

Review of Encounter Data System Reports



November 28, 2018



Purpose & Roadmap

To provide an overview of Encounter Data Front-End System (EDFES) and Encounter Data Processing System (EDPS) reports.

Encounter Data Reports Topics

1. Key Resources
2. EDFES Reports
3. EDPS Reports
4. MAO-004 Reports

Encounter Data

Key Resources

Key Resources

Key CMS Resources found at www.cssoperations.com

- Encounter Data Submission and Processing Guide (*Guide*)
 - Appendices (4A – 4D)
- MA & Part D Communications Handbook (*Handbook*)
- CMS 5010 Edit Spreadsheets
- User Group Slides



Key Resources (cont.)

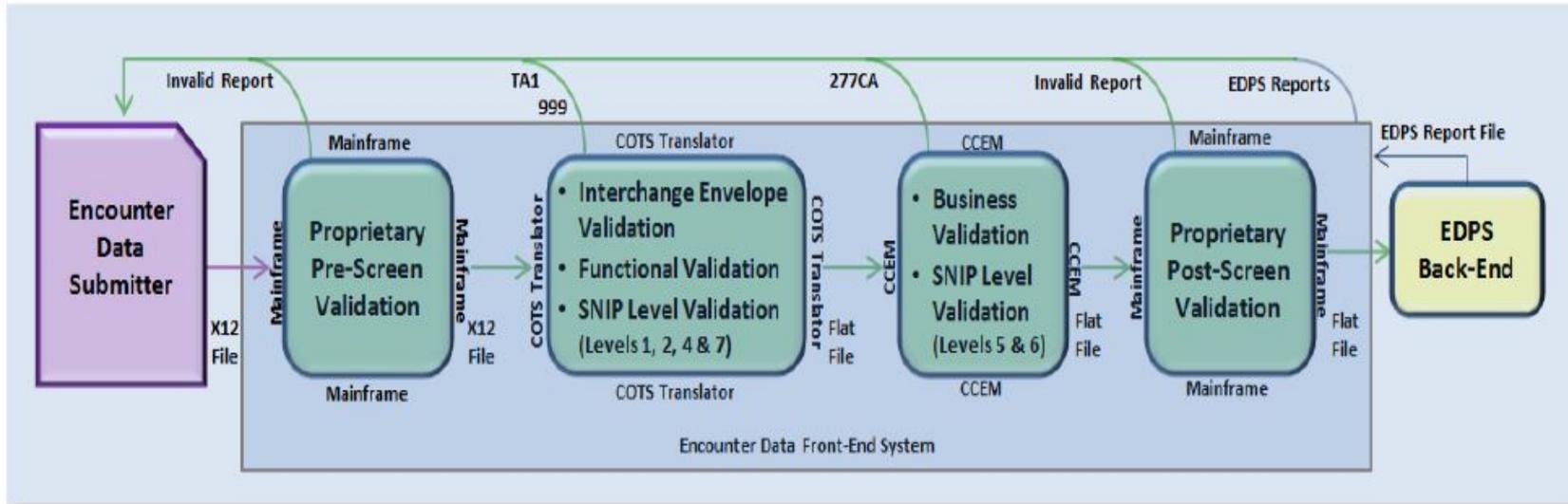
Key Industry Resources

- ASC X12 Standards for Electronic Data Interchange Technical Report Type 3 Technical Reports found at www.wpc-edi.com
 - Health Care Claim 837 – Professional and Institutional (*TR3 Guide*)
 - Implementation Acknowledgment For Health Care Insurance (*999 Reports Guide*)
 - Health Care Claim Acknowledgment (*277 Reports Guide*)

Encounter Data

Encounter Data Front-End System (EDFES) Reports

EDFES Processing Phases



COTS = Commercial Off-the-Shelf; SNIP = Strategic National Implementation Process; CCEM = Combined Common Edits Module; EDPS = Encounter Data Processing System

