

Worker's Compensation Board of Indiana (IN WCB)

EDI Claims Release 3.1 Implementation Guide



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

Revised: November 15, 2018

PREFACE

The Worker's Compensation Board of Indiana (IN WCB) is pleased to announce that electronic reporting of workers' compensation First Reports of Injury (FROI) and Subsequent Reports of Injury (SROI) will be via Electronic Data Interchange (EDI) transactions using the Claims 3.1 reporting standards adopted by the International Association of Industrial Accident Boards and Commissions (IAIABC). This solution provides a means for the State of Indiana to manage its Workers' Compensation Act required reporting efficiently and accurately. EDI itself is not new to Indiana as we have received First Reports of Injury via EDI from insurance carriers, self-insured employers, and third-party administrators since June 30, 2000. The use of EDI Claims release 3.1 has been mandated for all carriers as of March 20, 2019. Under Indiana Code 22-3-4-13(b), the IN WCB has the authority to require all insurance carriers, self-insured employers, and third-party administrators to report accident information (FROI's) to the Board using electronic data interchange (EDI). EDI Claims Release 3.1 provides for the electronic transfer of comprehensive injury data and will provide significant benefits for trading partners and IN WCB stakeholders. All carriers will be required to enter into a Trading Partner Agreement with the IN WCB to ensure secure and compliant acceptance of claim data by the IN WCB vendor.

Accurate and timely information is vital to how the IN WCB serves the workers' compensation community. This EDI Claims Release 3.1 system will facilitate improvement in both areas. Recognizing that government should tread lightly when imposing new requirements on the industry, the data tables and this Implementation Guide have been developed under the guiding principle of ensuring an easy transition to a more robust standard allowing the Board to fulfill its mission. The following sections provide the necessary information for understanding how to conduct EDI business with the IN WCB as well as references to other important documents. Thank you for participating with us in maintaining and improving Indiana's efficient and effective Workers' Compensation system.

Table of Contents

| | |
|---|----|
| PREFACE | 2 |
| SECTION ONE: FORWARD | 4 |
| SECTION TWO: EDI IMPLEMENTATION MANAGEMENT | 8 |
| SECTION THREE: REPORTING PROCESSES AND OPTIONS | 10 |
| SECTION FOUR: EDI TRADING PARTNER PROCESS..... | 11 |
| SECTION FIVE: EDI TESTING REQUIREMENTS AND PLANS | 13 |
| Test Plan Procedures | 13 |
| SECTION SIX: EDI TECHNICAL REQUIREMENTS | 14 |
| Electronic Data Interchange Rules | 14 |
| Electronic Data Reporting Format..... | 14 |
| Maintenance Type Codes | 14 |
| Information and Data Reported..... | 15 |
| Employee ID Assigned by Jurisdiction (DN0154) | 15 |
| Edit Matrix - Match Data..... | 16 |
| IN WCB EDI Reporting Requirements | 16 |
| Requirements for Becoming an EDI Trading Partner | 17 |
| Data Delivery - SFTP (Secure File Transfer Protocol)..... | 17 |
| Inbound File Names..... | 17 |
| Reporting Timelines..... | 18 |
| Acknowledgment Reports | 18 |
| Testing Procedures for Trading Partners | 19 |
| SECTION SEVEN: IMPORTANT TERMINOLOGY AND ACRONYMS | 20 |
| Links to EDI Claims related information..... | 24 |

SECTION ONE: FORWARD

A. Indiana EDI Claims Release 3.1 Standards and Documentation

1. The most up to date documentation for EDI Claims Release 3.1 can be found on our EDI website (<https://inwcbedi.info/requirements>). This page will always contain the most recent published tables and information. These published documents form the core of the requirements for submitting EDI in Indiana, Downloading and familiarizing yourself with them is essential. The Requirements are housed in three tables:
 - a. Event Table - This table relates EDI information to the circumstances under which they are initiated as well as the timeframes for sending the information.
 - b. Element Requirements - This table lists the individual data element requirements
 - c. Edit Matrix -This table provides information on the edits that will apply to each data element and the edits that will be applied based on the population of the data element
2. For any question or problem with Release 3.1 please contact INWCBEDI@iso.com.

