

Iowa Workers' Compensation Commission (IWD DWC) Claims Release 3.1 Test Plan



Division of WORKERS'
COMPENSATION

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IWD DWC Claims Release 3.1 Test Plan Summary

The IWD DWC implementation of the IAIABC EDI Claims Release 3.1 reporting will be on December 3, 2018. Please review the Iowa Worker's Compensation Commission (IWD DWC) Claims Release 3.1 EDI Implementation Schedule located in the Implementation Info section of the IWD DWC EDI website: <https://www.iwddwcedi.info>. The Implementation Schedule contains additional information regarding the testing and production timeline. Testing for Iowa will be handled by Iowa's Claims EDI vendor, Verisk/ISO - Workers Compensation Solutions division. Trading Partners and/or their EDI Vendors must request testing feedback from Verisk/ISO by submitting the Iowa EDI Testing Feedback Request List R3.1 to iwddwcedi@iso.com.

Who is required to Test?

All trading partners must be approved individually or through an EDI Vendor prior to filing Iowa EDI Release 3.1 reports in production with the following considerations.

Trading Partners Using an EDI Vendor

- Any organization that plans to file EDI FROI/SROI reports using an EDI Vendor in Iowa who is performing the edits on the data, will not be required to complete the test as the vendor will complete the test plan on behalf of all their clients. After the EDI Vendor is approved for production, your organization will also be approved for production as well, provided that the EDI Vendor is performing the edits on the data.
- Any organization that plans to file EDI FROI/SROI reports using an EDI Vendor as a pass through, and the EDI Vendor is NOT performing edits on the data prior to transmission to the IWDDWC, will be required to complete the test plan in accordance with the schedule provided.

Trading Partners Transmitting Directly (Direct SFTP)

- Any organization that plans to file EDI FROI/SROI reports without using an EDI Vendor in Iowa will be required to complete the test plan.

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Summary of Test Stages

There are five stages to the IWD DWC Test Plan:

- Stage 1** EDI Trading Partner Profile Electronic Registration: Every Trading Partner providing data to IWD DWC must first complete an electronic Trading Partner Profile.
- Stage 2** Pretest & Technical Capability Test: This pre-test is to ensure proper file structure.
- Stage 3** Business Content Test (FROI): This test is to fully test First Report of Injury (FROI) transactions. Note: These FROI transactions will be used for Stage 4 to complete the Subsequent Reports of Injury (SROI) transactions.
- Stage 4** Business Content Test (SROI): This test is to fully test Subsequent Reports of Injury (SROI) transactions.
- Stage 5** IWD DWC Test Completion (FROI and SROI): This is the confirmation that FROI and SROI testing has been completed and approved by the IWD DWC. This is the final step to be officially approved for production EDI reporting of workers' compensation FROI and SROI data with the IWD DWC.

Miscellaneous Information for Test Stages

There is little value in collecting and utilizing data unless there is assurance that the data is accurate. When FROI and SROI reports are transmitted to the IWD DWC via EDI, then they are tested for completeness and validity using built-in data edits on the Verisk/ISO wcCapture system.

The data reporting requirements for each data element are listed in the Element Requirements. IWD DWC accepts MTCs specific to IWD DWC requirements and Trading Partners are expected to test all MTC's as outlined in this plan. Refer to the Event Table of the IWD DWC Implementation Guide for more information regarding the MTC's that are required. The MTC Sequencing is found on the Edit Matrix Sequencing Table which, if followed correctly, will promote successful sequencing test results. For additional information on all the IWD DWC reporting requirements, refer to the IWD DWC Implementation Guide and Requirement Tables located on the IWD DWC EDI website at <https://www.iwddwcedi.info/>.

IWD DWC MTC definitions and DP Rules are based on the IAIABC Release 3.1 Standards. Each MTC definition and DP rule can be found in the IAIABC Release 3.1 Claims Data Dictionary. The IAIABC Release 3.1 Guide can be found at <https://www.iaabc.org>. This guide must be used in conjunction with the IWD DWC Implementation Guide for EDI implementation.

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The IWD DWC 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 with consideration for issues caused by the test file format issues or other unexpected processing issues.

The ability of the Trading Partner to store and properly use the Jurisdiction Claim Number (JCN) assigned by the IWD DWC will be validated in this test. The JCN is used as primary match data to locate the claim in the IWD DWC database.