Guide, Chapter 4, Section 4.4

EDFES Validation Process and Acknowledgement Reports

Editing Environment	Type of Edits	Report
Pre-Screening Validation	Proprietary editing	Pre-screen Invalid Reports for all submitters
Commercial off-the-shelf (COTS) Translator	Syntax editing for Interchange Envelope conformance (ISA/IEA level)	TA1 Acknowledgement Report, if the transaction is rejected
Commercial off-the-shelf (COTS) Translator	TR3 conformance editing for functional groups (GS/GE) and transaction sets (ST/SE)	Three possible reports: 999A = all Transaction Sets accepted 999P = Partially accepted (at least one Transaction Set was rejected) 999R = Rejected syntax errors were noted

Guide, Chapter 4, Section 4.4

EDFES Validation Process and Acknowledgement Reports (cont.)

Editing Environment	Type of Edits	Report
Combined Common Edits Module (CCEM)	Medicare-specific edits at the record and line levels	277CA: provides record-level info and assigns an Internal Control Number for each accepted record
Post-screening Encounter Data Front-End System (EDFES) Validation	Medicare Advantage-specific edits at the record and line levels; e.g., presence of contract ID	Post-screen Invalid Report (formerly known as EDFES Notification)

Guide, Chapter 4, Section 4.4

Encounter Data Reports

Test File Naming Convention

Gentran and TIBCO Test Submissions	
CMS Gentran/TIBCO Mailbox Listing	Description
T.xxxxx.EDS_REJT_IC_ISAIEA.pn	TA1 Interchange Acknowledgment
T.xxxxx.EDS_REJT_FUNCT_TRANS.pn T.xxxxx.EDS_ACCPT_FUNCT_TRANS.pn	999 Functional Group Acknowledgement
T.xxxxx.EDS_RESP_CLAIM_NUM.pn	277CA
T.xxxxx.EDS_RESPONSE.pn	Post-Screening Invalid Report
T.xxxxx.EDPS_001_DataDuplicate_Rpt T.xxxxx.EDPS_001_DataDuplicate_File	MAO-001 EDPS Duplicates Report
T.xxxxx.EDPS_002_DataProcessingStatus_Rpt T.xxxxx.EDPS_002_DataProcessingStatus_File	MAO-002 EDPS Status Report

Handbook, Gentran Mailbox Processing Filenames, page 5

Encounter Data Reports Production File Naming Convention

Gentran and TIBCO Production Submissions	
CMS Gentran/TIBCO Mailbox Listing	Description
P.xxxxx.EDS_REJT_IC_ISAIEA.pn	Encounter Data Front-End System (EDFES) TA1 Interchange Acknowledgment
P.xxxxx.EDS_REJT_FUNCT_TRANS.pn P.xxxxx.EDS_ACCPT_FUNCT_TRANS.pn	EDFES 999 Functional Group Acknowledgement
P.xxxxx.EDS_RESP_CLAIM_NUM.pn	EDFES 277 Claim Acknowledgement (CA)
P.xxxxx.EDS_RESPONSE.pn	EDFES Post-Screening Invalid Report
P.xxxxx.EDPS_001_DataDuplicate_Rpt P.xxxxx.EDPS_001_DataDuplicate_File	MAO-001 Encounter Data Processing System (EDPS) Duplicates Report
P.xxxxx.EDPS_002_DataProcessingStatus_Rpt P.xxxxx.EDPS_002_DataProcessingStatus_File	MAO-002 EDPS Status Report

Handbook, Gentran Mailbox Processing Filenames, page 5

Strategic National Implementation Process (SNIP)

- The Workgroup for Electronic Data Interchange (WEDI) identified practical strategies for reducing administrative costs in healthcare through the implementation of EDI
- WEDI proposed expansion of EDI testing to include seven (7) unique SNIP types to ensure HIPAA compliance
- These SNIP types are grouped for editing purposes and occur in the EDFES translator or CEM

Guide, Chapter 4, Section 4.9

Strategic National Implementation Process (SNIP) (cont.)

