Invalid	<i>The file contains no File ID in HDR (Field #3). The File ID should always be populated.</i>
18	Trans Date in HDR is Invalid	<i>The file contains an invalid Trans Date in HDR (Field #4). It should contain a valid date in format YYYYMMDD.</i>
19	Sequence Number in BHD is Invalid	<i>The Sequence Number in BHD (Field #2) is either not populated or contains non-numeric characters. It should contain a valid 7-byte number, left padded with zeroes.</i>
20	Contract Number in BHD is Invalid.	<i>The file contains an invalid Contract Number in BHD (Field #3). It should contain the Contract Number assigned by CMS.</i>
21	PBP ID in BHD in Invalid	<i>The file contains an invalid PBP ID in BHD (Field #4). It</i>

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No.	Error	Error Message (in XJ File)
		<i>should contain the PBP ID assigned by CMS.</i>
22	Sequence Number in BTR is Invalid	<i>The Sequence Number in BTR (Field #2) is either not populated or is not matching with the corresponding BHD Sequence Number (Field #2). The Sequence Number in BTR should always match with the corresponding Sequence Number in BHD.</i>
23	Contract Number in BTR is Invalid	<i>The Contract Number in BTR (Field #3) is either not populated or is not matching with the corresponding BHD Contract Number (Field #3). The Contract Number in BTR should always match with the corresponding Contract Number in BHD.</i>
24	PBP ID in BTR is Invalid	<i>The PBP ID in BTR (Field #4) is either not populated or is not matching with the corresponding BHD PBP ID (Field #4). The PBP ID in BTR should always match with the corresponding PBP ID in BHD.</i>
25	Detail Record Total in BTR is Invalid	<i>The Detail Record Total in BTR (Field #5) is not matching with the number of records within the BHD-BTR records. The number of PDE records included within the BHD-BTR records should match with the BTR (Field #5).</i>
26	Submitter ID in TLR is Invalid	<i>The Submitter ID in TLR (Field #2) is either not populated or is not matching with the corresponding HDR Submitter ID (Field #2). The Submitter ID in TLR should always match with the Submitter ID in HDR.</i>
27	File ID in TLR is Invalid	<i>The File ID in TLR (Field #3) is either not populated or is not matching with the corresponding HDR File ID (Field #3). The File ID in TLR should always match with the File ID in HDR.</i>
28	More than one BHD-BTR segment identified	<i>The file contains more than one BHD -BTR records. The file should contain only one BHD-BTR segment pair.</i>
29	Detail Record Total in TLR is Invalid	<i>The Detail Record Total in TLR (Field #5) is not matching with the number of records within the BHD-BTR records. The number of PDE records included within the BHD-BTR records should match with the BTR (Field #5).</i>
30	Submitter ID in File Name is Invalid.	<i>The file name contains an invalid Submitter ID (User ID). The file name should contain the FSSA assigned Submitter ID.</i>
31	File Size is Invalid	<i>File size submitted is invalid. File size should be greater than zero KB.</i>

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

Refer to *Section 10.1* of this manual for an example of XJ File Acknowledgement.

## 8.2 XA Acknowledgement File

The second phase of editing analyzes DET records. An XA Acknowledgement File will be generated for all DET records that pass the first phase of editing.

Detail level editing will result in one of the following outcomes:

- The XA Acknowledgement File will contain DET records that were errored. The error codes will be populated in field(s) 69 through 78.
- If there are no errors, XA Acknowledgement File will contain HDR, BHD, BTR and TLR records. The XA Acknowledgement File will not contain any DET records if there are no errors.

