



Utah Labor Commission

Industrial Accidents Division

Claims EDI Implementation Guide
Version 3.0

For the reporting of First Report of Injury (FROI)
and Subsequent Reports of Injury (SROI)

PREFACE

The Utah Labor Commission Industrial Accidents Division (IAD) is pleased to introduce its Claims EDI system for receiving claims submissions via Electronic Data Interchange (EDI). This solution provides a means for the State of Utah to efficiently and accurately manage its Workers' Compensation Act required reporting. Claims EDI for First Report of Injury (FROI) is mandated for all trading partners by December 31, 2012. Claims EDI for Subsequent Report of Injury (SROI) trading partner testing time frame is undetermined due to unforeseen circumstances. Utah will provide advance notice when a new testing commencement date is determined.

EDI itself is not new to Utah as we were the pioneering state for EDI filing of Proof of Coverage (POC) in October 1998. We anticipate Claims EDI to follow the successful path of POC.

In as much as the IAD is charged with administering the Utah Workers' Compensation Act and Workers' Compensation Rules applicable thereto, the IAD must maintain information required to be filed with the IAD by law. Under the law, employers are required to file reports of injury and supplemental reports, as may be required, with the IAD in such form and detail as the division may require. The law identifies information that must be reported for each injury, by way of data collected on mandated forms to maintain accurate and complete data on the impact of work-related injuries on the workers' compensation system. EDI Claims Release 3.0 provides for the electronic transfer of comprehensive injury data and will provide significant benefits for Trading Partners and IAD stakeholders. The IAD recognizes that some of its small volume Trading Partners do not have the resources necessary to implement a robust EDI solution, as such the IAD will also offer a reporting alternative for qualified firms. Accurate and timely information is vital to how the IAD serves the workers' compensation community. We sincerely appreciate your investment and your cooperation, and pledge the IAD will collect only data from our trading partners' that is essential to fulfilling our mission.

This Claims EDI Implementation Guide is designed to assist Insurers, Self Insurers, and Claim Administrators with the transition from paper filing to EDI reporting. It serves as an information resource for trading partners and/or claim administrators and should be used in conjunction with the IAIABC Claims Release 3.0 Implementation Guide dated January 1, 2016. The International Association of Industrial Accident Boards & Commissions (IAIABC) is a not-for-profit trade association representing government agencies and insurance industry charged with the administration of workers' compensation. IAD has adopted the IAIABC standard for accepting EDI transactions.

The following sections provide the necessary information for understanding how to conduct EDI business with the IAD as well as references to other important documents.

Thank you for doing business in Utah.

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Section One: Foreword

EDI Concept

Electronic Data Interchange or EDI is defined as a computer-to-computer exchange of data in a standardized format. EDI enables a commonly understood and standardized format of the relevant data to be transmitted. Transactions are structured for highly automated processing. Each trading partner must agree to use the standardized format and set of rules in order to participate in EDI.

EDI is widely used in many industries to transmit traditional documents, such as invoices and purchase orders, between companies. EDI serves as the backbone for much of the world's electronic commerce. EDI is widely used for workers' compensation and many states have mandated its use for reporting claims. Standardized transaction sets have been developed so that hundreds of different documents now can be electronically exchanged. The result is a highly efficient means of conducting business.

Advantages of EDI

The electronic submission of workers' compensation claim information has many advantages over the submission of paper claims. Benefits for both IAD and its trading partners include:

- Improved reporting performance
 - Electronic submission is a much more efficient way to transmit the legally required information related to workers' compensation claims. Typically, the electronically submitted EDI data is received, processed and acknowledged within hours of its submission, rather than the several days it takes through manual processes such as communicating via the postal system, manual form review, data entry and submission. The timely submission of claim information is of primary importance to both the IAD and the claim administrators.
- Time savings
 - EDI provides an efficient means of reporting the correct workers' compensation claim information to the IAD as quickly as possible. It allows for one time data entry, saving time by eliminating the processing of paper documents that would otherwise be required for both the trading partner and IAD. Submitting data by EDI also streamlines error reporting by eliminating the phone calls that might otherwise be necessary to ensure that information is reported accurately.
- Cost savings
 - Although there are initial costs involved with designing, developing and implementing a new EDI system, these costs can be recouped and the system can pay for itself many times over by the efficiencies associated with EDI. Sending documents electronically completely eliminates the costs of mailing and handling paper documents. In addition, fewer people are required to monitor and administer the EDI system than are needed to process paper documents. Thus, personnel at both ends of the electronic transaction who would otherwise be involved in handling paper claims can be assigned to other tasks.

- Improved accuracy
 - EDI reduces the redundant and error-prone entry of the same data into multiple computer systems. Further, by immediately verifying and validating the sender's transaction, the electronic acknowledgement process improves efficiency and accuracy, reducing the time it takes for the trading partner to correct invalid or inaccurate information.

- Enhanced flexibility
 - Electronic data can be sent anytime, day or night, ensuring the efficient and timely delivery of accurate information. EDI transmissions can be scheduled during non-peak periods when demand for computing resources is lower.

Claims EDI Reporting Standards

In the 1970s legislators began questioning how their workers' compensation systems were working compared to other state systems, and in the 1980s the International Association of Industrial Accident Boards and Commissions (IAIABC) created a Statistics Committee, whose task it was to identify, compare, and standardize injury data across jurisdictional boundaries. As technology boomed in the 1990s, carriers and jurisdictions met in an effort to continue the standardization process in order to develop electronic reporting of injury data. The result was the formulation of the IAIABC Electronic Data Interchange (EDI) Steering Committee, which created technical working groups. These groups focused on defining common data elements used when filing claims and developed a standard format for the electronic transfer of claims data from jurisdiction paper report of injury forms. Participants met under the auspices of the International Association of Industrial Accidents Boards and Commission (IAIABC) to satisfy antitrust requirements.

The discussions of this group resulted in the creation of a data element dictionary and a reporting event table that could be used by any state and which was based on the claim administrator claim handling process with consideration for the jurisdictional required employer reports filing. This utilized existing and widely used data standards to leverage system enhancements implemented by many claim administrators and State administrators.

This process took several years to fine tune into the national standards we have today and which continue to be reviewed and enhanced by a committee of jurisdictional and insurance industry participants for the benefit of all. These copyrighted standards are available from the IAIABC. The IAIABC can be reached at (608) 663-6355 or visit their website at <http://www.iaiaabc.org> to acquire a copy of the standards, which may be downloaded from their site.

The IAIABC EDI Implementation Guide for Claims: First, Subsequent, Header, Trailer & Acknowledgement Detail Records, Release 3, January 1, 2016, can be ordered from the IAIABC's web site at https://www.iaiaabc.org/Forms.asp?MODE=NEW&Forms_FormTypeID=-811. The IAIABC now charges for the R3 Guide if your company is not an IAIABC EDI member. The IAIABC's website also contains other important code tables required for Release 3 filings. It is recommended that insurers/claim administrators

order this Guide and begin reviewing it with management and IT staff. If you choose to print the Guide, please be advised that it is set up to print double-sided and is 826 pages long.