SNIP Type	SNIP Type of Testing	SNIP Type Definition	SNIP Type EDFES Phase
Type 1	Integrity Testing	Tests for valid segments, segment order, element attributes, testing for numeric values in numeric data elements, validation of X12 syntax and compliance with X12 rules.	Translator
Type 2	Requirement Testing	Tests for HIPAA IG specific requirements, such as repeat counts, used and not used codes, elements and segments, required or intra-segment situational data elements (nonmedical code sets as laid out in the IG), and values noted by an X12 code list or table.	Translator

Guide, Chapter 4, Section 4.9

Strategic National Implementation Process (SNIP) (cont.)

SNIP Type	SNIP Type of Testing	SNIP Type Definition	SNIP Type EDFES Phase
Type 3	Balancing Testing Note: Does not apply to MA encounter data	Tests the transaction for balanced field totals, record or segment counts, financial balancing of claims, and balancing of summary fields.	Translator
Type 4	Situation Testing	Tests the specific inter-segment situations described in the HIPAA IGs such that: if 'A' occurs, then 'B' must be populated. This is considered to include the validation of situational fields given values or situations present elsewhere in the file.	Translator

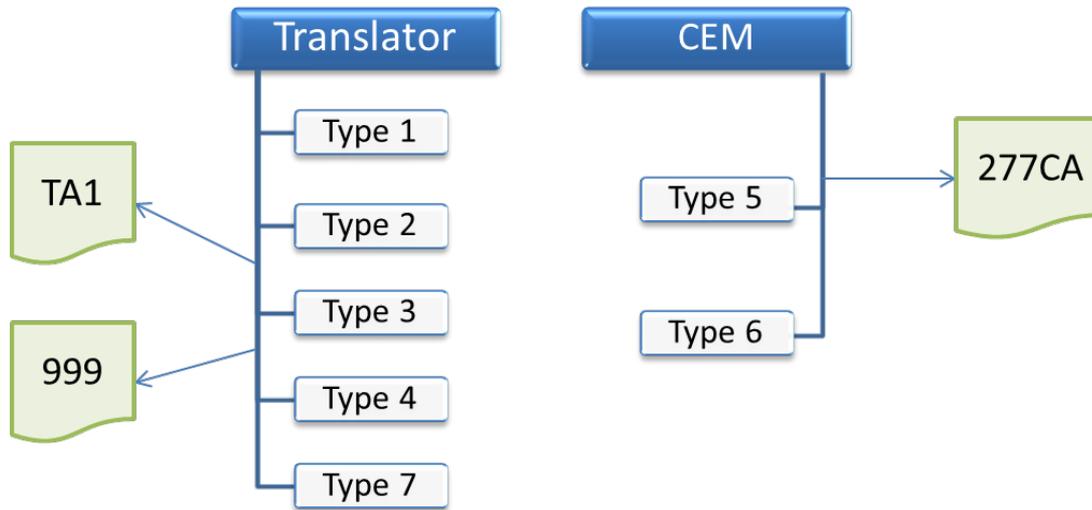
Guide, Chapter 4, Section 4.9

Strategic National Implementation Process (SNIP) (cont.)

SNIP Type	SNIP Type of Testing	SNIP Type Definition	SNIP Type EDS Phase
Type 5	Code Set Testing	Tests for valid IG specific code set values.	CEM
Type 6	Line of Business Testing	Specialized testing required by certain product types/types of service such as chiropractic, ambulance, durable medical equipment, etc.	CEM
Type 7	Trading Partner-Specific Testing	Tests edits in the HIPAA IG that are unique and specific to a payer/receiver.	Translator

Guide, Chapter 4, Section 4.9

Strategic National Implementation Process (SNIP) (cont.)



Guide, Chapter 4, Section 4.9

Pre-Screening Validation and Invalid Report

Pre-Screening Invalid Report

File Name Record

- Positions 1-10 = File Name
- Position 11 = Blank Space
- Positions 12-55 = Saved File Name
- Positions 56-80 Blank Spaces

File Message Received

- Positions 1-63 = "File cannot be processed at this time for the following reason"
- Positions 64-80 = Blank Spaces

Notification Message

- Positions 1–80 = Notification Message
- The report format example is as follows:

FILE NAME:

```
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
XX
```

- FILE CANNOT BE PROCESSED AT THIS TIME FOR THE FOLLOWING REASON:
- INVALID FILE SIZE EXPECTED: 80
ACTUAL: 3700

Guide, Chapter 4, Section 4.5

Pre-Screening Validation Edits/Error Codes

Example 1

MAO submits: ISA06 = ENC99**94**

Correct file name =ENC99**96**

Error Type: Submitter ID Mismatch ISA06

Notification Message: Submitter ID in field ISA06 does not match the Submitter ID in the file name

Pre-Screening Validation Edits/Error Codes (cont.)