B. IAIABC EDI Claims Release 3.1 Standards and Documentation

1. The IN WCB 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 IN WCB has designed this EDI Claims Implementation Guide to assist Insurers, Self-Insured Employers and Claims Administrators with the transition from Release 1 reporting to Release 3.1 reporting. It serves as an information resource for trading partners operating in Indiana and provides Indiana-specific requirements. The IN WCB 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.iaiabc.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 IAIABC website. The IN WCB recommends that carriers, self-insured employers and claims administrators get the Guide and coding tables as soon as possible and begin reviewing the materials with internal management and IT staff.

C. 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. IN WCB implemented EDI Claims Release 1.0 on June 30, 2000.
4. The standards continue to be reviewed and enhanced by a committee of jurisdictional and insurance industry participants for the benefit of all. Release 3.1 was first published on January 1, 2018, making IN WCB a leader for this latest standard.

D. Indiana's EDI Partnership

1. The Worker's Compensation Board of Indiana (IN WCB) developed a Special Procurement Request to contract for a Vendor (IN WCB Vendor) to facilitate EDI Claims filing for Indiana'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. ISO's Workers Compensation Solutions division has been selected as the IN WCB Vendor. ISO 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 ISO directly about EDI Claims Reporting.
3. All entities reporting via EDI Claims Release 3.1 must enter into a Trading Partner Agreement with the IN WCB. See Section 4 of this guide for more details.

4. Although the IN WCB 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. To see our posted vendor information please see <https://inwcbedi.info/vendors>

E. EDI Implementation Dates

1. EDI Claims Release 3.1 for FROI and SROI transactions will begin **March 20, 2019**.
2. All trading partners must complete FROI Business Content testing by January 1, 2019, and SROI Business Content testing by February 1, 2019 and be ready for production by close of business March 19, 2019. The IN WCB will work with IN WCB's 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 Indiana 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 IN WCB.
3. For complete up to date information on the EDI Release 3.1 Implementation schedule for Indiana, please refer to the IN WCB Transition from IAIABC EDI Claims Release 1 to Claims Release 3.1 Timeline Summary available on the Implementation Information Page of INWCB EDI website: <https://inwcbedi.info/impl-info>.

F. Indiana Reporting Requirements – New and Legacy Claims

1. New Claims

A FROI that is filed with the IN WCB on or after EDI Claims Release 3.1 implementation requires an electronic 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 any claim previously reported in R1 for which a Jurisdiction Claim Number (JCN) has been assigned.

The FROI UR is required prior to submitting any SROI in R3.1 for ONLY Open or Re-opened Legacy claims.

The FROI UR is intended to match a claim previously reported and to set the picture for R3.1 reporting.

If a FROI R1 MTC was required and was not properly filed with IN WCB, a Legacy Claim would not have been created for which to match to a FROI UR.

If a FROI R1 MTC was required and was not properly filed with IN WCB, then the applicable FROI 00, 04 or AU should be sent instead of a FROI UR.

These claims are based on Date Claim Administrator Had (Notice or) Knowledge of the Injury (DN0041) prior to 3/20/2019.

Note: IN WCB expects the FROI UR report submissions to be completed by 5-20-19 for these claims. If a claim re-opens after 5-20-19, then the same Report Trigger shown above should be followed.

Please see the IN WCB Event Table for the SROI UR requirements.

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 jurisdiction's 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 Indiana requirements or by utilizing the web portal which ISO 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 above three major 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 Indiana 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 Indiana's EDI requirements. Identify the IN WCB 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 Worker's Compensation Board of Indiana EDI Claims website: <https://inwcbedi.info>
 - c) Go to www.iajabc.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 Indiana 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 Indiana tables not currently captured by your database in case they need to be added to comply with IN WCB requirements.

- f) Assess your firm's current EDI capabilities (hardware & software).
- g) Monitor the IN WCB EDI website's Implementation page:
<https://inwcbedi.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 Indiana EDI Support Team at inwcbedi@iso.com.
- h) Training of technical personnel on their roles and responsibilities will be made available by the IN WCB Vendor. Dates and times will be posted on Vendor's website and linked on the IN WCB website.
- i) Establish a schedule for testing your FROI and SROI transmissions with our IN WCB Vendor which must be completed no later than March 1, 2019.
- 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. Indiana'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 statutes and reporting requirements (i.e., amounts, timeliness, etc.).
3. It is the intent of the IN WCB to contract with a single vendor who will be the point source for all EDI transmissions from Trading Partners. Transmissions sent to the INWCB will not incur a transmission cost from the IN WCB vendor. Trading Partners in the Indiana are expected to send the IAIABC EDI Claims Release 3.1 format.
4. It is important to note that utilization of the IAIABC EDI Claims Release 3.1 Standard requires a license from the IAIABC.