Utah's EDI Partnership

The Utah Labor Commission's Industrial Accidents Division (IAD) went through a Request for Proposal (RFP) process to approve EDI Service Vendors to facilitate Claims EDI filing for Utah's private workers' compensation carriers and self-insured employers and/or their claim administrators. In the context of EDI, claim administrators, carriers and self-administered self-insureds are trading partners.

Although IAD does not endorse a particular vendor, the approval process ensures that only firms with specific Claims Release 3 EDI experience are allowed to offer their services to our trading partners. The approved vendors may offer varied services depending on the trading partners needs. Once a trading partner selects a vendor, a trading partner agreement must be signed and submitted to IAD, this designates who will submit EDI transactions on behalf of the trading partner.

EDI Implementation Dates

Employers, self-insured employers and private carriers (or designated TPAs) have been required to submit a Form 122 Employers First Report of Injury or Illness form within seven (7) days after i) the occurrence, or ii) the employer's first knowledge of, or iii) the employee's notification of the same.

EDI implementation will replace the Form 122 with First Report of Injury (FROI) transactions, requiring employers, self-insured employers and private carriers (or designated TPAs) to utilize the services of an approved EDI service vendor to electronically transmit the FROI transactions, using the Claims Release 3 EDI standards adopted by the IAIABC. **To accommodate this change, Claim Administrators/Insurers are expected to submit the FROI transaction within fourteen (14) days after the Date Claim Administrator Had Knowledge of Injury.** Upon acceptance of the FROI, the IAD will assign a jurisdiction claim number to the FROI for tracking purposes.

The Claims EDI implementation for FROI transactions only concluded December 31, 2012.

The Claims EDI for Subsequent Report of Injury (SROI) trading partner testing & implementation time frame is undetermined due to unforeseen circumstances. Utah will provide advance notice when a new testing commencement & implementation date is determined.

The IAD will offer on-going training and guidance to employers, self-insured employers, private carriers and TPAs who need assistance regarding the proper reporting of claim information via EDI.

Penalties & Fines

As per §34A-2-407(5) through (8), §34A-3-108 (4) through (7), failure to file the first report of injury with the Industrial Accidents Division within the time specified or failure to provide the employee with a copy of the report, is a Class C misdemeanor and can result in a civil assessment imposed by IAD of up to \$500 for each violation to the employer.

It should be noted, that the time specified is within seven days after:

- i) the occurrence of a fatality or injury;
- ii) the employer's first knowledge of the fatality or injury;
- iii) or the employee's notification of the fatality or injury.

Please note: EDI FROI submission does not substitute reporting of the OSHA Form 301. Employers should be directed to contact Utah Occupational Safety and Health at 801-530-6901 or toll free within Utah at 800-530-5090 to ensure compliancy with OSHA Form 300 reporting.

Self-insurers and/or carriers (or TPAs) should note that a questionable claim can be submitted as a FROI with MTC UI (Under Investigation). This allows for immediate reporting upon notification from the employer of an occurrence and grants a total of 45 days from the date reported, for the self-insured/claim administrator/carrier to complete its investigation to determine acceptance or denial.

Similar to Utah's Proof of Coverage EDI management, the Claims EDI management will include penalties for late reporting. Statutes §34A-2-407(5)(a) through (b) and §34A-3-108(4)(a) through (b) 3 effective 7/1/2013 and Rule R612-200, late reporting penalties will be assessed to the insurer or self-insurer. As noted on our posted Event Table, injuries are to be reported to IAD within fourteen (14) days after Date Claim Administrator Had Knowledge of Injury (DN0041). Additional EDI reporting timelines are referenced in the Event Table and self-insured employers, carriers and third party administrators must comply with the established standards.

Timely submission of FROIs upon employer reporting the injury to their carrier/claim administrator is required to avoid the possibility of duplicate submissions. An example would be an injured employee contacts the IAD regarding their claim, IAD determines the FROI has not been submitted. IAD creates a manual file and contacts the employer to request the FROI be submitted to avoid non-reporting penalties. In this example, late submission creates redundant work for all parties involved. Please note that the carrier penalties time frame is undetermined due to unforeseen circumstances. IAD is presently sending monthly Insurer claim reporting compliance reports to allow carriers ample time to work with their claim administrators to ensure protocols are in place to avoid the penalties.

Utah reporting requirements

New Claims

A claim that occurs on or after EDI implementation requires a FROI submission. See Section Six for technical specifics.

Legacy Claims

A legacy claim is one that occurred prior to EDI implementation. See Section Seven.

Section Two: EDI Implementation Management

Claims EDI is a method to transmit claims management data to meet jurisdictional reporting requirements. Ideally, EDI converts a manual process into an automated or software-assisted process, to allow computer to computer communication. The initial implementation tasks are to assess the jurisdictions' requirements, compare those requirements to your company's manual and automated claims handling processes to determine the best business solution for your company.

The technical side of EDI has three major components:

- 1) The computer based claim processing system where claim data is stored
- 2) An EDI management system or a component that contains jurisdiction requirements:
 - a. The required report types;
 - b. The required time line for each report;
 - c. The Jurisdictions' data requirements;
 - d. The required edits;
 - e. The Jurisdictions' response to each report
- 3) A system that manages the exchange of reports between two or more parties (trading partners, EDI Service Vendors, jurisdictions etc)

Due to the differences between Claim Administrator claim handling processes and computer systems, each administrator may have varying degrees of capability. Each must assess, along with their selected EDI Service Vendor, the best way to modify their claim handling process in order to meet the three technical EDI components.

Or if claim volume is miniscule, to apply for access to IAD's reporting alternative. The reporting alternative will only be available to firms whose Utah workers' compensation claim history is a significantly low volume and who do not have the technological capabilities to meet the EDI requirements. Please see the application form found in the back of this IG for eligibility guidelines.

Provisions were originally made to allow temporary access to the reporting alternative to self-administered self-insured employers for a short time as they transitioned to using an approved EDI Service Vendor. This temporary access is now being terminated and all self-administered self-insured employers will be required to submit using an approved EDI Service Vendor effective May 31, 2017.

Although the below list is not all inclusive, it will help guide you to key items to consider when evaluating how your firm can comply with this EDI implementation:

- 1) Review your firms' Utah workers' compensation claim history for the past 3 years to determine your average recent claim volume. This average is key to determining if your firm may apply for access to the online claim reporting. See the application form in the Index for eligibility guidelines.
- 2) Completely read this implementation guide to ensure your firms' understanding of Utah's EDI requirements. Identify the IAD reporting requirements for each data element using the provided Edit Matrix, Event Table and Element Requirements Table. These are available on our website: http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html

- 3) Go to <http://www.iaiaabc.org/i4a/pages/index.cfm?pageid=3347> to view a copy of IAIABC's Claims Release 3.0 Implementation Guide. Reading the Foreword section will help you gain a basic understanding of EDI.
- 4) Review the definition of each data element. Note any difference between these definitions and those of your organization.
- 5) Note any elements not currently captured by your database in case they need to be added to comply with IAD requirements.
- 6) Verify if your firm already has EDI programming in place as there are approximately 35 states with some form of EDI reporting requirement.
- 7) Assess your firms' current EDI capabilities (hardware & software), and evaluate services offered by the approved vendors to find the best match for your needs.
- 8) Monitor the IAD EDI website's Implementation page: http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html for updates and requirement changes. Attend training sessions when possible. Request to be added to the Claims EDI email distribution list, send your request to: claimsedi@utah.gov
- 9) Train Claim and Technical personnel on their roles and duties. This can be done by ensuring personnel attend IAIABC and/or Utah sponsored EDI trainings. See respective websites.
- 10) Verify your scheduled EDI roll out date range with IAD. Prepare test submissions to fit in your assigned roll out.
- 11) Use industry meetings and other business contacts to identify claim administrators that have participated in the development of the standards (IAIABC members), and/or have successfully implemented EDI in other states. Contact these organizations to discuss how best to approach EDI implementation and to check references of approved vendors.
- 12) Share your experience to help those who follow your firm into EDI.

