

Iowa Division of Workers' Compensation  
EDI Claims Release 3.1 Implementation Guide

Version 1.5



Division of WORKERS'  
COMPENSATION

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

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## **PREFACE**

The Iowa Division of Workers' Compensation (DWC) is pleased to introduce its EDI Claims system for receiving claims submissions via Electronic Data Interchange (EDI). This solution provides a means for the State of Iowa to manage its Workers' Compensation Act required reporting efficiently and accurately. EDI Claims for First Report of Injury (FROI) and EDI Claims for Subsequent Report of Injury (SROI) has been required since 1996 and the use of EDI Claims release 3.1 has been mandated for all carriers as of December 3, 2018.

EDI itself is not new to Iowa as we have received First Reports of Injury via EDI from some sureties since 1996.

DWC is charged with administering the Iowa Workers' Compensation Act and workers' compensation administrative rules applicable so that DWC must maintain information required to be filed with the DWC. Under the law, employers are required to file reports of work-related injuries and corresponding supplemental reports, as may be required, with the DWC in such form and detail as the Division may require. EDI Claims Release 3.1 provides for the electronic transfer of comprehensive injury data and will provide significant benefits for carriers and DWC stakeholders. All carriers will be required to enter into a Trading Partner Agreement with the DWC to ensure secure and compliant acceptance of claim data by the DWC vendor.

Accurate and timely information is vital to how the DWC serves the workers' compensation community. EDI Claims will facilitate improvement in both areas. Recognizing that government should tread lightly when imposing new requirements on industry, the data tables and this Implementation Guide have been developed under the guiding principle of ensuring that no data is required via EDI that has not been required previously.

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

Thank you for participating with us in maintaining and improving Iowa's efficient and effective Workers' Compensation system.

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# SECTION ONE: FORWARD

## A. IAIABC EDI Claims Release 3.1 Standards and Documentation

1. The DWC has adopted standards developed by the International Association of Industrial Accident Boards & Commissions (IAIABC). The IAIABC is a not-for-profit trade association which neutrally represents the interests of government agencies and the workers' compensation insurance industry.
2. The DWC has designed its EDI Claims Implementation Guide to assist Insurers, Self-Insured Employers and Claims Administrators. It serves as an information resource for trading partners operating in Iowa and provides Iowa-specific requirements. The DWC Guide should be used in conjunction with the most current version of the IAIABC EDI Implementation Guide for Claims Release 3.1. The IAIABC Guide is the authority on the EDI Claims Release 3.1 standard. The IAIABC holds a copyright on the Guide and while members of the IAIABC may obtain it without cost, non-members must purchase a copy. The IAIABC can be reached at (608) 841-2017 or by visiting their website at [www.iaiaabc.org](http://www.iaiaabc.org).
3. In addition to the IAIABC EDI Implementation Guide for Claims Release 3.1, the IAIABC website offers access to several other important EDI coding tables required for implementing the EDI Claims Release 3.1 standard. The coding tables are available for download on the website. The DWC recommends that insurers, self-insured employers and claims administrators get the Guide and coding tables as soon as possible and begin reviewing the materials with management and IT staff.

## B. The Evolution of the EDI Claims Reporting Standards

1. In the 1970s, various state legislatures 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, insurance 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.
2. 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 claims 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 claims administrators and state administrators.
3. This process took several years to fine tune into the national standards existing today. Iowa implemented EDI Claims Release 1.0 in 1996, and later upgraded to 2.0 in 2001.

4. The standards continue to be reviewed and enhanced by a committee of jurisdictional and insurance industry participants for the benefit of all.

