

# NCIC – Claims Release 3.0 Implementation Schedule and Test Plan



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# NCIC – Claims Release 3.0 Implementation Schedule and Test Plan



## NCIC – Claims Release 3.0 Implementation Roll out Schedule

North Carolina Industrial Commission has suspended the acceptance of Claims EDI transactions for FROI 04 and all SROI (Subsequent Report of Injury) reports. FROI 00, 01, 02, AQ, AU and CO will continue to be accepted. The requirements will remain in the tables. The acceptance of the FROI 04 and all SROI MTC's and associated DN's are based on the Event Rule Criteria. Please see the NCIC Event Table for FROI or SROI.

### 1. R3.0 Training (September 11, 2012)

**DESCRIPTION:** NCIC provides training of release 3.0 to trading partner community

### 2. Trading Partner Registration (April 1 – October 1, 2012)

**DESCRIPTION:** Trading Partner registration documents have been posted on the website [www.ncicedi.info](http://www.ncicedi.info) with completion required prior to the initiation of testing & production for release 3.0

### 3. Trading Partner Testing Plan –Iteration 1 (October 1, 2012)

**DESCRIPTION:** The first iteration of Trading Partner testing for groups participating in reporting starting January 1, 2013 will be conducted by group from 10/1/2012 through 11/30/2012. (Additional Iterations of testing will be conducted throughout 2013 as the voluntary reporting period continues. The time frames for additional iterations will be provided at a later time.)

**Note:** EDI vendors will be required to complete the test plan once on behalf of all clients. Trading Partners that do not utilize a vendor are required to complete the test plan as well.

**A. Vendors (October 1 – October 19)**

**B. Non-Vendor Trading Partners (A-M) (October 22 – November 9)**

**C. Non-Vendor Trading Partners (N-Z) (November 12 – November 30)**

### 4. Preparation for production (December 1 – December 30)

**DESCRIPTION:** NCIC Preparation for production acceptance of EDI.

### 5. Voluntary Reporting begins (January 1, 2013)

**DESCRIPTION:** NCIC moves to production with voluntary reporting via EDI using IAIABC release 3.0 FROI/SROI reports.

### 6. Mandatory Reporting begins (January 1, 2014)

**DESCRIPTION:** NCIC requires mandatory reporting via EDI using IAIABC release 3.0 FROI/SROI reports.

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## Test and Production Preparation Process - FROI

Attaining full production Electronic Data Interchange (EDI) status for First Reports of Injury (FROI) is a Four (4) Stage process.

### Stage 1: EDI Electronic Registration

State website – <http://www.NCICEDI.info>

Completion of the NCIC Trading Partner Profile (registration form), electronically documents the identification and contact information for each trading partner providing data to NCIC, the receiving jurisdiction. Completion of the NCIC Registration Form will send a copy to ISO, the NCIC and a return copy to the contact completing the form.

**\*Note: Vendors do not need to complete an individual trading partner profile in preparation for testing and/or production.**

Completion of the NCIC Registration Update Form allows Trading Partners the ability to add or remove entities, change contact information, transmission method, etc. for whom they have been or will be reporting. The Trading Partner will be notified of an anticipated start date for moving to the Pretest Stage upon successful completion of the Electronic Registration Process. The Test/Production Indicator (DN 0104) located in position 82 of the Header Record should be set to 'T' during all testing. Data will be processed through the NCIC testing database.

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## Stage 2: Pretest & Technical Capability Test

During the pretest stage, the Trading Partner will submit at least five (5), electronic IAIABC Release 3 FROI's containing more than one (1) MTC and at least one variable segment, to NCIC. A file analysis will then be performed by ISO to ensure proper file structure.