*Table 4 - XA Acknowledgement Error Codes*

Error Code	Error	Error Message
E01	Invalid Medicare Beneficiary Identifier	<i>Medicare Beneficiary ID is not populated. MBI is expected in DET records (Field #4).</i>
E02	Invalid Service Provider ID	<i>Service Provider ID is not populated. Service Provider ID is expected in DET records (Field #14).</i>
E03	Invalid Service Provider ID Qualifier	<i>Service Provider ID Qualifier is not populated. Service Provider ID Qualifier is expected in DET records (Field #13).</i>
E04	Invalid Prescription/Service Reference Number	<i>Prescription/Service Reference Number is not populated. Prescription/Service Reference Number is expected in DET records (Field #10).</i>
E05	Invalid Date of Service	<i>Date of Service is not populated. Date of Service is expected in DET records (Field #8).</i>
E06	Invalid Fill Number	<i>Fill Number is not populated. Fill Number is expected in DET records (Field #15).</i>
E07	Invalid Dispensing Status	<i>Dispensing Status has a value other than blank. (Field #16)</i>
E08	Invalid Adjustment Deletion Code	<i>Adjustment Deletion Code on DET record (Field #25) contains an invalid value. Valid values are A – Adjustment, D – Deletion, Blank – Original PDE.</i>
E09	Duplicate DET Records	<i>DET Record is same as previously submitted and accepted. A unique DET Record is identified using (Section 6)</i>
E10	Adjustment or Deletion Cannot be Linked to an Original PDE	<i>PDE Adjustment or Deletion record is submitted without an Original PDE being accepted.</i>

Refer to *Section 10.1* of this manual for an example XA Acknowledgement File. Refer to **Appendix 2** for the XA Acknowledgement File layout.

If the data submitter does not receive either an XJ or XA Acknowledgement File for any file submission, they should contact FSSA EDW through the EDW Help Desk (Refer to Section 5.3, Table 2).

## 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 prescription drug events. 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>

Note: D-SNPs that have an existing TPA in place with FSSA for exchange of D-SNP data are not required to complete a new TPA to exchange PDE data.

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 for exchange of PDE data can only be initiated after FSSA has received a fully executed TPA.

## 10 Transmission Examples

### 10.1 Transmission Examples

PDE Inbound File

HDRDET123XX3456789C20220418TEST2022041818013400001

BHD0000001H012340012022041818013400001

```
DET000000112345687981234          ABC1234578    12345678912
20220418M2022010120220114123456789111 0199999999995  01999999999  20P00
0799901          C BMA123456789999999999  888  888  888  888  888  888  888
888  888  888  1999  20220418194823  999  999  BDD999  1F 01002
999  PBP01          12345X1234
```

BTR0000001H012300100000001

TLRDET123XX3456789C000000001000000001

**XJ File**

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](mailto:edw-helpdesk.FSSA@fssa.in.gov)

- The file name does not conform to the file naming convention detailed in the *IN D-SNP pharmacy companion guide*.

**XA Acknowledgement File**

```

HDRDET123XX3456789C20220418TEST2022041818013400001
BHD0000001H01230012022041818013400001
REJ000000112345687981234                            12345678912
20220418M2022010120220114123456789111 0199999999995 01999999999 20P00
0799901          C BMA123456789999999999 888 888 888 888 888 888 888
888 888 888 1999 20220418194823          999 999 BDD999 1F 01002
999 PBP01          12345X1234          01E01
BTR0000001H012300100000010000000000000000000001
TLRDET123XX3456789C000000000100000000010000000000000000000001
  
```

# 11 Acronym Listing

## 11.1 Acronym Listing

*Table 5 - Acronyms Listing and Definitions*



Acronym	Definition
CG	Companion Guide
CMS	Centers for Medicare & Medicaid Services
CSSC	Customer Service and Support Center
DDPS	Drug Data Processing System
D-SNP	Dual-Eligible Special Needs Plan
EDI	Electronic Data Interchange
EDW	Enterprise Data Warehouse
FSSA	Family and Social Services Administration
HIPAA	Health Insurance Portability and Accountability Act of 1996

Acronym	Definition
IN MAES	Indiana Medicare Advantage Encounter System
IOT	Indiana Office of Technology
IP	Internet Protocol
MBI	Medicare Beneficiary Identifier
PBP	Plan Benefit Package
PDE	Prescription Drug Event
SFTP	Secure File Transfer Protocol
TPA	Trading Partner Agreement

## 12 Appendix

### 12.1 Appendix

Table 6 – Appendix Information

Appendix	Description	Document
1	PDE Inbound File Layout (IN FSSA)	 PDE Inbound File Layout_IN FSSA.xlsx
2	XA Acknowledgement File Layout	 XA Acknowledgement F

## 13 Change Summary

### 13.1 Change Summary

The following table details the version history of this CG.