### **C. Iowa's EDI Partnership**

1. The Iowa Division of Workers' Compensation (DWC) developed a Request for Proposal (RFP) process to contract for a Vendor (DWC Vendor) to facilitate EDI Claims filing for Iowa's workers' compensation carriers and self-insured employers and/or their claims administrators. In the context of EDI, claims administrators, carriers, self-insured employers, and/or their contracted vendors may be trading partners.
2. Verisk's Workers Compensation Solutions division has been selected as the DWC Vendor. Verisk will manage the technical aspects of data submittal, be your main contact for implementation, technical requirements, and other questions you may have. In the near future, you can expect to hear from Verisk directly about Claims EDI Reporting.
3. All entities reporting via EDI Claims Release 3.1 must enter into a Trading Partner Agreement with the DWC.
4. Although the DWC does not endorse a particular vendor, the Trading Partner approval process ensures that only firms with specific EDI Claims Release 3.1 experience are allowed to offer their services to our trading partners. The approved vendors may offer varied services depending on the trading partners' needs. If a carrier, self-insured employer, or claims administrator selects a vendor, that vendor must complete the required testing to be an approved vendor. The approved vendor will be allowed to submit EDI transactions on behalf of the carrier, self-insured employer or claims administrator.

### **D. EDI Implementation Dates**

1. Upon acceptance of the FROI, the DWC Vendor will assign a jurisdiction claim number to the FROI for tracking and matching purposes. The jurisdiction claim number will then be returned to the trading partner via the electronic acknowledgement.
2. EDI Claims Release 3.1 for FROI and SROI transactions will begin December 3, 2018.
3. All trading partners must complete FROI and SROI testing and be ready for production by close of business December 3, 2018. The DWC will work with the DWC Vendor to provide initial and ongoing training and guidance to trading partners who need assistance regarding the proper reporting of claim information via EDI. It is imperative that trading partners become familiar with the Iowa EDI Claims Release 3.1 Event Table to know what claim events trigger reporting and the timelines in which a FROI or SROI must be transmitted to the DWC.
4. By law, injuries are to be reported to DWC within four (4) days when one of three specific conditions exists. (Please refer to the Event Table). The EDI reporting timelines are referenced in the Event Table and self-insured employers, carriers and claims administrators will need to comply with the established standards.
5. Please note that audits and concomitant audit findings relating to timely and complete FROI and SROI filings will be in abeyance until March 1, 2019. This affords carriers, self-insured employers,

and claims administrator's ample time to ensure protocols are in place to provide timely filings and avoid possible non-compliance audit findings.

## **E. Iowa reporting requirements**

### **1. New Claims**

A FROI that is filed with the DWC on or after EDI Claims Release 3.1 implementation requires an electronic FROI submission. All SROIs associated with a FROI submitted via EDI Claims Release 3.1 must also be submitted via EDI Claims Release 3.1. See Section Six for technical specifics.

### **2. Legacy Claims**

A legacy claim is one that was filed prior to EDI Claims Release 3.1 implementation.

### **3. Lump Sum Settlements pursuant to Iowa Code** Once the settlement has been approved, an MTC PY must be transmitted to the Division to report payment of the settlement.

### **4. Fatality Claims**

Interim Summary of Payments shall be filed annually between July to September of each calendar year for fatal claims paying dependent benefits using the SROI MTC AN.

### **5. Permanent Total Disability Claims**

Interim Summary of Payments shall be filed annually between July to September of each calendar year for total permanent disability claims using the SROI MTC AN.

## SECTION TWO: EDI IMPLEMENTATION MANAGEMENT

1. EDI Claims 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 jurisdiction's requirements, compare those requirements to your company's manual and automated claims handling processes to determine the best business solution for your company.
2. The technical side of EDI has three major components:
  - a) The computer based claim processing system where claim data is stored
  - b) An EDI management system or a component that contains jurisdiction requirements:
    - The required report types
    - The required time line for each report
    - The jurisdiction's data requirements
    - The required edits
    - The jurisdictions' response to each report
    - The company's ability to resubmit rejected FROI and SROI transactions
  - c) A system that manages the exchange of reports (FROI, SROI and Acknowledgments) between two or more parties (trading partners, EDI Service Vendors, jurisdictions, etc.)
3. Due to the differences between the claim handling processes and electronic data systems of different Claims Administrators, each administrator may have varying degrees of capability. Each must assess their own capabilities and make a determination whether they will self-handle the EDI process internally, either by developing the software to meet the Iowa requirements or by utilizing the web portal which the DWC vendor will make available, or by engaging their own EDI Service Vendor. In any event they must determine the best way to modify their claim handling process in order to meet the three technical EDI components.
4. 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:
  - a) Determine whether your firm already has EDI programming in place with Iowa or other jurisdictions. If so, several of the steps immediately below may already have been completed by your firm.
  - b) Completely read this implementation guide and review the tables referenced next to ensure your firm's understanding of Iowa's EDI requirements. Identify the DWC reporting requirements for each data element using the provided MTC Event Table, Edit Matrix, Event Table and Element Requirements Table which are incorporated as part of this Guide. These are available on the Iowa Division of Workers' Compensation EDI website:  
<https://iwddwcedi.info>.
  - c) Go to [www.iaiaabc.org](http://www.iaiaabc.org) to view a copy of the current IAIABC EDI Claims Release 3.1 Implementation Guide.

