



# Industry Update Summary Report

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## Industry Update

### 2 of 3 Sessions

#### Executive Summary

The primary purpose of Industry Update II is to provide information to Medicare Advantage Organizations (MAOs) and Third Party submitters regarding the progress of encounter data implementation and detailed information on the testing requirements for the Encounter Data Front-End System (EDFES). A question and answer (QA) session was held following each topic addressed. There were 187 participants in attendance.

The document provides technical information shared during the Industry Update. New information learned after the session can be found on pages 8-9 of this document. Please refer to these pages for updated operational guidance.

#### Encounter Data Enrollment Package

An Encounter Data Enrollment Package consisting of an Encounter Data EDI Agreement and Submitter ID Application must be completed by each submitter and be on file with the Customer Service and Support Center (CSSC), prior to submitting encounter data to the front-end system. The Enrollment Package is posted on the CSSC website at [www.csscoperations.com](http://www.csscoperations.com).

#### Encounter Data EDI Agreement

Prior to sending test files to the EDFES, MAOs and Third Party submitters are required to complete an Encounter Data EDI Agreement with the Customer Service and Support Center (CSSC). The agreement must be signed by an authorized agent of the MAO or Third Party and received by CSSC Operations at this address:

Medicare Advantage EDI Agreement  
CSSC Operations AG-570  
2300 Springdale Drive Bldg. One  
Camden, SC 29020-1728.

The EDI Agreement outlines 12 MAO requirements. For example, two (2) of the requirements are:

- The MAO will be ultimately responsible for all Medicare encounter data submitted to CMS by itself, its employees, or its agents, and
- The MAO will ensure that every electronic entry can be readily associated and identified with an original source document.



### ***Submitter ID Application***

MAOs must complete the submitter application in order to receive a submitter ID to submit encounter data. Applications are not considered complete until the entire package is received by CSSC.

All MAOs and/or Third Party submitters must establish connectivity through one of three (1 of 3) approved CMS connections in order to transmit 5010 X12 encounter data transaction files to the EDFES. The approved CMS connections include:

- Connect:Direct (NDM)
- File Transfer Protocol (FTP)
- Gentran

Submitters must complete the Encounter Data Online submitter application located at, <http://www.csscooperations.com/internet/cssc.nsf/docsCat/CSSC~Encounter%20Data~Enroll%20to%20Submit%20ED?open>, and indicate which of the three (3) connections will be utilized to transmit the 5010 X12 transaction files.

For Connect:Direct users, a Connect:Direct Application must be completed, which includes the submitter's Connect:Direct parameters, technical contact information, and encounter responses/reports dataset names. The application can be found at, [http://www.csscooperations.com/internet/Cssc.nsf/files/Encounter\\_Connect\\_Direct\\_Form\\_030411.pdf/\\$File/Encounter\\_Connect\\_Direct\\_Form\\_030411.pdf](http://www.csscooperations.com/internet/Cssc.nsf/files/Encounter_Connect_Direct_Form_030411.pdf/$File/Encounter_Connect_Direct_Form_030411.pdf).

### ***Third Party Submitters***

Third Party submitters are responsible for completing three (3) items in order to submit encounter data:

1. The EDI Agreement must be completed, signed, and returned for each MA number submitting data. If an MAO is using a Third Party submitter for encounter data submissions, then both the MAO and the Third Party must complete the EDI Agreement. However, Third Party submitters are not required to populate the contract number on the EDI Agreement form.
2. The Third Party must also complete a submitter application form for each submitter number requested.
3. MAOs must submit a letter of authorization on company letterhead allowing the Third Party to submit on their behalf.

Regardless of the entity submitting the data, the MAO is accountable for the contents of the submission.

### ***Submitter Identification***

Once the submitter application is complete, CSSC will send a new submitter ID for encounter data. This should occur within approximately five (5) days of receiving the completed enrollment package. The encounter data submitter ID follows this enumeration: 'EN' followed by the contract ID. For example, 'ENH1234.' Existing RAPS submitter IDs will remain active for risk adjustment data submission throughout the parallel processing phase.



### **Mailboxes**

Gentran users will receive encounter data files from CMS in their existing RAPS mailboxes. FTP users will have a separate mailbox specific for encounter data. Connect:Direct (NDM) users will provide dataset information for their mailbox on the submitter application.

### **Connectivity and File Size Production**

Gentran and FTP users should limit the number of claims submitted per file to no more than 2,500 claims. NDM users should limit the number of claims submitted per file to no more than 15,000 claims.

### **Encounter Data Front-End Testing Requirements**

The purpose of front-end testing is to validate the 5010 X12 file format. During the testing period, the 837I and 837P files will be processed by an EDI translator, which performs file structure and Implementation Guide (IG) edits, and transmits acknowledgements. Claims data will then process through Institutional and Professional Common Edit and Enhancement Modules (CEMs) within the EDFES.