IWD DWC would like to emphasize that the Test Stages are an opportunity for EDI Vendors and Trading Partners to ensure their systems are supplying FROI and SROI data which meet Iowa filing requirements. EDI Vendors and Trading Partners are encouraged to submit real test data with as much variety as possible. The longer the testing period, the greater the chance for success in production. This extra testing effort will reassure the EDI Vendor and Trading Partner that when mandatory data reporting of EDI Claims Release 3.1 begins in Iowa on December 3, 2018, their FROI and SROI submissions will meet with minimal rejection. If the evaluation of the data quality of the EDI test transactions meets with the expected results, the IWD DWC will notify the Trading Partner that the testing has been completed.

Stage 1: EDI Trading Partner Profile Electronic Registration

Trading Partners are required to complete the IWD DWC Trading Partner Profile Registration before testing can begin.

See IWD DWC EDI website – <https://www.iwddwcedi.info> (select Trading Partner Profile)

This IWD DWC EDI Trading Partner Profile Registration provides each trading partner with the ability to create and submit a New Profile or an Updated Trading Partner Profile. This form will uniquely identify a trading partner as the sender of the data, how the data will be sent, the business and technical contacts, and the demographics for the Subsidiary Insurers and Claim Administrators.

Upon completion of the EDI Trading Partner Profile online, an auto response email will be sent to the primary contact and to the IWD DWC. This will serve as notification to all parties of the EDI Trading Partner information for EDI implementation.

Upon approval of the EDI Trading Partner Profile by the IWD DWC, the EDI Support Team will contact the Trading Partner's primary contact to indicate the start date for moving to Stage 2 Pretest & Technical Capability Test.

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Stage 2: Pretest & Technical Capability Test

The purpose of the Pretest and Technical Capability Test is to ensure that the FROI and SROI test files have valid file structure/format based on IAIABC Claims Release 3.1 standards and to verify that the appropriate values are populated for the data elements as they relate to the Trading Partner Profile.

Pretest and Technical Capability Test Requirements for Test Batches

For the Pretest and Technical Capability Test, and to test the file structure of both FROI and SROI files, IWD DWC suggests that the Trading Partner submit at least one (1) FROI Original (MTC 00) or equivalent to receive a TA acknowledgment followed by one SROI Initial Payment (MTC IP) or equivalent to receive a TA acknowledgment. Note: These accepted FROI and SROI reports may be used as valid FROI and SROI reports indicated in the Stage 3 FROI and Stage 4 SROI testing.

The file structure/format for the test files must be correct. Each batch must contain an appropriate header record, one or more transaction records with correct record format(s), a trailer record, and the number of records sent matches the record/transaction numbers indicated in the trailer. If the file structure/format is valid, the results of this test will provide an acknowledgment with edit result details on each specific report sent. Otherwise, if the file structure/format is invalid, then depending on the issue, either a Batch Reject acknowledgment will be returned or the IWD DWC EDI Support Team will contact the Trading Partner with the file structure issue via email.

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Pretest and Technical Capability Pointers

This section provides a few pointers on the IAIABC Claims Release 3.1 file structure and IWD DWC's expectations.

Transmission method:

- IWD DWC receipt of FROI/SROI files, coincident with method approved on Trading Partner Profile Electronic registration.

Header (HD1):

- Must have proper information, coincident with method approved on Trading Partner Profile Electronic registration.
- 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 IWD DWC testing database

IAIABC						IWD DWC
DN	HD1 Data Element Name	Format	Length	Beg	End	Value
0001	Transaction Set ID	A/N	3	1	3	HD1
0098	Sender FEIN (<i>Part of Sender ID</i>)	A/N	9	4	12	*
0098	Filler - Future Defined Usage (<i>Part of Sender ID</i>)	A/N	7	13	19	Spaces
0098	Sender Postal Code(<i>Part of Sender ID</i>)	A/N	9	20	28	*
0099	Receiver FEIN (<i>Part of Receiver ID</i>)	A/N	9	29	37	426004546
0099	Filler - Future Defined Usage (<i>Part of Receiver ID</i>)	A/N	7	38	44	Spaces
0099	Receiver Postal Code (<i>Part of Receiver ID</i>)	A/N	9	45	53	503190207
0100	Date Transmission Sent	DATE	8	54	61	**
0101	Time Transmission Sent	TIME	6	62	67	**
0102	Original Transmission Date	DATE	8	68	75	Spaces
0103	Original Transmission Time	TIME	6	76	81	Spaces
0104	Test/Production Code	A/N	1	82	82	T
0105	Batch Type Code (Part of Interchange Version ID)	A/N	3	83	85	148 for FROI Or A49 for SROI
0105	Release Number (Part of Interchange Version ID)	A/N	1	86	86	3
0105	Version Number (Part of Interchange Version ID)	A/N	1	87	87	1

* Include the appropriate information per the approved Trading Partner Profile

** Include the appropriate date per IAIABC Standards

- Trailer (TR2) – Ensure proper transaction count & detailed record count
- 148 Record –Ensure proper file length (913 bytes)
- R21, A49, R22 Records – Ensure proper file length dependent on variable segments

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- Transmission method received – Trading Partner receipt of the batch, coincident with the electronic registration process. The batch returned by IWD DWC 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: Ensure that the data has a valid format 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.