- d) Review the definition of each data element listed in the Iowa tables. Note any difference between these definitions and those of your organization in order to develop a possible crosswalk.
  
- e) Note any required elements in the Iowa tables not currently captured by your database in case they need to be added to comply with DWC requirements.
  
- f) Assess your firm's current EDI capabilities (hardware & software).
  
- g) Monitor the DWC EDI website's Implementation page:  
<https://iwddwcedi.info> for updates and requirement changes. Attend training sessions when possible. Request to be added to the EDI Claims Implementation email distribution list, send your request to Iowa EDI Support Team at [iwddwcedi@iso.com](mailto:iwddwcedi@iso.com).
  
- h) Training of technical personnel on their roles and responsibilities will be made available by the DWC Vendor. Dates and times will be posted on Vendor's website, and linked on the DWC website.
  
- i) Establish a schedule for testing your FROI and SROI transmissions with our DWC Vendor which must be completed no later than December 3, 2018.
  
- j) You may wish to use industry meetings and other business contacts to identify claims 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.



## **SECTION THREE: REPORTING PROCESSES AND OPTIONS**

1. Iowa's EDI reporting process includes:
  - 1) Capturing state required reporting data in the IAIABC EDI Claims Release 3.1 format.
  - 2) Editing for data content and quality.
  - 3) Managing communications (report transmissions-sending & receiving).
  - 4) Managing acknowledgments, replacement reports and corrections.
  
2. Acceptance and acknowledgement of an EDI Claims Release 3.1 transaction does not mean that the data is in compliance with all adjusting and reporting requirements (i.e., amounts, timeliness, etc.).
  
3. It is the intent of the DWC to contract with a single vendor who will be the point source for all EDI transmissions from Trading Partners. Transmissions received from Trading Partners in proper Iowa EDI Claims Release 3.1 format will not incur a transmission cost from the DWC vendor.
  
4. It is important to note that utilization of the IAIABC EDI Claims Release 3.1 Standard requires a license from the IAIABC.
  
5. As noted in Section Two, above, each Trading Partner must evaluate their individual situation and make a determination to either internally program to Iowa EDI Claims Release 3.1, or to retain a third-party to handle their data transmissions. An alternative will be entry of data via the DWC vendor's web portal.

## SECTION FOUR: EDI TRADING PARTNER PROCESS

1. 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 EDI Claims Release 3.1, you may find your company has already addressed some of the below steps.
2. 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 [iwddwcedi@iso.com](mailto:iwddwcedi@iso.com).

### A. Contact the IAIABC/ Obtain the IAIABC EDI Claims Release 3.1 Implementation Guide

1. A clear understanding of the IAIABC definitions and standards is required to be a successful EDI Trading Partner in Iowa. The IAIABC Claims Release 3.1 Implementation Guide augments this Iowa Division of Workers' Compensation EDI Claims Implementation Guide. Visit the IAIABC web site: [www.iaiaabc.org](http://www.iaiaabc.org) or call them at: (608) 841-2017 to obtain a copy of the current Claims Release 3.1 Implementation Guide and other publications that may assist in implementing Iowa EDI requirements. For Claims Release 3.1 documents, go to: [www.iaiaabc.org](http://www.iaiaabc.org).
2. This Iowa Division of Workers' Compensation EDI Implementation Guide provides Iowa specific information that is used in conjunction with the IAIABC EDI Claims Release 3.1 Implementation Guide.