Table 7 - Companion Guide Version History

Version	Date	Section(s) Changed	Change Summary
1.0	April 4, 2022	All	Initial draft

Indiana Dual Eligible Special Needs Plans Pharmacy Prescription Drug Event (PDE)  
Data Submitter Information Companion Guide

Version	Date	Section(s) Changed	Change Summary
1.0	April 19, 2022	All	Final updates to draft.
1.0	April 22, 2022	2.1, 2.2, 4.3, 4.4, 8.6 and 11.1	Incorporated changes requested by FSSA.
1.0	May 06, 2022	3.1, 7.1, 8.1, 8.2 and 10.1	<ul style="list-style-type: none"> <li>▪ Section 3.1 - Phase 2: FSSA Data Testing – second bullet point was updated to state “FSSA assigned Submitter ID must be used in the <b>HDR</b> segment”.</li> <li>▪ Section 7.1 - General Notes had the following notes added.</li> <li>▪ D-SNPS are required to submit PDE adjustments to EDW in the order they were submitted and accepted by CMS. Any rejections by the EDW must be addressed prior to submitting a subsequent adjustment.</li> <li>▪ D-SNPs will submit only one version of a PDE per file.</li> <li>▪ Section 8.1 - XJ File Acknowledgement – Updated error code 15 (Prod Test Cert Indicator) – “The file contains an invalid PROD TEST CERT IND in HDR (Field #5). Valid values are P – Production Submission, T- Test Submission and C – Cert Submission”.</li> <li>▪ Section 8.2 - XA Acknowledgement File – Updated error code E07 (Invalid Dispensing Status) – “Dispensing Status has a value other than blank. (Field #16)”.</li> <li>▪ Section 10.1 - Transmission Examples - PDE Inbound File example must be updated.</li> </ul>
1.0	May 18, 2022	7.1. 8.2 (Table 4)	<ul style="list-style-type: none"> <li>▪ Included a bullet in Section 7.1 – ‘General Notes’ regarding submission of historical files with the latest iteration of the PDE Record.</li> </ul>

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Version	Date	Section(s) Changed	Change Summary
			<ul style="list-style-type: none"> <li>Added error code E10 – ‘Adjustment or Deletion Cannot be Linked to an Original PDE’ to XA Acknowledgement File, Section 8.2, Table 4.</li> </ul>
1.0	May 26, 2022	7.1	<ul style="list-style-type: none"> <li>Revised the bullet on historical file submissions in Section 7.1 – ‘General Notes’ to say that D-SNPs can submit in one of two methods:                             <ul style="list-style-type: none"> <li>Submit only the latest iteration of the PDE record accepted by CMS or they can include all originals, adjustments and deletions accepted by CMS.</li> </ul> </li> </ul>
1.0	June 9, 2022	Table 3 – XJ Error Codes	<ul style="list-style-type: none"> <li>Table 3 – XJ Error Codes – Added error codes and descriptions for new errors 30 and 31. Updated description for error code 15 to show valid values are PROD, TEST and CERT.</li> </ul>
1.0	June 24, 2022	Table 3 – XJ Error Codes	<ul style="list-style-type: none"> <li>Modified the error messages for the following error codes:                             <ul style="list-style-type: none"> <li>- Error Code 4 - “The BTR Record is missing. The file should contain one BTR Record (Record ID = ‘BTR’).</li> <li>- Error Code 5 – “The TLR Record is missing. The file should contain one TLR Record (Record ID = ‘TLR’).</li> </ul> </li> </ul>
1.0	July 20, 2022	7.1	<ul style="list-style-type: none"> <li>Added submission guidelines for scenarios where original/adjustment is accepted by CMS in the same week as an adjustment or deletion to the same claim.</li> </ul>
2.0	March 17,2023	9 – Trading Partner Agreement*	Changed contact to Taylor Walters, Medicare and Medicaid Coordination Manager.