### File Structure Notes:

- **Transmission method sent:** NCIC receipt of FROI batch, coincident with Electronic registration process
- **Header (HD1):** Proper information, coincident with electronic registration process

IAIABC					NCIC
DN	Data Element Name	Format	Beg	End	Value
001	Transaction Set ID	3 A/N	1	3	HD1
098	Sender FEIN	9 A/N	4	12	*
098	Filler	7 A/N	13	19	Spaces
098	Sender Postal Code	9 A/N	20	28	*
099	Receiver FEIN	9 A/N	29	37	561611847
099	Filler	7 A/N	38	44	Spaces
099	Receiver Postal Code	9 A/N	45	53	276994340
100	Date Transmission Sent	Date	54	61	*
101	Time Transmission Sent	Time	62	67	*
102	Original Transmission Date	Date	68	75	Spaces
103	Original Transmission Time	Time	76	81	Spaces
104	Test Production indicator	1 A/N	82	82	T
105	Transmission Type Code	3 A/N	83	85	148
105	Release Number	2 A/N	86	87	30

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## IAIABC - NCIC

- Trailer (TR2) – proper transaction count & detailed record count
- 148 – proper file length (913 bytes)
- R21 – proper file length dependent on variable segments
- Transmission method received – Trading Partner receipt of the batch, coincident with the electronic registration process. The batch returned by NCIC must be reviewed by the trading partner to obtain the status of the transactions.
- Batch Format of files sent by the Trading Partner is correct, *(i.e., each batch contains an appropriate header record, one or more transaction records, and a trailer record, and the number of records sent matches the record/transaction numbers indicated in the trailer).*
- Valid formatted data for all data fields, e.g., data in the date of injury field, must be in DATE format, date of injury is < date of report and cannot be a non-existent date *(a date in the future)*, values in code fields must have valid code values, etc. Each Trading Partner must have the same understanding of the meaning of each data element and submit data with that meaning only. *(Review the definitions for each required data element found in the data element dictionary of the IAIABC Implementation Guide.)*

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## Stage 3: Business Content Test (FROI)

Test Stage Three is to ensure that the following requirements are met before a Trading Partner is allowed to routinely submit electronic data to the NCIC in a Production status. Claim administrators must submit complete data for all required data elements. NCIC FROI MTC's required for testing are as follows:

**00 02 04 01 CO**

There is little value in collecting and utilizing data unless there is assurance that the data is accurate. Data Quality Criteria Reports are first transmitted to the NCIC via EDI, then they are tested for completeness and validity using built-in data edits on the ISO wCapture system. A minimum of five (5) claims should be transmitted per test batch (*NOTE: Old Claims, New Claims and/or dummy data can be used for testing*). These claims should meet or exceed the following data quality criteria:

- No transmitted reports are rejected {Application Acknowledgment/Transaction Code = TR (transaction rejected)}. If the transaction is rejected, it is corrected and resubmitted until it is accepted.
- Any accepted reports that contain errors (Application Acknowledgment/Transaction Code = TE accepted with errors) must be corrected and resubmitted until accepted.
- No errors in header or trailer records
- Trading Partner can receive electronic acknowledgment reports

The length of the test stage depends on the Trading Partner. Testing can be completed after two transmissions of test data (for each transaction/report type), providing the above conditions are met.

If FROI data does not meet the above data quality criteria on the initial submission because of missing data, the Trading Partner has up to ten (10) days from the initial submission to fill in missing data in order to meet the criteria. Any corrections made will be reflected in the remainder of the test process.

The data reporting requirements for each data element are listed in the Element Requirements Table of the NCIC Implementation Guide located on the website at [www.ncicedi.info](http://www.ncicedi.info). NCIC accepts MTC's specific to NCIC requirements and Trading Partners are expected to test all MTC's as outlined below. (Refer to the Event Table of the NCIC Implementation Guide for more information. During the test process, Trading Partners will need to submit reports with corrections (MTC CO) in order to correct data reported in error or to fill in missing data. Trading Partners will also submit reports with changes (MTC 02) to update any previously reported data elements that were accepted without error. NCIC will process the transactions, apply all edits, validate data accuracy and return acknowledgments to the Trading Partner. Processing is usually done the same day but no longer than 48 hours after the data is submitted.