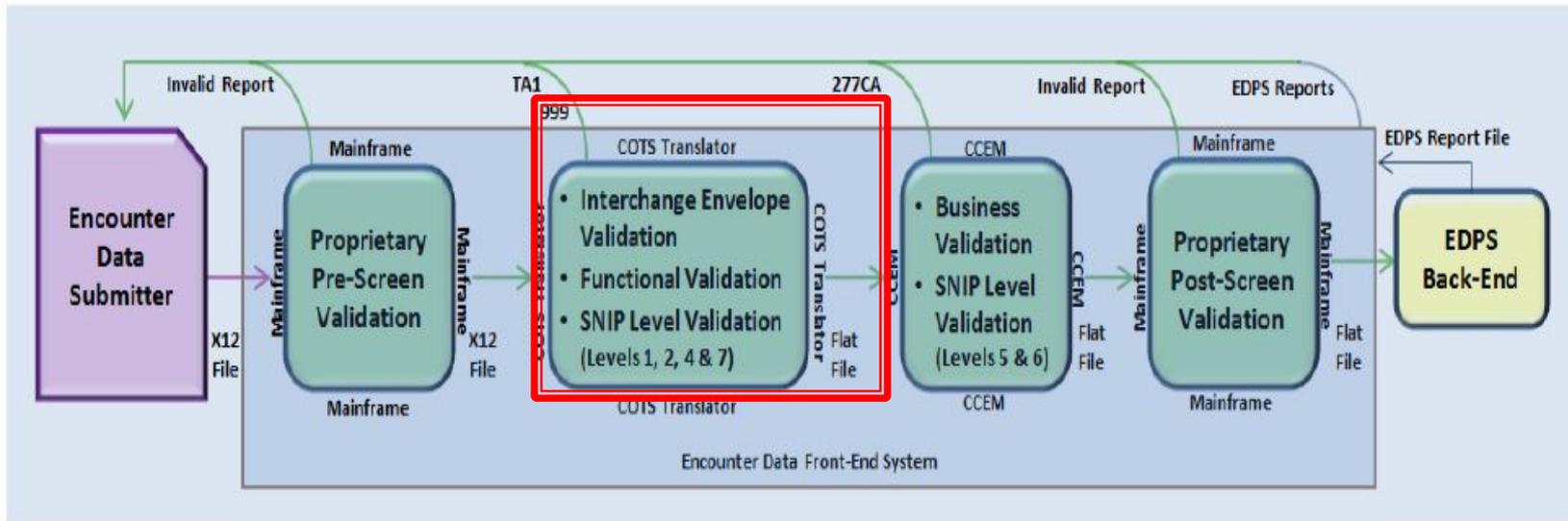
Example 2

MAO submits: ISA08 = 80888

Error Type: Ineligible Submission ISA08

Notification Message: Submitter ID in field ISA06 is not authorized to submit Medicare encounters