### B. Designate an EDI Point of Contact

1. 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 DWC if and when the contact changes. This contact person must be able to speak on behalf of your organization and be knowledgeable about:
  - a. Your source data.
  - b. How to retrieve the source data.
  - c. Your business process and support systems.
2. We recommend that your EDI Point of Contact attend all DWC EDI information meetings and applicable training.

### C. Review Iowa EDI data requirements and claim events that require reporting

1. Refer to Section Six: Technical Requirements. This detailed section defines the reports required by Iowa and the business events or situations that trigger specific EDI transactions to be filed with DWC.

#### **D. Contact the DWC Vendor to complete the EDI Trading Partner agreement**

1. Although EDI Trading Partner Agreements are marshaled through the DWC Vendor, DWC ultimately grants the final approval for a trading partner to submit FROI and SROI.

## **SECTION FIVE: EDI TESTING REQUIREMENTS AND PLANS**

1. During the testing period, and until the EDI trading partner is approved for Release 3.1 production status and the commencement date for mandated filings has arrived, all DWC FROI and SROI filings required by Iowa Statute and Rules must continue to be submitted via Release 2. The objective of testing is to confirm that all parties are adhering to the requirements documented in the EDI Trading Partner Agreement that the EDI interface is working properly and the data accuracy meets the minimum standard set forth in the trading partner agreement. Testing will continue until the trading partner's submissions meet the standard set forth in the Trading Partner Agreement or until the transmissions are mandated.
2. Monthly EDI Claims Compliance Reports will be made available to the Trading Partners detailing timeliness and error ratio of data submitted.

# SECTION SIX: EDI TECHNICAL REQUIREMENTS

## Electronic Data Interchange Rules

The Iowa Workers' Compensation Act can be accessed at.

<https://www.legis.iowa.gov/docs/code/85.pdf>,

<https://www.legis.iowa.gov/docs/code/85A.pdf>,

<https://www.legis.iowa.gov/docs/code/86.pdf>

and <https://www.legis.iowa.gov/docs/code/87.pdf>

The rules of the Iowa Division of Workers' Compensation can be accessed at

<https://www.legis.iowa.gov/docs/iac/agency/876.pdf>

## Electronic Data Reporting Format

The Iowa Division of Workers' Compensation uses IAIABC Claims Release 3.1 standards for all EDI submissions. The IAIABC Implementation Guide can be found on the IAIABC website. Data format must be in compliance with the standard data format described in the Systems Rules in Section 2 of the Release 3 Implementation guide.

## Maintenance Type Codes

A MTC (Maintenance Type Code) is a code indicating the transaction to submit to comply with DWC EDI reporting requirements. The following MTC's are allowed to be submitted to the DWC. Refer to the Event Table for report timeliness

	<b>MTC</b>	<b>Description</b>
<b>FROI</b>	00	Original
	01	Cancel
	02	Change
	04	Denial
	AQ	Acquired
	AU	Acquired/Unallocated
	UR	Update Report

SROI	<b>MTC</b>	<b>Description</b>
	02	Change
	04	Denial
	AB	Add Concurrent Benefit Type
	AP	Acquired/Payment
	CA	Change in Benefit Amount
	CB	Change in Benefit Type
	CD	Compensable Death – No Known Dependents/Payees
	EP	Employer Paid
	ER	Employer Reinstatement
	FN	Final
	IP	Initial Payment
	NT	Narrative
	PX	Partial Suspension
	PD	Partial Denial
	PY	Payment Report
	RB	Reinstatement of Benefits
	SX	Full Suspension
	UR	Update Report
	AN	Annual

## Information and Data Reported

Each piece of information for electronic reports is defined as a data element. Please refer to the Section 6 of the IAIABC Claims Release 3.1 EDI Implementation Guide for definitions of each data element.