Stage 3: Business Content Test (FROI)

Test Stage 3 is to ensure that the following FROI Test requirements are met before a Trading Partner is permitted to routinely submit electronic data to the IWD DWC in a Production status. Trading Partners must submit complete data for all required data elements. It is recommended that a review of the SROI Test Requirements for Test Batches be performed for consideration to determine if additional FROI test reports are needed to establish claims to successfully complete the subsequent SROI testing. For the FROI testing and subsequently the SROI testing, Acquired Claim MTC's are not included; however, consideration will be made by IWD DWC to test Acquired Claim MTC's upon request by the Trading Partner. **IWD DWC FROI MTC's required for testing are as follows:**

00 01 02 04 UR

FROI Test Requirements for Test Batches

FROI Test Requirements for Batch 1

Trading Partners need to submit initial Business Content Test transmissions for Batch 1 as follows:

1. At least eight (8) Original Transactions (FROI MTC 00) including;
 - a) One (1) FROI 00 with an invalid data element that should cause a TR, (e.g. Invalid Nature of Injury Code)
 - b) One (1) FROI 00 with a missing required data element that should cause a TR, (e.g. missing Employee Last Name)
 - c) One (1) FROI 00 with multiple Part of Body Injured Codes, using Body Part Injured Location Code on at least one and Part of Body Injured Fingers/Toes Location Code on at least one body part.
 - d) Five (5) FROI 00s that obtain a TA status
2. At least one (1) FROI Denial (MTC 04) without an IWD DWC Claim Number (JCN) (DN0005), (e.g. a new claim for which no benefits will be paid.)
3. At least four (4) FROI Update Report (MTC URs) with no errors that will obtain a TA.
4. At least two (2) FROI Update Report (MTC URs) that will cause a TR.

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FROI Test Requirements for Batch 2

Trading Partner needs to submit a second Business Content Test transmission as soon as can be scheduled with the following transactions:

1. At least two (2) Original (MTC 00) with no errors.
2. At least two (2) Original (MTC 00) to correct invalid data from a TR transaction submitted in batch 1.
3. At least four (4) FROI Changes (MTC 02):
 - (1) to Update a Match Data element from a Batch 1 FROI, such as Employee First and/or Last Name or Date of Injury;
 - (1) to Add a non-match data element (not in a variable segment);
 - (1) to Remove a non-match data element (e.g. Employee Phone Number) from a Batch 1 FROI
 - (1) to Delete a variable segment in a FROI variable segment (e.g. Part of Body Injured) from a Batch 1 FROI
4. At least one (1) Cancel (MTC 01) with the JCN from a Batch 1 FROI

The Trading Partner should submit additional Business Content Test transmissions as needed to complete the test with consideration of SROI testing.

Upon completion of Batch 1 and 2 FROIs, the Trading Partner and/or their EDI Vendor must request testing review and approval from IWD DWC by submitting the **Iowa EDI Testing Feedback Request List R3.1** to IWDDWCEDI@iso.com. IWD DWC will then notify the Trading Partner by email if the Trading Partner has passed the FROI tests and is approved to proceed with SROI testing.

IWD DWC Test Completion (FROI) - Congratulations!

FROI test completion is an indication that testing FROI data has been completed successfully and approval from the IWD DWC has been received to proceed with testing SROI data.

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Stage 4: Business Content Test (SROI)

Test Stage 4 is to ensure that the following SROI testing requirements are met before a Trading Partner is permitted to routinely submit electronic data to the IWD DWC in a production status. Trading Partners must submit complete data for all required data elements. It is recommended that a review of the FROI Test Requirements for Test Batches be performed for consideration to determine if additional FROI test reports are needed to establish claims to successfully complete the SROI testing.