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## Stage Three - Batch 1

Trading Partner's need to submit initial Business Content Test transmission with a minimum of five (5) FROI claims in the first test transmission as follows:

1. At least three (4) Original Transactions (MTC 00) including;
  - One (1) claim with an invalid data element that should cause a TR, (e.g. Invalid Industry Code)
  - One (1) claim with an invalid data element that should cause a TE, e.g. (Any element that defined as "IA" *if available* in the NCIC element requirement table)

~~2. At least one (1) Denial Transaction (MTC 04) without a Jurisdiction Claim Number (JCN) (DN0005); (e.g. a new claim for which no benefits will be paid.)~~

## Stage Three - Batch 2

Trading Partner needs to submit a second Business Content Test transmission with a minimum of six (6) FROI claims as soon as can be scheduled with the following transactions:

1. At least two (2) Original Transactions (MTC 00) with no errors.
2. At least one (1) Original Transaction (MTC 00) to correct the invalid TR transaction submitted in batch 1.
3. At least one (1) Correction (MTC CO) with the JCN to correct the invalid TE transaction.
4. At least one (1) Change (MTC 02) with the JCN, change an Employee SSN, Name or Date of Injury.
5. At least one (1) Cancel (MTC 01) with the JCN.

The NCIC will process the transactions, apply all edits, validate data accuracy and return acknowledgments to the Trading Partner. Processing usually occurs the same day that the data is transmitted to the NCIC. The ability of the Trading Partner to store and properly use the JCN assigned by the NCIC will be validated in this test. The JCN is an eight digit numeric that is used as primary match data to locate the claim in the NCIC database.

This test process will be repeated until the Trading Partner demonstrates the ability to submit the transactions with the data quality criteria of at least ninety percent {90%} of the transmitted reports free of any errors in mandatory and conditional data elements. Moving from test to production status once the data quality criteria of the EDI transmissions have been met, NCIC will notify the Trading Partner by email that the Trading Partner

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has passed the tests and is approved for production. NCIC and the Trading Partner can then select a mutually agreed upon date to begin production.

### **Stage Four: NCIC Test Completion (FROI) - Congratulations!**

You are now officially approved for production EDI reporting of workers' compensation FROI data with the NCIC. Data transmissions will be monitored for completeness, validity, and accuracy by the NCIC during production. Trading Partners may be sent quality control reports that measure their data quality. The Test/Production Indicator (DN 0104) located in position 82 of the header record is set to 'P' during production. Data will be posted to the NCIC production database. Data quality requirements Data sent to NCIC will continue to be monitored for completeness and validity. Trading Partners are expected to meet or exceed a ninety percent (90%) accuracy rate for mandatory and conditional data elements. NCIC automatically monitors the quality of data received during test and production from individual Trading Partners. The system tracks all outstanding errors and produces automated data quality reports. NCIC plans to provide these reports to each Trading Partner on a periodic basis. Trading partner profiles must be kept up-to-date. NCIC must be notified of any changes via the update electronic registration process.

\*Note: If the transmission mode or specifications are changed, re-testing some or all transaction types may be required.

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## **ON HOLD**-Test and Production Preparation Process - SROI

North Carolina Industrial Commission has suspended the acceptance of Claims EDI transactions for FROI 04 and all SROI (Subsequent Report of Injury) reports. FROI 00, 01, 02, AQ, AU and CO will continue to be accepted. The requirements will remain in the tables. The acceptance of the FROI 04 and all SROI MTC's and associated DN's are based on the Event Rule Criteria. Please see the NCIC Event Table for FROI or SROI.

Attaining full production Electronic Data Interchange (EDI) status for Subsequent Reports of Injury (SROI) is a Two (2) Stage process.

### **ON HOLD**-Stage 5: Business Content Test (SROI)

Test Stage One is to ensure that the following requirements are met before a Trading Partner is allowed to routinely submit electronic data to the NCIC in a production status.

#### **Complete Data**

Claim administrators must submit all required data elements and all NCIC required Maintenance Type Codes (MTC's) for the SROI, if applicable.

#### **Accurate Data**

There is little value in collecting and utilizing data unless there is assurance that the data is accurate.

Data Quality Criteria Reports are first transmitted to the NCIC via EDI and they are tested for completeness and validity using built-in data edits on the ISO wcCapture system. A minimum of ten (10) claims should be transmitted per test batch. These claims should meet or exceed the following data quality criteria:

- No transmitted reports are rejected *{Application Acknowledgment/Transaction Code = TR (transaction rejected)}*. If the transaction is rejected, it is corrected and resubmitted until it is accepted.
- Any accepted reports that contain errors *(Application Acknowledgment/Transaction Code = TE - accepted with errors)* must be corrected and resubmitted until accepted.
- No errors in header or trailer records.
- Trading Partner can receive electronic acknowledgment reports.