### Employee ID Assigned by Jurisdiction (DN0154)

The Employee ID Assigned by Jurisdiction (DN0154) should be composed as follows:

If DN0270-Employee ID Type Qualifier is "A", Employee ID Assigned by Jurisdiction DN0154 must be populated as follows:

If DN0270-Employee ID Type Qualifier is = to A:

When establishing a claim must be:

- First Character of DN0044 Employee First Name followed by
- First Character of DN0043 Employee Last Name followed by

DN0052-Employee Date of Birth (MMDDYY), e.g. XX051580 (where Date of Birth is May 15, 1980)

OR

If Date of Birth is not available, use DN0031-Date of Injury (MMDDYY), e.g. XX030114 (where Date of Injury is March 01, 2014)

Example: John Smith, with Date of Birth of May 15, 1980

Employee ID Assigned by Jurisdiction would be = JS05151980 if Date of Birth is available.

DWC also accepts the following:

Employee SSN (DN0042) – is preferred
Employee Green Card (DN0153)
Employee Employment Visa (DN0152)
Employee Passport Number (DN0156)

There is no need to submit an MTC 02 or new value for DN0154 - Employee ID Assigned by Jurisdiction when the DN0044 Employee First Name, or the DN0043 Employee Last Name changes.

### Edit Matrix - Match Data

Match Data elements are used to identify a transaction as a new claim to create, or match to an existing claim for duplicate checking, updating and processing. On a specific claim, a primary "match" data element value may change and prevent a match. When there is no match on one of the primary "match" data elements, secondary "match" data elements are used to match a claim. Refer to the Edit Matrix Match Data table for the application of primary and secondary Match Data elements, available on the Iowa Division of Workers' Compensation EDI website:

<https://iwddwcedi.info/guide>.

Changes to Match Data elements must be reported on a FROI 02 (Change) transaction before further reporting for the claim will be accepted. Only one Match Data element can be changed on a FROI 02 (Change) unless indicated otherwise on Match Data table on the 'Multiple element changes Category legend'.

When changing from one Employee ID type to another, Employee ID Type Qualifier (DN0270) must be changed as well. For example, if a valid Employee Passport Number (DN0156) is available after a claim is submitted with an Employee Assigned by Jurisdiction (DN0154), the 02 (Change) transactions should be populated with the new Employee ID Type Qualifier (DN0270) of "P" (Employee Passport Number) as well as the employee's Passport Number.

## **DWC EDI Reporting Requirements**

The DWC EDI Reporting Requirement Tables are based on the IAIABC Master Tables format. The tables are located at <https://iwddwcedi.info/guide> and are described below.

**Event Table:** The Event Table is designed to provide information integral for a Trading Partner to understand the Iowa's EDI reporting requirements. It relates EDI information to the circumstances under which they are initiated as well as the timeframes for sending the information. These circumstances and timeframes reflect Iowa's legislative mandates and specifications relative to reporting requirements based on various criteria.

### **Element Requirement Table:**

The Element Requirement Table is designed to communicate DWC's business data element requirements. Each data element requirement is defined for each report (FROI or SROI), down to the level of Maintenance Type Code based on Report Type criteria established on the Event Table.

**Edit Matrix:** describes editing that will be applied by the DWC to incoming transactions.

The Edit Matrix is designed to communicate the edits applied by DWC to assist the Trading Partner in understanding the edits that will be applied and the data quality expected. The edits that are applied are based on the IAIABC standards and on DWC's data requirements. They are based on the requirements that are indicated on the DWC Element Requirement Table. The Edit Matrix contains the tables shown below.

- *DN-Error Message* describes editing that will be applied to each data element.
- *Value Table* identifies code values accepted by Iowa.
- *Valid Value Detail Page 1* (Page 1 of 2) expresses the Iowa's acceptable code values presenting the code and the code description.
- *Valid Value Detail Page 2* (Page 2 of 2) expresses the Iowa's acceptable code values presenting the code and the code description.
- *Match Data* describes the data elements that will be used to determine if the report will create a new claim or find an existing claim or transaction in the DWC database
- *Population Restrictions* contains the DWC's restrictions applied to the data element(s).
- *Sequencing* illustrates logical transaction sequencing for DWC. Transaction sequencing refers to the order in which the MTCs must be sent in. For example, an IP will not be accepted



- by DWC before a 00 original FROI has been accepted.
- *PI Body Part Code(s) Worksheet (Not used by Iowa)* summarizes duration of scheduled losses for permanent impairment injuries based on jurisdiction regulations.