Section Three: Reporting Processes and Options

Utah's EDI reporting process includes:

- 1) Capturing State required reporting data
- 2) Editing for data content and quality
- 3) Translating data into or from IAIABC or ANSI formats
- 4) Managing communications (report transmissions – sending & receiving)
- 5) Managing acknowledgments, replacement reports and corrections

Capturing required reporting data

The capture and electronic storage of data required by IAD's EDI implementation can result in a quandary for claim administrators. Although using national standard data elements can simplify claim administrator and state reporting, there can be a gap between IAD's data requirements and the data available through the claim administrators' claim handling computer system. If the missing data is identified as "Mandatory" or "Conditional" by IAD, an immediate solution is in order.

Missing data solutions vary and are dependent on several factors. Solutions fall into two categories:

- 1) Modify your claim handling process and computer system to capture the missing data.
- 2) Supplement your current claim handling computer system with an additional data entry and storage capacity for the missing data.

Editing data for content and quality

This requires adherence to the EDI data tables as posted on our website:

http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html

Manage communications / transmissions

Success of EDI reporting is dependent on the technical ability to pass data between organizations. Data transfer interruptions may occur and data could be lost. Due to this critical need, IAD will limit the number of approved vendors that trading partners can select from to act as their intermediaries in this process.

On behalf of the contracted trading partner, the approved vendors can/will use a combination of automated software applications and technical operator review of daily transmission results and intervention to identify technical difficulties or reinstate transmission or recovery operations, which includes:

- 1) Managing trading partner electronic addresses
- 2) Scheduling transmission sends and receives (daily)
- 3) Recording the success or failure of each attempted send and receive
- 4) Backing up transmission data for a specific period following a successful send or receive

Note: IAD neither endorses nor recommends the products or services of any particular vendor. IAD's authorization of vendors is based solely on their specific Claims EDI experience. Our goal is to provide you, our trading partners, with competent firms to select from. IAD suggests careful review of vendor products and claims as well as to contact current and past customers prior to contracting a vendors' service.

Manage acknowledgments, replacement reports and corrections

EDI is the reciprocal transfer of data between organizations. In State reporting, the state responds to each submitted report with an acknowledgment that the report was Accepted or Rejected. The contracted intermediary vendor will communicate these acknowledgments to the Submitter. It is the responsibility of the Submitter to replace rejected reports with acceptable reports. It is imperative that rejected reports are corrected and resubmitted as soon as possible - **a rejected report is not considered filed until it has been corrected, retransmitted and accepted.** Employer fines may apply if FROI is not reported within the 14 days allowed for Claim Admin/Insurer reporting! Whereas some reports require the prior acceptance of another report, failure to replace rejected reports can cause other reports to be rejected and therefore to be late. This process involves review of IAD acknowledgments one or more times a day, to initiate resolution of the error/s and resubmission of the transaction. Failure to receive an acknowledgment of acceptance may be used to stop additional reports on that claim until a successful transaction is accepted.

Submitting options to consider - 3 Ways to Report Injuries Electronically

A review of IAD's data reporting requirements and your current electronic capabilities is a prerequisite to evaluating the various solutions presented below.

Claim EDI vendor reporting services

There are EDI service vendors experienced with the IAIABC standards that can provide multiple faucets to enable trading partners to meet Claims EDI requirements. IAD used a Request For Proposal (RFP) process to solicit interested vendors to supply their credentials and pricing schematic for review, IAD then authorized vendors for our trading partners to select from. When a vendor serves as your EDI submitter, they should perform Utah's EDI reporting process as described above. The details of each service should be worked out with the particular approved vendor the trading partner selects. **The majority of our trading partners will report via one of the approved vendors.** The approved vendor list is found on our EDI Implementation web page: http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html

Claims EDI reporting requires the EDI Service Vendor be familiar with the following:

Utah Specific EDI requirements (as per tables posted on our EDI Implementation web page)

EDI Cause of Injury, Nature of Injury and Body Parts Codes (posted on our EDI Implementation web page)

The following documents are required to be filed by EDI vendors (posted on our EDI Implementation page):

Electronic Partnering Agreement

Electronic Trading Partner Profile (completed for each trading partner the Vendor will service)

Electronic Partnering Insurer/Claim Administrator ID List

Electronic Transmission Profile Receivers Specifications (this is for Sender's benefit)

Electronic Transmission Profile Sender's Response

Direct Reporting to IAD – Uses the same SFTP access as vendors allowing the filer to report directly with the IAD, which eliminates the cost of using a vendor. This option is only available to trading partners that meet certain criteria and claim volume. Please see the Direct Reporting application found in the back of this IG. This requires the trading partner to be familiar with the following:

Utah Specific EDI requirements (as per tables posted on our EDI Implementation web page)

EDI Cause of Injury, Nature of Injury and Body Parts Codes (posted on our EDI Implementation web page)

The following documents are required to be filed by approved direct reporters (posted on our EDI Implementation page):

Electronic Partnering Agreement

Electronic Trading Partner Profile

Electronic Partnering Insurer/Claim Administrator ID List

Electronic Transmission Profile Receivers Specifications

Electronic Transmission Profile Sender's Response

On line data entry reporting (terminating May 31, 2017)

IAD will provide an online workers' compensation claim reporting program to allow authorized organizations to meet IAD's electronic reporting requirements through May 31, 2017. Access to this web program will be limited to firms who have already applied for and received authorization to use the Online Data Entry Reporting. Provisions have been made to allow temporary access to self-administered self-insured employers as they transition to reporting through an approved EDI service vendor. Online access will require a designated person for user id and password credentials. The user will sign on to the web site, complete the data for the claim then submit it. Navigation throughout the application is self explanatory, there is the ability to save at any point and users cannot submit the report until all mandatory fields are filled. There is a final summary screen where changes can be made prior to submitting the information. When the information is submitted, a display will show if the report is accepted or rejected. If the initial FROI report is Accepted, the assigned Jurisdiction Claim Number (JCN) will be provided. If the report is rejected, a list of errors will display that the user can print and use to reference to make corrections as needed and resubmit the form.

Objective: The objective is to implement and maintain the reports through electronic filing. The IAD offers the online filing option to the smaller reporting entities to encourage them to electronically file the workers' compensation claim information and reap the benefits and cost savings realized by larger self-insured employers, insurance companies and claim administrators.

Online filing guidelines: The following explains the guidelines that are to be followed in order to submit through the online filing option.