The files will be processed based on format and rules using the ANSI 837I or 837P 5010 format. To be considered a successful test, MAOs must receive a 277CA response that reflects complete acceptance of data. If a plan receives a 277CA report that reflects rejected data, all issues causing the rejection must be addressed and the plan must continue to resubmit the data until they receive a 277CA report indicating accepted data and successful transmission.

Prior to submitting test data, MAOs and Third Party submitters must complete the Submitter Enrollment Package and receive from CSSC a new submitter ID for encounter data. Submitters are not required to contact CSSC prior to transmitting a test file.

### **Front-End Testing Requirements**

During front-end testing, plans should submit two files including:

- One (1) Institutional (837I) test file consisting of a minimum of 50 and a maximum of 100 claims, types:
  - Institutional Outpatient
  - Institutional Inpatient
- One (1) Professional (837P) test file consisting of a minimum of 50 and a maximum of 100 claims.

Test data must be submitted with valid formatted values (i.e., correct date format or valid procedure codes) and with 2010 dates of service. MAOs are not required to submit actual claims data.

During front-end testing only, the daily submission cut-off time will be 5:00 P.M. EST. Submissions received after 5:00 P.M. will count towards submission as of the next business day.

**Table 1** displays the requirements for population of the ANSI 5010 fields for submission of the front-end test file.

*Table 1: ANSI Field Requirements for the Encounter Data Front-End Test File*

TESTING REQUIREMENTS	
ANSI Field	Description
*ISA06	Enter the encounter data Submitter ID. (ENHNNNN) (Use the new EN Submitter ID).
ISA08	Enter the appropriate Payer ID: <ul style="list-style-type: none"> <li>• Encounter Institutional 80881</li> <li>• Encounter Professional 80882</li> </ul>
ISA13	Enter File ID Number. (This must match IEA02 Interchange Control Trailer.)
ISA15	Enter <b>T</b> when submitting test claim file.
GS02	Enter the encounter data Submitter ID (ENHNNNN).
GS03	Enter the appropriate Payer ID: <ul style="list-style-type: none"> <li>• Encounter Institutional 80881</li> <li>• Encounter Professional 80882</li> </ul>
*GS08	Institutional Claims (Encounter) Enter 00501X223A2.  Professional Claims (Encounter) Enter 005010X222A1.
Loop 1000A NM108 and NM109	NM108= 46 NM109= Enter your Submitter ID: (ENHNNNN)
Loop 1000B NM108 and NM109	NM108= 46 NM109= Enter the appropriate Receiver ID: <ul style="list-style-type: none"> <li>• Encounter Institutional 80881</li> <li>• Encounter Professional 80882</li> </ul>
Loop 2010BB NM108 and NM109	NM108= PI NM109= Enter the appropriate Payer ID: Encounter Institutional 80881 Encounter Professional 80882
*Loop 2010BB REF01 and REF02	REF 01= 2U REF 02= Contract Plan Number (HNNNN)
*Loop 2400 CLM02	CLM02= Sum of all 2400 SV lines must balance. <ul style="list-style-type: none"> <li>• Encounter Institutional SV2</li> <li>• Encounter Professional SV1</li> </ul>

- \* ISA06 should be populated with 'EN' followed by the contract ID number. This is the encounter data submitter ID assigned by CSSC.
- \* ANSI field GS08 refers to the 5010 Errata version (837I or 837P) being used.
- \* Loop 2010BB REF01=2U was not in the pilot testing requirements, so this is an addition based on pilot testing lessons learned.
- \* Loop 2400 CLM02 should balance the submitted encounter data.

### *Submission Acknowledgements*

CMS will provide acknowledgements to MAOs within three (3) business days during testing only. Once the Encounter Data System (EDS) is in production, this will not be the case. MAOs can expect to receive these acknowledgements:

- TA1,
- 999, and
- 277CA.

**Table 2** provides the naming conventions for the acknowledgments MAOs will receive based on the type of connection utilized.

*Table 2: Acknowledgment Naming Conventions*

ACKNOWLEDGMENTS	
Connectivity Option	Naming Convention
Gentran	GUID.RACF.EDS.FREQ.CCCCC.FUTURE.T
NDM	MAB.PROD.NDM.EDST.TEST.ENXXXXX (+1)
FTP	User Defined

### **Encounter Data Pilot Test**

#### *Lessons Learned*

To prepare for industry-wide front-end testing, six (6) plans were recruited to participate in an encounter data pilot test. For those that participated in the pilot test, CMS will host a separate discussion. **Table 3** describes lessons learned based on pilot test results.