## **Requirements for Becoming an EDI Trading Partner**

There are two requirements for becoming an EDI Trading Partner:

1. Complete the Trading Partner Registration and receive approval from DWC. To register, go to <https://iwddwcedi.info/register>. DWC requires each entity, including those who plan to use a vendor, to complete the Electronic Trading Partner Registration. The Trading Partner Registration provides pertinent information to DWC about the Sender, Receiver, Insurer and Claim Administrators and transmission protocol.
2. Complete Testing Requirements outlined in section titled Testing Procedures for Trading Partners

## **Data Delivery - SFTP (Secure File Transfer Protocol)**

Trading Partners and Vendors will connect to an SFTP (Secure File Transfer Protocol) server hosted by the DWC in order to send FROI and SROI files and receive Acknowledgment files. To obtain a SFTP connection, each Trading Partner must first complete the Trading Partner Registration and be approved by DWC. Once approved as a Trading Partner, DWC will provide the appropriate access information.

Trading Partners may log into the SFTP server using the software or scripting system they have at their disposal and on the platform the Trading Partner is running.

**FROI SROI Files:** Trading Partners will load their FROI/SROI files into the specified location provided by DWC. DWC will pick up the files and delete them from the specified location as they are processed.

**Acknowledgment Files:** Trading Partners are required to pick up their acknowledgment files from the specified location provided by DWC. The Trading Partners are required to delete acknowledgment files from the specified location as soon as they have verified that they have been successfully received. It is important that the Trading Partner delete the file(s) as they will remain in the specified location which may result in multiple downloads of the same files.

## Inbound File Names

DWC recommends but does not require that files submitted to the DWC SFTP server should be named using the following convention in order to reduce the potential of files being overwritten.

ST\_InterchangeVersionID\_SenderFEIN\_SenderPC\_DateTransSent\_TimeTransSent\_UniqueSeq.edi

- ST: State Code = IA
- Interchange Version ID:
  - FROI Files: 14831
  - SROI Files: A4931
- Sender FEIN and Sender PC (Postal Code) will be that of the Trading Partner per the Header Record.
- DateTransSent (YYYYMMDD) and TimeTransSent (HHMMSS) is date and time per the Header Record
- Optionally, Unique Seq (Sequence): The Unique Seq (Sequence) Number For example: Starting with the FROI then SROI; first FROI 0001, then SROI 0002, and if additional files on a given day then FROI 0003, then SROI 0004.

## Reporting Timelines

**Monday through Friday:** The cut-off for receipt of data from DWC Trading Partners will be 11:59 PM EST. DWC Trading Partners will receive acknowledgment files no later than 5:00 AM EST pending any unforeseen processing issues.

**Friday (after the cutoff), Saturday and/or Sunday:** Trading Partners can connect and upload FROI/SROI files and will receive acknowledgment files no later than 5:00 AM EST on Monday pending any unforeseen processing issues.

If you have not received an Acknowledgement within that time frame and have not received an advisory e-mail, please contact the DWC EDI Support Mailbox at <https://iwddwcedi.info>

## Acknowledgment Reports

There are two types of Acknowledgments that are sent back to trading partners when First Reports of Injury or Subsequent Reports of Injury batches are processed. One is a batch level AKC and the other is the transaction level AKC.

The first type of AKC record occurs at the batch level only if the batch rejects. One AKC transaction will be sent with the HD level rejection. When a batch rejects, all of its content rejects.

The second type of AKC record occurs when a batch is not rejected. The transactions within the batch are processed and detailed level (transaction level) data is provided indicating whether the

transaction has been accepted (TA) or rejected (TR). If the transaction represents the first filing (FROI 00) and is accepted, DWC will return the Jurisdiction Claim Number (JCN) DN0005 on the AKC. The JCN should be captured and recorded for later use for subsequent filings. If a transaction is rejected, detailed error information is provided on the acknowledgment. It is the trading partner's responsibility to use this error information for consideration on next steps.

DWC Acknowledgment files naming convention: ST\_YYYYMMDD\_HHMMSS\_AK.txt

- ST State Code = IA
- YYYYMMDD: Current Date
- HHMMSS: Unique Time Stamp
- AK: Indicates Acknowledgment file
- Txt: indicates a text file.