A. System Requirements

B. Credentials

C. Electronic Partnering/Confidentiality Agreement

System Requirements

- The Online Data Entry Reporting has been TESTED with internet Explorer 9.0, Firefox 5.0, Firefox 13.0.1 and Firefox 20.0.1. Earlier versions of these and some other browsers have not been tested and may or may not work with this application.
- Ideally your browser should be JavaScript enabled
- The computer you are using should be connected to a printer so you can print information shown.
- This online program uses Secure Socket Layers (SSL). Data submitted using this application is encrypted in 128 bit key.

- You should have an active email address for each user.

Credentials

The IAD will issue a user id and password to the Trading Partner or its duly authorized or lawfully empowered representative after signing the electronic partnering agreement and submitting it to IAD. Please contact the Claims EDI Implementation department at claimsedi@utah.gov or 801-530-6809 if you have any questions.

Electronic Partnering/Confidentiality Agreement

In order for the IAD to assign credentials, please submit, via email or facsimile transmission, a completed and signed [Electronic Partnering/Confidentiality Agreement](#), Attn: Claims EDI at 801-530-6804.

DISCLAIMER - More Information

The **Industrial Accidents Division** section of the Labor Commission web site is targeted specifically to employees, employers, insurers and third party administrators and is intended to be a resource throughout the workers' compensation claim process. It is **NOT** intended to be a substitute for legal representation. Injured workers seeking information about the workers' compensation process should see the [Claims Section](#) found on the Industrial Accidents Division web page to find information targeted specifically to them. Additional information about Utah Workers' Compensation laws, the Division of Industrial Accidents and more may be found on the [Laws and Rules](#) page (accessed via the left side bar links).

Active Online User Transition to Claims EDI 3.0 or Reporting Alternative

As the Utah Claims 3.0 EDI FROI Implementation concluded December 31, 2012, IAD feels that it is the appropriate time to discontinue the online tool while assisting the remaining firms in the transition to reporting through an approved EDI service vendor. We are restricting access to the online tool to trading partners that have already been approved for its use. We will terminate the remaining access to the online data entry reporting for Claims EDI effective May 31, 2017. Access to the online reporting was intended for **temporary** use by self-administered self-insured employers as they transitioned to reporting through an approved EDI service vendor and for other firms whose Utah workers' compensation claim history is a significantly low volume and who do not have the technological capabilities to meet the EDI requirements.

EDI Implementation Assistance

This implementation guide, when used in conjunction with the IAIABC Claims Release 3 EDI Implementation Guide provides the business and technical information to meet the IAD EDI submission requirements and includes the data and code requirements for EDI submissions to the IAD.

EDI competency and business data quality content testing in the IAD EDI testing environment is required of each trading partner per the IAD test plans prior to allowing access to **production** EDI reporting. This testing is a joint effort of the trading partner & their selected EDI Service Vendor. Approval must be secured from the IAD at the end of the testing period and prior to submission of any **production** EDI transaction.

Section Four: EDI Trading Partner Process

Please note, your business model may require you to take supplemental steps between those suggested below. Or, as an experienced EDI partner, trading with other jurisdictions utilizing Claims EDI Release 3, you may find your company has already addressed some of the below steps.

When forms are referenced in these steps, the location of instructions for completing the forms is also included. If after reviewing the steps you need to discuss them further, please email claimsedi@utah.gov or call 801-530-6809.

Contact the IAIABC / Obtain the IAIABC EDI Claims Release 3.0 Implementation Guide

A clear understanding of the IAIABC definitions and standards is required to be a successful EDI Trading Partner in Utah. The IAIABC Claims Release 3 Implementation Guide augments this Utah Labor Commission Industrial Accidents Claims EDI Implementation Guide. Visit the IAIABC web site: <http://www.iaiabc.org> or call them at: (608) 633-6355 to obtain a copy of the current Claims Release 3.0 Implementation Guide and other publications that may assist in implementing Utah EDI requirements. For Claims Release 3.0 documents, go to: <http://www.iaiabc.org/i4a/pages/index.cfm?pageid=3347>

This Utah Labor Commission Industrial Accidents Division Claims EDI Implementation Guide provides Utah specific information that is used in conjunction with the IAIABC EDI Claims Release 3.0 Implementation Guide.

Designate an EDI Point of Contact

Regardless of which reporting format your company qualifies for (reporting via an approved vendor, online or direct reporting) your company must designate an EDI point of contact. Your company is responsible to update IAD if/when the contact changes. This contact person must be able to speak on behalf of your organization and be knowledgeable about:

1. Your source data;
2. How to retrieve the source data;
3. Your business process and support systems

We recommend that your EDI Point of Contact attend all IAD EDI information meetings and applicable training.

Review Utah EDI data requirements and claim events that require reporting

Refer to Section Six: Technical Requirements. This detailed section defines the reports required by Utah and the business events or situations that trigger specific EDI transactions to be filed with IAD. **Determine how Utah EDI Requirements fit with your workers' compensation business processes**

Section Five: EDI Testing Requirements & Plans

During the testing period and until the claim administrator is approved for production status, all IAD Forms required by Rule R612 must continue to be mailed to the Division.

The objective of testing is to confirm that all parties are adhering to the requirements documented in the Electronic Partnering Agreement, that the EDI interface is working properly and the data accuracy meets the minimum standard of less than 15% of submitted transactions rejecting. Testing will continue until the trading partner's submissions meet the standard set forth in the Trading Partner Agreement or until the expiration date of the testing period for the assigned roll out wave. If the testing has not reached the expected goal by the end of the testing period, the trading partner will be scheduled again in another roll out wave. Success criteria for testing will include the following:

- Transmission protocols (FTP) are functional for submissions and acknowledgements
- Sender/Receiver identifiers are correct as per the Trading Partner Profiles
- Batch submissions are organized properly
- Claim files are formatted properly and contain accurate data

Visit our website:

http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html to follow the below steps.

5.1. Test Preparation

Reference Test Plan in 5.6 and follow the below steps for FROI testing to obtain Production Readiness. At least two weeks prior to the first day of the scheduled test period, the trading partner must complete and submit the Trading Partner Agreement, Trading Partner Profile, Transmission Profile (Sender's Specification) and Claim Admin ID List to IAD. IAD's EDI Coordinator will communicate next **steps for submitting data and coordinate all testing activities with the trading partner and its selected EDI Service Vendor.**

5.2. Create a Test File

Use the FROI Test Plan provided in 5.6 and the SROI Test plan provided in 5.7 when applicable. The sender may use either "real" or "fictitious" data.

Note: If the sender is using "real" data it will not go to the production data base. If the sender is using "fictitious" data, the complete data set must be provided to IAD to load into our system **PRIOR** to testing.

5.3. Submit the Test File

The test file should be sent in accordance with the designated format and EDI transmission requirements.

5.4.1. First Level Test (Batch and Transaction)

The purpose of the First Level Test is to ensure that the trading partner and the IAD are "communicating properly" with each other and in accordance with the Trading Partner Agreement. The test focuses primarily on the transmission of EDI files between both parties as well as the general structure of the files to ensure they can be "read" upon receipt. Testing at the first level encompasses batch and transaction level validation.