As noted above in Section Two, each Trading Partner must evaluate their individual situation and make a determination to either internally program to Indiana EDI Claims Release 3.1 standard, or to retain a third-party to handle their data transmissions. An alternative will be entry of data via the IN WCB 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. In the case of 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 inwcbedi@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 Indiana. The IAIABC Claims Release 3.1 Implementation Guide augments this Worker's Compensation Board of Indiana EDI Claims Implementation Guide. Visit the IAIABC web site: www.iaabc.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 Indiana EDI requirements.
2. This Worker's Compensation Board of Indiana EDI Implementation Guide provides Indiana 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 IN WCB 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 IN WCB EDI information meetings and applicable training.

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

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

D. Contact the IN WCB Vendor to complete the EDI Trading Partner agreement

1. Although EDI Trading Partner Agreements are arranged through the IN WCB Vendor, IN WCB ultimately grants the final approval for a trading partner to submit FROI and SROI data.
2. You can begin Trading Partner registration by visiting our website here (<https://inwcbedi.info/register>)

SECTION FIVE: EDI TESTING REQUIREMENTS AND PLANS

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 IN WCB FROI and SROI filings required by Indiana Statute and Rules must continue to be submitted via Release 1 and in the case of SROI data, via the provided forms portal. 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 that 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.

Test Plan Procedures

Please review the Indiana Worker's Compensation Board (INWCB) Claims Release 3.1 EDI Implementation Schedule located in the Implementation Info section of the Indiana EDI website: <https://www.inwcbedi.info>. The Implementation Schedule contains additional information regarding the testing and production timeline. Testing for Indiana will be handled by Indiana'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 Indiana EDI Testing Feedback Request List R3.1 to inwcbedi@iso.com.

All trading partners (with the exception of Indiana Free Web Entry filers), must complete the Test Plan and receive approval individually or through an EDI Vendor prior to filing Indiana EDI Release 3.1 reports in production. Please see the IN WCB - EDI Claims Release 3.1 Test Plan for more information. The IN WCB - EDI Claims Release 3.1 Test Plan and Test Plan Feedback Request List can be found at <https://inwcbedi.info/impl-info>. The Test Plan identifies the expected transactions to be approved for production reporting.

SECTION SIX: EDI TECHNICAL REQUIREMENTS

Electronic Data Interchange Rules

The rules of the Worker's Compensation Board of Indiana can be accessed at

<http://iga.in.gov/legislative/laws/2017/ic/titles/022/#22-3-1>

Electronic Data Reporting Format

The Worker's Compensation Board of Indiana 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 3.1 Implementation guide.

Maintenance Type Codes

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

| | <u>MTC</u> | <u>Description</u> |
|-------------|------------|--|
| FROI | 00 | Original |
| | 01 | Cancel |
| | 02 | Change |
| | 04 | Denial |
| | AQ | Acquired |
| | AU | Acquired/Unallocated |
| | UR | Update Report |
| | <u>MTC</u> | <u>Description</u> |
| SROI | 02 | Change |
| | 04 | Denial |
| | 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 |
| PD | Partial Denial |
| PY | Payment Report |
| RB | Reinstatement of Benefits |
| SX | Full Suspension |
| UI | Under Investigation |
| UR | Update Report |

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.

Jurisdiction Claim Number Assignment

Upon acceptance of the FROI, the IN WCB 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. No jurisdiction claim number is generated for FROI's that are rejected.

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:

Non-Legacy Claims 3/20/2019 and forward:

Report ITIN.

If ITIN is not available then default to Employee ID Assigned by Jurisdiction (DN0154) with Date of Injury (DN0042) and add '1' to the end. Example DOI 6/15/2019 then value should be 061520191.

ITIN: An Individual Taxpayer Identification Number (ITIN) is a tax processing number issued by the Internal Revenue Service. It is a nine-digit number that always begins with the number 9 and has a range of 70-88 in the fourth and fifth digit.