*Table 3: Translator Lessons Learned*

GUIDELINES FOR DATA SUBMISSION			
Loop	Segment	Data Element	Rule
All	All	N/A	Remove trailing spaces after the delimiter for each line.
N/A	GS	GS08	Transaction set identifiers should be: 005010X222A1 for Professional and 005010X223A2 for Institutional.
2010AA	NM1	NM109	NPI should be populated here. NPI must be the correct length and must be a valid number including the check digit.
2010BB	REF	REF01 REF02	Populate "2U" Contract Plan ID (ex: H1234)
2300	HI	HI01-01	Principle Diagnosis must be included if SV1 or SV2 segment is present.
2300	CLM	CLM02	CLM Monetary amount must balance the sum of all SV1 (Professional) or SV2 (Institutional) service line segments for the claims.
N/A	SE	SE01	Must show the number of actual segments within ST/SE.
N/A	ISA	ISA13	Positive unsigned number (no alpha characters) must be identical to the value in IEA02.
2300	DTP	DTP01	DTP01 = 435 (Date for Inpatient Admission) must be present if HI*01 = BJ/ABJ (Admitting Diagnosis). This is for Institutional only.
2000B	SBR	SBR09	Must be populated with "16," which is "Managed Care Organization Risk Adjustment."
Multiple Loops, such as 2010AA	N4	Required	N3 (Street Address) and N4 (City/State/Zip) segments were missing.

## Regional Training

### *Regional IT Technical Assistance Registration*

Regional IT Technical Assistance Trainings will be held in the Summer of 2011. Registration for the regional training sessions will begin April 1, 2011, on the TARSC website at <http://www.tarsc.info/>. Dates and locations for the Regional IT Technical Assistance Trainings are as follows in **Table 4**.

*Table 4: Regional IT Technical Assistance Trainings*

TRAININGS	
Venues	Dates
<b>Waldorf Astoria Orlando Bonnet Creek</b> 14200 Bonnet Creek Resort lane Orlando, FL 32821	June 20 – 24, 2011
<b>Manchester Grand Hyatt</b> One Market Place, San Diego, CA 92101	July 11 – 15, 2011
<b>Hyatt Regency Chicago</b> 151 E. Wacker Drive, Chicago, IL 60601	August 1 – 5, 2011

The training schedule will be identical at each location and will follow the schedule below.

Monday	Enrollment
Tuesday	Encounter Data
Wednesday – AM	Risk Adjustment/ICD-10
Wednesday – PM	Payment
Thursday/Friday	Prescription Drug Event

To ensure that all who want to participate in regional trainings are able to attend, MAOs and Third Party submitters are limited to one (1) attendee per contract ID. If space is available, some organizations may be allowed to register two (2) attendees per contract ID. Adding additional attendees to the Regional IT Technical Assistance Trainings will occur on a first come first served basis. Registrants for the regional trainings are permitted to send different attendees for each registered day according to the topic being discussed.

## New Information Identified Subsequent to the Industry Update Call

Updates to the following topics have occurred since the Industry Update on March 16, 2011:

- MAO and Third Party Submission Requirements,
- ANSI Field Requirements for encounter data front-end test files,
- Translator lessons learned,
- Testing timelines, and
- Encounter Data Pilot Test.

### MAO and Third Party Submission Requirements

		EDS Submitter Application	EDI Agreement	Letter of Authorization
<b>Submitter Role</b>	MAO Submitting Directly	✓	✓	
	MAO Using Third Party Submitter	✓	✓	MAO must provide on company letterhead for Third Party
	Third Party Submitting	✓	✓	MAO must provide on company letterhead for Third Party

### ANSI Field Requirements for Encounter Data Front-End Test File

TESTING REQUIREMENTS	
ANSI Field	Description
Loop 2300*	CLM02= Sum of all 2300 SV lines must balance. <ul style="list-style-type: none"> <li>• Encounter Institutional SV2</li> <li>• Encounter Professional SV1</li> </ul>

\*Loop 2300 CLM02 should balance the submitted encounter data.

### Translator Lessons Learned

GUIDELINES FOR DATA SUBMISSION			
Loop	Segment	Data Element	Rule
2300	HI	HI01	The segment HI (Admitting Diagnosis) is required when claims involve an inpatient admission. When field HI01=BJ/ABJ (ICD-10-CM/ICD-9-CM) then the segment DTP (Admission Date/Hour) field DTP01=435 (Qualifier=Admission) is required.
2300	DTP	DTP01	The segment DTP (Admission Date/Hour) is required on inpatient claims. When field DTP01=435 (Qualifier=Admission) then the segment HI (Admitting Diagnosis) with field HI01=BJ/ABJ (Qualifier for ICD-10-CM/ICD-9-CM) is required.
2000B	SBR	SBR09	Must be populated with "16," which is "Managed Care Organization Risk Adjustment."
Multiple Loops, such as 2010AA	N3	N301	The segment N3 (Street Address) must be populated with valid formatting.
Multiple Loops, such as 2010AA	N4	N401 N402 N403	The segment N4 (city, state, zip) must be populated with valid formatting.

### Testing Timeline

CMS will provide an update regarding the testing timelines during the April 20, 2011, Encounter Data Call.

### Encounter Data Pilot Test Participants

For those that participated in the pilot test, CMS will host a discussion in April 2011, as the CEM is undergoing version updates.