Batch Level Validation:

- Header Record – Verifies that all mandatory data elements are present and that the Sender ID is appropriate. Further, this test validates the transmission date, time, and interchange version and rejects duplicate batches.
- Batch Structure – The structure of the batch will be interrogated to properly identify the types of transactions contained within the batch (FROI or SROI and Trailer).
- Trailer Record – Verifies that all mandatory data elements are present and contain valid formats and values.

Transaction Level Validation:

- Sender/Claim Administrator Relationship – Verifies that the Sender ID is authorized to submit filings on behalf of the carrier in the transaction. If authorization does not exist, the transmission will be rejected.
- Record Relationship – Validates the relationships between the 148 and R21 or A49 and R22.
- Match Data/Duplicate Transactions – Tests to see if a FROI “OO” transaction results in a new claim or duplicate of an existing claim. Transactions failing these tests will be rejected.

5.4.2. Second Level Test (Regulatory)

Once the transmission process has been successfully completed, FROIs and SROIs will be tested for data accuracy. For the purpose of this document, data accuracy is defined as EDI transmissions that are complete (all required data is present) and accurate (the data is free from errors and is appropriate for the field in which it resides).

Regulatory Level Testing:

- Format Editing - IAD jurisdiction specific editing will be performed at this level. Mandatory/If Available data elements as indicated in the Element Requirement Table will be interrogated for validity. Edit failure at this level will result in a TR (Transaction Rejected) acknowledgement code depending upon the specified requirement code.
- Data Element Relationship - Some data values may be dependent on the value of another data element. These requirements are presented on the Element Requirement Table and Edit Matrix. Failure of necessary relationship edits may result in errors.

5.5. Acknowledgement Processing

Once all the transactions within a batch have been tested according to IAD jurisdiction requirements an Acknowledgement file will be sent to the Submitter in the format specified. It will be the trading partner’s responsibility to monitor the Acknowledgements and take any corrective action.

5.6. FROI TEST PLAN

Purpose

The purposes of testing are to 1) ensure that the Sender's transmissions meet technical and business requirements; and 2) to develop a working relationship between the business contacts for the Trading Partner (sender/submitter) and the Industrial Accidents Division (receiver).

The following are checked during testing:

- ✓ The transmission mode for both transaction and acknowledgment files is functional and acceptable for both Receiver and Sender/Submitter;
- ✓ The Sender/Submitter ID is valid and recognized by the Receiver.
- ✓ The Vendor ID and Sender/Submitter ID are recognized as being valid by Receiver. Meaning the Vendor transmitting the data on behalf of the Sender/Submitter is authorized to submit for the Sender; and if the Sender/Submitter is a TPA, that it is authorized to submit for the Insurer;
- ✓ The Receiver ID is valid and recognized by the Sender/Submitter;
- ✓ The file format matches the file format specified on the Transmission Profile of the Sender/Submitter;
- ✓ The batch format of files sent by the Sender/Submitter is correct with each batch containing an appropriate header record, one or more records, and a trailer record;
- ✓ The number of records sent matches the number indicated in the trailer; and
- ✓ The quality of the data

Test Requirements – NOTE THE BATCH REQUIREMENTS

- No errors in the header and trailer records occur.
- Sender/Submitter can receive electronic acknowledgements.
- Sender/Submitter transmits **two** batches with at least five production quality First Reports of Injury using any combination of Maintenance Type Codes (MTC):
 - 00 Original First Report of Injury
 - 04 Denial as First Report of Injury
 - UI Under Investigation
- If Sender/Submitter receives a TR (transaction rejected) acknowledgement in either test batch, will take corrective action and resubmit the rejected transaction/s until all are accepted with TA acknowledgment.
- Subsequent to a successful batch, Sender/Submitter will transmit at least one of each of the following MTC transactions:
 - 00 Original First Report of Injury as following the UI previously submitted
 - 04 Denial as following the 00 previously submitted
 - 01 Cancel of a First Report of Injury

Move from Testing to Production

The length of testing depends on the Sender/Submitter's transaction rejected rate and data quality. Receiver may waive testing requirements, if conditions warrant. Once the Sender/Submitter has met the testing requirements, as stated above, the Receiver will notify the Sender/Submitter and its authorized EDI Service Vendor in writing that production data can be transmitted. **All trading partners are to be in FROI Production by December 31, 2012.**

5.7. SROI TEST PLAN

Purpose

The purposes of SROI testing are to 1) ensure that the Sender's transmissions meet technical and business requirements; and 2) ensure that the Sender understands the SROI sequencing requirements.

The following are checked during testing:

- ✓ The transmission mode for both transaction and acknowledgment files is functional and acceptable for both Receiver and Sender/Submitter;
- ✓ The Sender/Submitter ID is valid and recognized by the Receiver.
- ✓ The Vendor ID and Sender/Submitter ID are recognized as being valid by Receiver. Meaning the Vendor transmitting the data on behalf of the Sender/Submitter is authorized to submit for the Sender; and if the Sender/Submitter is a TPA, that it is authorized to submit for the Insurer;
- ✓ The Receiver ID is valid and recognized by the Sender/Submitter;
- ✓ The file format matches the file format specified on the Transmission Profile of the Sender/Submitter;
- ✓ The batch format of files sent by the Sender/Submitter is correct with each batch containing an appropriate header record, one or more records, and a trailer record;
- ✓ The number of records sent matches the number indicated in the trailer; and
- ✓ The quality of the data

SROI Test Requirements – testing dates TBD

- No errors in the header and trailer records occur.
- Sender/Submitter can receive electronic acknowledgements.
- Sender/Submitter's SROI test data may build off of the FROI test data submitted in 2012. Using the JCNs issued for accepted test transactions. Please note the number of SROI test transactions will require additional FROI test cases to complete all requirements outlined below.
- Sender/Submitter transmits **two** batches with at least five production SROI combinations of Maintenance Type Codes (MTC):
 - IP Initial Payment *at least one with Claim Type 'I' & at least one with Claim Type 'L'
 - PY Payment Report
- Sender/Submitter transmits **two** batches with at least five production SROI combinations of Maintenance Type Codes (MTC):
 - 04 Denial (SROI)
 - CA Change in Benefit Amount
 - PD Partial Denial
 - UI Under Investigation (SROI)
 - FN Final
- Sender/Submitter transmits **two** batches with at least five production SROI combinations of Maintenance Type Codes (MTC):
 - CB Change in Benefit Type
 - Partial Suspension (select from accepted codes)
 - RB Reinstatement of Benefits
 - Suspension (select from accepted codes)
- Sender/Submitter transmits **one** batch with at least five production quality SROI combinations of Maintenance Type Codes (MTC):

- 02 Change (SROI)
 - AP Acquired Payment **This is an optional test
- If Sender/Submitter receives a TR (transaction rejected) acknowledgement in any test batch, will take corrective action and resubmit the rejected transaction/s until all are accepted with TA acknowledgment.

Move from Testing to Production

The length of testing depends on the Sender/Submitter's transaction reject rate and data quality. Receiver may waive testing requirements, if conditions warrant. Once the Sender/Submitter has met the testing requirements, as stated above, the Receiver will notify the Sender/Submitter and its authorized EDI Service Vendor in writing that production data can be transmitted. All Trading Partners are to be in **SROI** Production by: Utah will provide advance notice when a new testing commencement & implementation date is determined.