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 Worker's Compensation Board of Indiana EDI Claims website:

<https://inwcbedi.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'.

IN WCB EDI Reporting Requirements

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

Event Table: The Event Table is designed to provide information integral for a Trading Partner to understand Indiana 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 Indiana's legislative mandates and specifications relative to reporting requirements based on various criteria.

Element Requirement Table: The Element Requirement Table is designed to communicate IN WCB'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: The Edit Matrix describes editing that will be applied by the IN WCB to incoming transactions.

The Edit Matrix is designed to communicate the edits applied by IN WCB 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 IN WCB's data requirements. They are based on the requirements that are indicated on the IN WCB 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 Indiana.
- *Valid Value Detail Page 1* (Page 1 of 2) expresses the Indiana's acceptable code values presenting the code and the code description.
- *Valid Value Detail Page 2* (Page 2 of 2) expresses the Indiana'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 IN WCB database
- *Population Restrictions* contains the IN WCB's restrictions applied to the data element(s).

- *Sequencing* illustrates logical transaction sequencing for IN WCB. Transaction sequencing refers to the order in which the MTCs must be sent in. For example, an IP will not be accepted by IN WCB before a 00 original FROI has been accepted.
- *PI Body Part Code(s) Worksheet (Not used by Indiana)* 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 IN WCB. To register, go to <https://inwcbedi.info/register>. IN WCB 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 IN WCB about the Sender, Receiver, Insurer and Claim Administrators and transmission protocol.
2. Complete Testing Requirements outlined in this 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 IN WCB's Vendor 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 IN WCB. Once approved as a Trading Partner, IN WCB 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 IN WCB. IN WCB 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 IN WCB. 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

IN WCB recommends but does not require that files submitted to the IN WCB 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 = IN
- 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 IN WCB Trading Partners will be 1:00 AM EST. IN WCB 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 IN WCB EDI Support Mailbox at inwcbedi@iso.com.

Acknowledgment Reports

There are two types of Acknowledgments that are sent back to trading partners when First Reports of Injury (FROI) or Subsequent Reports of Injury (SROI) 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, IN WCB 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.

IN WCB Acknowledgment files naming convention: ST_YYYYMMDD_HHMMSS_AK.txt

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

Example: IN_20161229_131202_AK.txt

Testing Procedures for Trading Partners

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

Exceptions: No testing is required for IN WCB 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 IN WCB Test Plan can be found at <https://inwcbedi.info/>, under Implementation Info. This Test Plan provides information for the expected results to be approved for production reporting. Please contact the IN WCB EDI Support Team at inwcbedi@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.

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.

Claims Administrator

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

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.

IN WCB

Worker's Compensation Board of Indiana. The regulatory agency overseeing workers' compensation laws in Indiana.

IN WCB Vendor (aka as Submitter or Sender)

For the purposes of this Implementation Guide, a Vendor is an EDI Service Provider authorized by IN WCB to provide its products/services to IN WCB's Trading Partners. As such it becomes the Sender/Submitter on behalf of the Trading Partner to IN WCB.

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 third-party 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 IN WCB Vendor applies the edits to transaction and submits to IN WCB 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 IN WCB system edits and found to contain valid data.

Electronic Format

IN WCB 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)

First Report of Injury. 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.

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 IN WCB.

Raw Data

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

Requester / Receiver

IN WCB 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.

Self-Insured Employer

An employer authorized by the IN WCB 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 IN WCB. This entity is required to complete the Trading Partner Profile registration process. In addition, please see: Vendor.

SFTP

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

SROI (A49 Record)

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

TA

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

Testing Period

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

Test Plan

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

TP

Trading Partner

TR

Transmission Rejected. 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 (IN WCB Vendor and IN WCB) and the data sender/submitter (i.e. IN WCB 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 Indiana, are found in the IN WCB EDI tables posted on the IN WCB's EDI website: <https://inwcbedi.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.

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.

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 IN WCB

X12N

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

Links to EDI Claims related information

Worker's Compensation Board of Indiana (IN WCB) web page:

<https://www.in.gov/wcb/index.htm>

Worker's Compensation Board of Indiana (IN WCB) EDI web page:

<https://inwcbedi.info>

Worker's Compensation Board of Indiana EDI Support Team: inwcbedi@iso.com

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