Example: IA\_20161229\_131202\_AK.txt

### **Testing Procedures for Trading Partners**

DWC EDI Trading Partners submitting data are required to complete the Test Plan.

Exceptions: No testing is required for DWC Web Entry filers. In some cases, if a Trading Partner is using a Vendor, the Vendor will coordinate and/or perform the testing on behalf of the Trading Partner.

The DWC Test Plan can be found at <https://iwddwcedi.info>, select Implementation Info. This Test Plan provides information for the expected results to be approved for production reporting. Please contact the IWDDWC EDI Support Team at [iwddwcedi@iso.com](mailto:iwddwcedi@iso.com) prior to sending any Test transaction(s), if you have any questions about the test and/or to confirm your testing readiness.

## SECTION SEVEN: IMPORTANT TERMINOLOGY AND ACRONYMS

The following applies to this EDI Claims Implementation Guide and Trading Partner 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: Claims Administrator.

### **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.

### **Claims Administrator**

The organization that services workers' compensation claims according to Jurisdiction rules. An administrator may be an Insurer, a Claims 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 AIN).

### **DWC**

Iowa Division of Workers' Compensation. The regulatory agency overseeing workers' compensation laws in Iowa.

### **DWC Vendor (aka as Submitter or Sender)**

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

### **EDI**

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

**Edit Matrix**

Identifies the edits to be applied to each data element to ensure data quality expectations are met. The DWC Vendor applies the edits to transaction and submits to DWC only transactions that have passed all edits and are accepted (TA).

**Edited Data**

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

**Electronic Format**

DWC selected the IAIABC Claims Release 3.1 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 used 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 3.1 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.

**SFTP**

Secure File Transfer Protocol. A communications protocol governing the transfer of files from one computer to another over a network.

**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.

**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 character 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 DWC.

**Raw Data**

The transaction and its contents as received from a Submitter by DWC and before the data is subjected to DWC's EDI Claims Release 3.1 requirements.

**Requester / Receiver**

DWC is the Receiver of transactions from the Submitter. The Submitter is also the sender of transaction acknowledgments to the EDI trading partners who are the receivers of the transaction acknowledgments.

**Re-Acknowledgment Record (DWC Vendor specific)**

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 Iowa Insurance Commissioner to self-insure its workers' compensation risk in accordance with applicable law, rules and regulations.

**Sender / Submitter**

An entity that submits FROI and SROI information in the IAIABC EDI Claims Release 3.1 format and receives EDI acknowledgments from DWC. This entity is required to complete the Trading Partner Profile forms. In addition, please see: Vendor.

**SROI (A49 Record)**

Based on IAIABC EDI Claims Release 3.1 standards SROI is a group of transactions of workers' compensation claim processing that typically report the benefit, payment, return to work and closure data.

**TA**

Acknowledgment code indicating that a FROI or SROI has passed all event table, element requirement and edit matrix test for data timeliness and quality.

**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 DWC 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.

**TP**

Trading Partner

**TR**

Acknowledgment code indicating that a FROI or SROI has failed one or more event table, element requirement and edit matrix tests for data timeliness and quality.

**Trading Partners**

Two entities exchanging data electronically. For the purpose of this Implementation Guide, the two entities are the data requester/receiver (DWC Vendor and DWC) and the data sender/submitter (i.e. DWC Vendor, claims 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 3.1 Implementation Guide and for records specific to Iowa, are found in the DWC EDI tables posted on the DWC's EDI website: <https://iwddwcedi.info>

**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.

**WCES**

Workers' Compensation Electronic System is the electronic filing system that is the computer system that receives, processes and stores EDI and litigated matter for DWC

## **Links to EDI Claims related information**

Iowa Division of Workers' Compensation (DWC) web page: <https://www.iowaworkcomp.gov/>

Iowa Division of Workers' Compensation (DWC) EDI web page: <https://iwddwcedi.info>

Iowa Division of Workers' Compensation assistance email: [iwddwcedi@iso.com](mailto:iwddwcedi@iso.com)

International Association of Industrial Accident Boards and Commissions (IAIABC): [www.iaiabc.org](http://www.iaiabc.org).