5.8. Production Ready

When IAD provides the written authorization for the trading partner to begin sending FROIs and SROIs electronically, it is important to note that **trading partners will be required to maintain the minimum level of data accuracy, defined as less than 15% of submitted transactions rejecting after they are certified production ready.** Failure to maintain the minimum accuracy level will result in the trading partner being placed back in "Test" status. After the Production Ready Status has been achieved, IAD will only accept all FROI & SROI transactions using the approved means of submission.

Monthly Claims EDI Compliance Reports will be sent to the Insurers detailing timeliness and error ratio of the insurers/claim administrators submitting data on their behalf. The reports will be sent the 1st of the following month. Utah anticipates these reports will commence 11/1/2013 for the Insurers' benefit to review with their claim administrators, the associated penalties will not be implemented before 4/1/2014.

Section Six: EDI Technical Requirements

6. EDI Technical Requirements

All files submitted to the IAD must be in flat (.txt) format. The following section details the possible EDI reports, Claim Event Table, Element Requirements Table and Edit Matrices for EDI submissions.

6.1 EDI Reports

The IAIABC EDI standards associate state EDI reporting requirements to claim processing events. Each report or transaction is named for the claim event it represents: Original, Change, Denial, Suspensions, Reinstatements, etc. Each report is also assigned a Maintenance Type Code (MTC) to meet the technical processing requirements. Report name and MTC code may be used interchangeably throughout this guide. The IAD will initially provide for seven claim administration events (MTCs) of the available First Report (FROI) MTCs as listed below.

First Reports (MTC and Name):

00 Original First Report of Injury
01 Cancel
02 Change **Note: the same edits applied to MTC 00 elements will apply to MTC 02 elements**
04 Denial
UI Under Investigation
AQ Acquired Claims
AU Acquired Unallocated Claims

Effective July 1, 2013 Subsequent Reports (MTC and Name):

02 Change	04 Denial
AP Acquired Payment	
CA Change in Benefit Amount	CB Change in Benefit Type
FN Final	IP Initial Payment
P1 Partial Suspension – RTW	P2 Partial Suspension – Medical Noncompliance
P3 Partial Suspension – Admin Noncompliance	P7 Partial Suspension – Benefits Exhausted
PJ Partial Suspension – Pending Appeal	PD Partial Denial
PY Payment Report	RB Reinstatement of Benefits
S1 Suspension – RTW	S2 Suspension – Medical Noncompliance
S3 Suspension – Admin Noncompliance	S7 Suspension – Benefits Exhausted
SJ Suspension – Pending Appeal	UI Under Investigation

6.2 Claim Event Table

The Claim Event Table is designed to provide information necessary for the Sender (Claim Administrator) to understand the Receiver's (IAD) EDI reporting requirements. It associates the required EDI reports to claim events and defines the timing and circumstances for Claim Administrators to report those events. The claim requirements may include legislative mandates affecting different reporting conditions and may be based on various criteria. The IAD uses and controls the table to convey the level of EDI reporting that it currently accepts. The event table contains the following data elements:

- Report Type
- Maintenance Type (Code and Description)

- Event Rule (Criteria, From, Thru)
- Report Trigger (Criteria, Trigger Value)
- When is the Report Due? (Value, Due Type, From)
- Paper Form(s)
- Receiver

A copy of the Utah Claim Event Table may be found on the IAD website.

6.3 Element Requirement Table

The list of potential data elements that the IAD requires is listed in the Element Requirement Table. This table lets the Claim Administrator know the IAD data element requirements. There are separate Element Requirement Tables for FROIs and SROIs. When the respective FROI/SROI tables are effective, the name tab will show individual specific effective dates. Each table lists the data element requirements for each report/record based on the point in time that the data was required by statute, rule, or current version of EDI.

The event tables contain the following data elements:

- Record
- DN#
- Data Element Name
- MTC (FROI, SROI)

A copy of the Utah Element Requirement Table may be found on the IAD website.

Special Circumstances to take note of:

- 1) If a change is needed to a Claim Administrator or Trading Partner, it is extremely important to submit updated Insurer/Claim Admin ID List and or Trading Partner Profile as applicable. Simply sending a MTC 02 will not update our system.
- 2) If the injured employee does not have a social security number or alternate id (see Element Requirement Table), the Claim Administrator must call IAD Claims EDI Staff at 801-530-6809 to provide the identifying information available. An Employee ID Assigned by Jurisdiction (DN 0154) will be given to Claim Administrator for use in reporting First Report of Injury. The Utah JAN is currently 7 numbers and can be up to 9 numbers in the future.
- 3) When injured employee does not have an exact date of injury due to basis of the report being an occupational disease, use the diagnosis date as the date of injury.
- 4) When location of injury is a rural setting that does not have a cross street reference point, the GPS coordinates is preferred. When GPS is unavailable use the best description available such as mile post number or land survey plot description.
- 5) Concerning DN 0025 Industry Code, the definition is the NAICS (North American Industry Classification System) which is accepted in Utah for Proof of Coverage reporting.
- 6) If a data element is marked as "Y" in the MTC 02 column a change is allowed, it will be edited against the MTC 00 requirements, meaning if the data element is Mandatory for MTC 00 then it will be Mandatory for MTC 02.
 - a. For further consideration, if the MTC 02 data element being submitted has a conditional requirement for a MTC 00, the same edits apply. Example: if DN 0146 Death Result of Injury Code is changed from "N" to "Y", then DN 0057 Employee Date of Death is Mandatory.

- 7) If a data element is marked as “Y” in the **SROI MTC 02** column a change is allowed, it will be edited against the **SROI MTC UI** requirements, meaning if the data element is Mandatory for SROI MTC UI then it will be Mandatory for SROI MTC 02
 - a. For further consideration, if the MTC 02 data element being submitted has a conditional requirement the same edits apply. Example: if DN 0146 Death Result of Injury Code is changed from “N” to “Y”, then DN 0057 Employee Date of Death is Mandatory.
- 8) As shown in our tables a State code is Mandatory, as we use this in validation. We understand this can become an issue for certain outside countries that do not use state codes. To accommodate this, we’ve relaxed our edits so that entry of ZZ as a state code **only** if the country is not the United States, will be accepted.
- 9) Our programming is such that once a Trading Partner is allowed into production ALL subsequent FROI reports (and SROI when implemented) will be processed via EDI, meaning if a paper FROI is submitted prior to EDI production and the claim is deemed non-compensable after going into production, the MTC 04 is to be submitted. We do not require a MTC 00 to “re-file” the claim. However, please review with your technical staff as your internal programming may need this step to be taken for sequencing integrity.
- 10) Ensure the policy number reported on the claim matches to the policy number reported for Proof of Coverage – Utah validates this information. If we are unable to match using the policy number, we use an alternate match routine that focuses on the Employer and Insurer FEINs. If a transaction is rejected for no match, it means we have no record of the Insurer providing coverage to the reported employer on the date of injury - please contact the policy underwriter to ensure correct data is submitted on the claim.
- 11) Note in FROI DN 0077 Late Reason Code is triggered off of the Date Claim Administrator had Knowledge of Injury (DN0041). This is for timely reporting purposes. In SROI DN 0077 is triggered off of the event being reported.
- 12) It should be noted that the **initial** payment (SROI MTC IP) of benefits is due within 21 days of Date Claim Admin Had Knowledge of Injury (DN0041) unless a MTC UI is reported, then the payment or denial is due within 45 days of DN0041.
- 13) Report of Partial Suspensions (SROI MTCs P1-P3, P7 & PJ) is required within 5 days of the injured worker’ release to work.
- 14) Initial Date of Lost Time (DN0297) is the date injured worker is put on light duty and not paid full wages **or** doctor removes from work.
- 15) Permanent Impairment Body Part Code (DN0083) is only code 99 Whole Body.