The length of the test stage depends on the Trading Partner. Testing can be completed after two-transmissions of test data (for each transaction/report type), providing the above conditions are met.

If SROI data does not meet the above data quality criteria on the initial submission because of missing data, the Trading Partner has up to ten (10) days from the initial submission to fill in missing data in order to meet

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these criteria. Any corrections made will be reflected in the remainder of the test process. The data reporting requirements for each data element are listed in the Element Requirements Table of the NCIC Implementation Guide located on the website at [www.ncicedi.info](http://www.ncicedi.info).

## EDI Test (Test) Procedure

NCIC will process the transactions, apply all edits, validate data accuracy and return acknowledgments to the Trading Partner. Processing is usually done the same day but no longer than 48 hours after the data is submitted. For additional information regarding SROI MTCs, refer to the requirement & event tables in the NCIC Implementation Guide. NCIC SROI MTC's required for testing are as follows:

### 02 04 IP SX RB FN

NCIC MTC definitions and DP Rules are based on the IAIABC Release 3 Standards. Each MTC definition and DP rule can be found in the IAIABC Release 3 Claims Data Dictionary. The IAIABC Release 3 Guide can be found at <http://www.iaabc.org/edi/implementation.htm>. This guide must be used in conjunction with the NCIC Implementation Guide for EDI implementation.

## Stage five: Test Batches

Trading Partners need to submit business content test transmissions with a minimum of (5)

FROI claims in the first test transmission to establish the claims for the balance of the SROI testing and to obtain the JCN that is required for the SROI test claims. *(NOTE: Old Claims, New Claims and/or dummy data can be used for testing)*. The SROI test claims must be submitted per the sequencing requirements to satisfy the MTCs required for the test. The chart below shows the minimum number of transactions required to satisfy the test:

MTC	Batch 1	Batch 2	Batch 3
SROI - 02			1
SROI - 04			1
SROI - CO			1
SROI - IP			2
SROI - SX			2
SROI - RB			2
SROI - FN			2

**\*\*Claims used for FROI testing above can be used to continue SROI testing\*\***

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NCIC will process the transactions, apply all edits, validate data accuracy and return acknowledgments to the Trading Partner. Processing usually occurs the same day. The ability of the Trading Partner to store and properly use the JCN assigned by the NCIC will be validated in this test. The JCN is an eight digit numeric that is used as primary match data to locate the claim in the NCIC database.

This test process will be repeated until the Trading Partner demonstrates the ability to submit the transactions with the data quality criteria of at least ninety percent {90%} of the transmitted reports free of any errors in mandatory and conditional data elements.

## **Moving from Test to Production Status**

Once the data quality criteria of the EDI transactions have been met for the SROI and at least ninety Percent {90%} of transmitted reports are free of any errors in mandatory and conditional data elements, the NCIC will notify the Trading Partner by email that the Trading Partner has passed the tests and is approved for production. The NCIC and the Trading Partner can then select a mutually agreed upon date to begin production.

## **ON HOLD-Stage 6: NCIC Test Completion (SROI) - Congratulations!**

You are now officially approved for production EDI reporting of workers' compensation SROI data with the North Carolina Industrial Commission. Data transmissions will be monitored for completeness, validity, and accuracy by the NCIC during production. Trading Partners may be sent quality control reports that measure their data quality.

### **Test/Production Indicator**

The Test/Production Indicator (DN 0104) located in position 82 of the Header Record is set to 'P' during production. Data will be posted to the NCIC production database.

### **Data Quality Requirements**

Data sent to NCIC will continue to be monitored for completeness and validity. Trading Partners are expected to meet or exceed a ninety percent (90%) accuracy rate for mandatory and conditional data elements.

**Data Quality Reports** NCIC automatically monitors the quality of data received during test and production from individual Trading Partners. The system tracks all outstanding errors and produces automated data quality reports. NCIC plans to provide these reports to each Trading Partner on a periodic basis. Trading Partner profiles must be kept up-to-date. NCIC must be notified of any changes via the update electronic registration process.

\*Note: If the transmission mode or specifications are changed, re-testing some or all transaction types may be required.