SROI Test Requirements for Test Batches

Trading Partners will need to submit Stage 3 FROI business content test transmissions to establish the claims for the balance of the SROI testing and to obtain the JCN that is required for the SROI test claims. The SROI test MTC's listed must be submitted per the sequencing requirements to satisfy the MTCs required for the test. Trading Partners must submit complete data for all required data elements. **IWD DWC SROI MTC's required for testing are as follows:**

02 04 AB CA CB CD EP ER FN IP NT PD PX PY RB SX UR AN

1. At least five (5) SROI (MTC UR) Transactions with no errors (TAs) for JCN's previously accepted in R2 to set the picture for R3.1.
2. At least two (2) SROI (MTC IP) Transactions with no errors (TAs). One IP should be for 050 Temporary Total benefits.
3. One (1) SROI MTC with an invalid data element that should cause a TR, (e.g. Invalid Benefit Type Code)
4. One (1) SROI MTC CD (Compensable Death with No Known Dependents/Payees)
5. One (1) SROI MTC EP (Employer Paid Salary in Lieu of Compensation)
6. One (1) SROI MTC CA to Change the Average Wage, Calculated Weekly Compensation Amount, Gross and Net Weekly Amount for Benefit Type to 050 (Temporary Total) after IP accepted.
7. One (1) SROI MTC CB to Change Benefit Types to 070 (Temporary Partial) after an IP accepted.
8. One (1) SROI MTC CB to Change Benefit Types to 030 (Permanent Partial) after an IP accepted.
9. One (1) SROI MTC AB to Add a Concurrent Benefit Type (070 with 030 or 040).
10. One (1) SROI MTC CA to report Reduced Earnings after 070 (Temporary Partial) benefits have been accepted.
11. One (1) SROI MTC PY to report a lump sum settlement.
12. At least five (5) SROI Change Transactions (MTC 02):
 - (1) to Update a non-match data element
 - (1) to Add Reduced Benefit Amount Code D to reduce a Benefit Amount previously reported.
 - (1) to Add a Benefit Redistribution for a Court Ordered Lien for child support payments
 - (1) to Remove a non-match data element (e.g. Initial Date Employer Had Knowledge of Date of Disability)
 - (1) to Delete a variable segment (e.g. Other Benefit Type Code (OBT) and Amount) sent in error
13. One (1) SROI MTC 04 Denial to totally deny a claim at some point after IP accepted
14. One (1) SROI MTC PD to Partially Deny a claim at some point after IP accepted

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15. One (1) SROI MTC SX to Suspend Benefits after IP accepted
16. One (1) SROI MTC PX to Partially Suspend a Concurrent Benefit after AB accepted
17. One (1) SROI MTC SX to Suspend Benefits after EP accepted
18. One (1) SROI MTC RB to Reinstate Benefits after SX accepted
19. One (1) SROI MTC ER to Reinstate Employer Paid Benefits after SX accepted
20. One (1) SROI MTC AN Annual Report
21. One (1) SROI MTC FN Final Report

Upon completion of SROI testing, the Trading Partner and/or their EDI Vendor must request testing review and approval from IWD DWC by submitting the **Iowa EDI Testing Feedback Request List R3.1** to IWDDWCEDI@iso.com.

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Stage 5: IWD DWC Test Completion (FROI and SROI)

Moving from Test to Production Status

If the evaluation of the data quality criteria of the EDI test transactions meets with the expected results, the IWD DWC will notify the Trading Partner that the testing has been completed and IWD DWC has granted production approval. IWD DWC will notify the Trading Partner by email of the production approval, or will provide instructions on next steps if production approval is not granted.

Upon production approval by IWD DWC, the IWD DWC and the Trading Partner can then select a mutually agreed upon date to begin EDI reporting of workers' compensation FROI and SROI data with IWD DWC in production.

You are now officially approved for production EDI reporting of workers' compensation FROI and SROI data. IWD DWC Data transmissions will be monitored for completeness, validity, and accuracy by the IWD DWC during production.

Production Readiness and Reporting

Test/Production Indicator

The Test/Production Indicator (DN 0104) located in position 82 of the Header Record must now be set to 'P' for production. Data will be posted to the IWD DWC production database.

Data Quality Requirements

Data sent to IWD DWC 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. If the transmission mode or specifications are changed, re-testing some or all transaction types may be required.

Trading Partner Profiles

Trading Partner Profiles must be kept up-to-date. IWD DWC must be notified of any changes via the update electronic registration process. See IWD DWC website – <https://www.iwddwcedi.info/> (select Trading Partner Profile)

Iowa EDI Testing Feedback Request List R3.1

This list can be found at <https://iwddwcedi.info/impl-info>