6.4 Edit Matrices

The Edit Matrix is used by Claim Administrators to identify which data elements have edits applied to them as well as associated standard error codes. The Edit Matrix consists of five components:

- Data Element Name
- DN#
- Error Code
- Error Code Description
- MTC (FROI, SROI)

The IAD provides Edit Matrices for each of the following reports:

- FROI-148
- FROI-R21

- SROI-A49
- SROI-R22

A copy of the Utah Edit Matrix may be found on the IAD website.

6.5 FTP Requirements

EDI Trading Partners and/or their selected EDI Service Provider will be required to submit worker’s compensation reports to the IAD using the approved method and are expected to have an FTP program (or service provider) capable of connecting to the IAD Secure FTP server using FTP/Implicit SSL.

6.5.1 Establish File Properties

EDI files should be transmitted in flat file (.txt) format and should not be compressed or encrypted. The file will have the following format: **Z_V_F_YYYYMMDD_HHMMSS.TXT** where;

Z = Test or production status (T = test, P = production)

V = IAIABC release version (R3)

F = form type (F= FROI. When SROI is implemented then will also use S = SROI)

YYYYMMDD = 4 digit year, 2 digit month, 2 digit day for the date it was transmitted

HHMMSS = hour, minutes and seconds, in military format, the file was transmitted

TXT = extension for flat text files

Example of how the file would look:

T_R3_F_20120125_123055.TXT

						_____	File extension
						_____	12:30:55 p.m. MST
						_____	January 25, 2012
						_____	First Report of Injury (148)
						_____	IAIABC Release 3
						_____	Test or Production indicator

The acknowledgement we return will follow this format:
 akc-YYYYMMDD-HHMMSS.txt
 Example:
 akc-20110824-191800.txt

Section Seven: Important Terminology and Acronyms

The following applies to this Claims EDI Implementation Guide and the EDI tables posted on our website.

Acknowledgment Record (aka: Response)

An EDI file sent from the Jurisdiction to the trading partner's Vendor in response to an EDI report. It contains key data elements to identify the transaction and any technical and/or business issues discovered. This is known as an AKC.

Administrator

See: Claim Administrator

ANSI, ASC, X12

American Standards National Institute, Accredited Standards Committee, X12 is an organization that develops Electronic Data Interchange (EDI) communication standards. The 'X' represents 'Communications' and X12 is the 12th Communication Standards Committee under ASC. This organization is also referred to as ANSI X12, ASC X12 or X12.

Batch

A set of records containing one IAIABC Header record, one or more FROI or SROI transactions, and one Trailer record, ANSI equivalent. Any error in the Header record or the Trailer record will cause the rejection of the entire Batch without further transaction level edits being applied.

Business Rules

The business requirements that dictate when a report is created, edited and when and how it is transmitted.

Claim Administrator

The organization that services workers' compensation claims according to Jurisdiction rules. An administrator may be an Insurer, a Third Party Administrator, an Independent Adjuster or a self-administered Self-Insured Employer.

Data Element

A single piece of defined information (e.g. Date of Birth) contained within a transaction (i.e. FROI). Each Data Element is assigned a reference number (DN = Data Number) and includes a definition and format (length & data type) and if format is a code will list acceptable values or reference the code source (for example Employer FEIN is 9 A/N).

DISA

Data Interchange Standards Association is the Secretariat of X12. DISA manages the EDI standards database, arranges standards development meetings and provides educational conference and seminars.

EDI

Electronic Data Interchange. It is computer-to-computer exchange of data or information in a standardized format. Claims EDI is the electronic transmission of workers' compensation claims information from an authorized Submitter whose clients may be insurers, self-administered self-insured employers and third party administrators (TPA) to a States' Workers' Compensation Regulatory Agency.

EDI Service Vendors (aka as Submitter or Sender)

Experienced EDI Service Vendors that IAD approves to offer services to trading partners are authorized to submit EDI data to the Jurisdiction. Approved vendors will be knowledgeable of IAIABC EDI Claims Release 3 standards and provide services such as EDI report submission products, translation, communications management, report back up, data security and network servicing (NSP) including high speed transmission lines. Some vendors may also provide web-based products. All approved vendors will have demonstrated Claims EDI Release 3 competence in several IAIABC EDI states.

Edit Matrix

Identifies the edits to be applied to each data element to ensure data quality expectations are met. Senders will apply the edits before submitting a transaction and receivers will confirm them during processing.

Edited Data

A term used to describe the information on a transaction after it has been processed through the IAD system edits and found to contain valid data.

Electronic Format

IAD selected the IAIABC Release 3 flat file format for EDI claim reporting. This format was chosen to standardize, simplify and reduce the cost of data exchange.

Element Requirement Table

A tool to communicate data elements required by the Receiver, specifying which elements are mandatory, expected or ancillary. This allows for data element requirements to be defined for each record layout (FROI or SROI) and down to the level of each Maintenance Type Code (MTC). Further, it provides for element requirements to differ based on Report Type criteria established in the Event Table.

Environment

The boundaries and conditions under which an application runs or in which files are manipulated or processed.

Event

A specific business event; such as the occurrence of an accident, the initial payment of a claim or denial of a claim etc. Events, when entered into a computer system, may be defined as a trigger for a Jurisdiction required report.

Event Table

A table designed to provide information integral for a Sender to understand the Receiver's EDI reporting requirements. It relates EDI information to events and under what circumstances they are initiated.

FEIN

Federal Employers Identification Number, this is the Corporation/Business US Federal Tax ID, or can be an Individual's US Social Security number.

FROI (148 Record)

Based on IAIABC Claims Release 3 standards FROI is a group of transactions occurring in the early stages of workers' compensation claim processing that typically report the parties involved and describe the accident and resulting injuries.

FTP

File Transfer Protocol. A communications protocol governing the transfer of files from one computer to another over a network. Access to FTPs is granted by the Receiver.

Header Record

The record that precedes each batch of EDI transactions. The header record and corresponding trailer record surround each batch of transactions and uniquely identifies the Sender as well as the date/time a batch was created. See also: Trailer Record.

IAD

Industrial Accidents Division of the Utah Labor Commission. The regulatory agency overseeing Workers' Compensation Act and Workers' Compensation Rules compliance.

IAIABC

International Association of Industrial Accident Boards and Commissions. A not-for-profit trade association whose members are industrial accident, workers' compensation or other governmental bodies as well as associate members comprised of other industry-related organizations and individuals. The IAIABC has authored EDI standards that cover the transmission of Claims, Proof of Coverage, and Medical Bill Payment information through electronic reporting.

IG

Implementation Guide.

MTC

Maintenance Transaction Code. A code that identifies the purpose of an EDI transaction and is interchangeable with report type. The two digit MTC is included in all EDI transactions. For example: an initial FROI is MTC 00.

Production

A designation that the Submitter is sending transactions in a "live" environment after satisfactory completion of all EDI implementation testing as determined by IAD.

Raw Data

The transaction and its contents as received from a Submitter by IAD and before the data is subjected to IAD's Claims EDI systems' automated edits.

Requester / Receiver

IAD is the Receiver of transactions from the Submitter. The Submitter is the Receiver of transaction acknowledgements from IAD.

Re-Acknowledgment Record

An EDI file sent from the Jurisdiction to the trading partner's Vendor as a result of reloading/reprocessing a previously acknowledged transaction as a direct result of error/s found in jurisdiction processing. It contains key data elements to identify the original transaction, transaction status and any technical and/or business issues discovered. Within the EDI transactions these are identified as ARC.

Self Insured Employer

An employer authorized by the IAD to self-insure its workers' compensation risk in accordance with applicable law, rules and regulations.

Sender / Submitter

An entity that submits FROI information in the IAIABC EDI Claims Release 3 format and receives EDI acknowledgments from IAD. This entity is required to complete the Trading Partner Profile forms. In addition please see: Vendor.

SROI (A49 Record)

Based on IAIABC Claims Release 3 standards SROI is a group of transactions of workers' compensation claim processing that typically report the benefit, payment, return to work and closure data.

Testing Period

The initial environment in which the sender/submitter transmits a series of transactions that is analyzed for both technical and business content within a time period specified.

Test Plan

A plan developed by IAD and the Sender/Submitter's EDI Coordinator outlining the events, the time frame, and the responsibilities of each party for testing and evaluating data sent in the test environment.

TPA

Third Party Administrator. An entity that provides claim administration services on behalf of Self-Insured's and Carriers.

Trading Partners

Two entities exchanging data electronically. For the purpose of this IG, the two entities are the data requester/receiver (IAD) and the data sender/submitter (i.e. claim administrator, self-insured, insurance carrier)

Trailer Record

A record that designates the end of a batch of transactions and provides a count of records/transactions contained within a batch. See Header Record.

Transaction

Submission of a FROI or SROI report that contains data elements as defined in the IAIABC record layouts, which are found in the IAIABC EDI Claims Release 3 Implementation Guide and for records specific to Utah, are found in the IAD EDI tables posted on IAD's EDI website:

http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html

Transaction Type

Defines the transaction by the MTC submitted. For example: an initial FROI using MTC 00.

Transmission File

One or more batches shipped together from the sender/submitter to the receiver.

Translator

Software that uses data conversion mapping rules to convert data from one format to another. Related to EDI processing, this term refers to products that convert data between proprietary (outside of a national or industry standard) formats and X12 format.

Vendor

For the purposes of this IG, a Vendor is an EDI Service Provider authorized by IAD to provide its products/services to IAD's trading partners. As such it becomes the Sender/Submitter on behalf of the trading partner.

X12N

X12 Insurance Subcommittee that develops EDI standards for the insurance industry.

Links to Claims EDI related information

Utah EDI bulletin(s): <http://laborcommission.utah.gov/formsearch.html>

Industrial Accidents Division (IAD) web page:

http://laborcommission.utah.gov/divisions/IndustrialAccidents/x_edi_implementation.html

Industrial Accidents Division EDI Implementation Assistance email: claimsedi@utah.gov

International Association of Industrial Accident Boards and Commissions (IAIABC): www.iaabc.org



Industrial Accidents Division
Application for Direct Reporting to IAD

Date: _____

Company Name: _____

Contact Name: _____

Contact Email: _____

Contact Phone: _____

We formerly request approval for Secure File Transfer Protocol reporting of workers' compensation claim information. Our company meets the following requirements (mark all that apply):

- Reported Utah workers' compensation claim volume for the past three calendar years has averaged 2,500 or more.
- Our company has reported workers' compensation claim information in the IAIABC Claims Release 3 format for the past three years to at least two jurisdictions. The following jurisdictions can be contacted for reference:
 - _____
 - _____
 - _____
 - _____
- Our company is a subsidiary of a parent company that has reported workers' compensation claim information in the IAIABC Claims Release 3 format for the past three years to at least two jurisdictions. Our company utilizes the same technology as our parent company and can meet the Claims Release 3 EDI standards. The following jurisdictions can be contacted for reference:
 - _____
 - _____

• _____

Our company understands that allowance to file workers' compensation claim information directly to IAD's SFTP is predicated on successful testing transmission of five (5) batches with at least eight (8) production quality First Report of Injury in each batch using a combination of all allowed Maintenance Type Codes:

- 00 Original First Report of Injury
- 01 Cancel
- 02 Change
- 04 Denial
- UI Under Investigation
- AQ Acquired Claims
- AU Acquired Unallocated Claims

**For continued and/or new approval after SROI is implemented, successful testing will consist of the FROI requirements noted above, followed by:

- i. Fifteen Initial Payment or equivalent – MTCs IP and PY. At least one IP must be sent with Claim Type 'I' and at least one IP must be sent with Claim Type 'L'.
- ii. Eight Denials – MTCs 04 and PD.
- iii. Three Acquired Payments – MTC AP
- iv. Five Claim Cost filings – MTC FN
- v. Ten SROI misc changes – MTC 02, CA, CB and UI.
- vi. Fifteen Suspension and Reinstatements – any accepted MTC P1-P9, RB, any accepted MTC S1-S9

Our company understands that if SFTP access is granted, and subsequent submissions fail to meet production standards of less than 10% of submitted transactions rejecting, then access will be revoked and our company will be required to use the services of one of Utah's approved EDI service vendors.

Name and Title of authorized personnel to submit this application



Industrial Accidents Division
Application for EDI Alternative Reporting

Date: _____

Company Name: _____

Contact Name: _____

Contact Email: _____

Contact Phone: _____

We formerly request approval for access to the claim reporting alternative. Our company meets the following requirements (mark all that apply):

- Reported Utah workers' compensation claim volume for the past three calendar years has averaged 5 or less.
- Our company has **not** reported workers' compensation claim information in the IAIABC Claims Release 3 format to any other jurisdiction.
- Our company has reported workers' compensation claim information in the IAIABC Claims Release 3 format to the following jurisdictions for less than three years. The following jurisdictions may be contacted for reference:

- _____
- _____
- _____
- _____
- _____

- Our company is a subsidiary of a parent company that has **not** reported workers' compensation claim information in the IAIABC Claims Release 3 format to any jurisdiction. Our company utilizes the same technology as our parent company and can not meet the Claims Release 3 EDI standards.

- Our company does not utilize a third party claim administrator (TPA)

Our company understands that allowance to file workers' compensation claim information using the reporting alternative is predicated on the low Utah claim volume and inability to meet Claims Release 3 EDI standards.

Our company understands that if reporting alternative access is granted, and future claim volume exceeds the authorized claim volume or if our company upgrades technology to meet the Claims Release 3 EDI standards, then the alternative access will be revoked and our company will be required to use the services of one of Utah's approved EDI service vendors.

Name and Title of authorized personnel to submit this application