TA1 Acknowledgement Phase



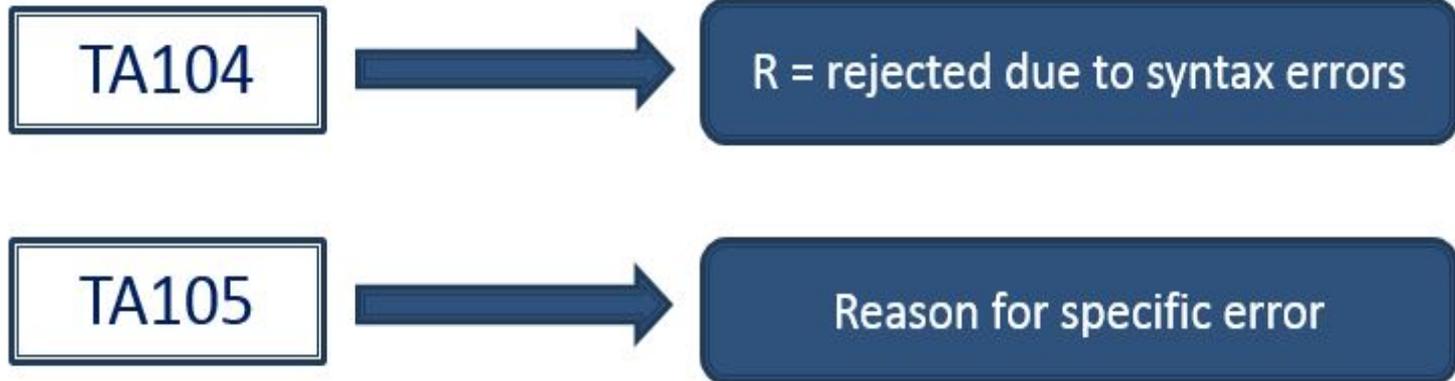
COTS = Commercial Off-the-Shelf; SNIP = Strategic National Implementation Process; CCEM = Combined Common Edits Module; EDPS = Encounter Data Processing System

TA1 Edits

- TA1 only generated for syntax errors
- One TA1 Report per submission
- TA1 transmitted without the GS/GE envelope structure
- Notice of file rejection and specific error within TA1 segment
- TA1 includes the ICN, Interchange Date and Time, Interchange Acknowledgement Code, and Interchange Note Code
- ICN, Date and Time identical to original 837-I or 837-P ISA line

Guide, Chapter 4, Section 4.6

TA104 and TA105 Codes



Guide, Chapter 4, Section 4.6

Interpreting the TA1 Acknowledgement Report

This string will allow MAOs and other entities to identify the Interchange error

1	ISA*00* *00* *ZZ*80881 *ZZ*ENC9999 *110825*1632*^*00501*000000003*0*T*.~
2	TA1*000000003*110825*1217*R*001~
3	IEA*0*000000013~

The file with an Interchange control number of 000000003 was rejected because the Interchange header (ISA) and trailer (IEA) control numbers do not match

Guide, Chapter 4, Section 4.6

Understanding TA1 Errors

1	ISA*00* *00* *ZZ*80881 *ZZ*ENC9999 *110825*1632*^*00501*000000003*0*T*.~
2	TA1*000000003*110825*1217*R*001~
3	IEA*0*000000013~

Steps	Description
1	Locate the error on the TA1 Acknowledgement Report: TA105 = 001
2	Look in the appropriate TR3 guide or the CMS 5010 edit spread sheet to find a description of the error code (837-I CMS 5010 and CCEM Edit Spreadsheet)
3	Access the 837 file with the Interchange control number of 000000003
4	Correct the value populated in ISA13 and IEA02, by populating both data elements with an identical unused value (not used within 12 months)
5	Resubmit the 837 file

Guide, Chapter 4, Section 4.6

999 Acknowledgement Report

- Reports on the adherence to IG level edits and CMS standard syntax errors as depicted in the CMS edit spreadsheet. **Three** (3) possible acknowledgement values are:
 - “A” – Accepted
 - “R” – Rejected
 - “P” – Partially Accepted

Key Segments of the 999 Acknowledgement Report

Key Segments	Description of Key Segment
AK1	Functional Group Response Header
AK2	Transaction Set Response Header
IK3	Error Identification (Represents the Segment in Error)
CTX Segment Context	Related to IK3 - Describes the context within the segment
CTX Business Unit Identifier	Also related to IK3

Guide, Chapter 4, Section 4.7

Appendix 4B. 999 Acknowledgment Reports, Key Segments and Descriptions

Key Segments of the 999 Acknowledgement Report (cont.)

Key Segments	Description of Key Segment
IK4	TR3 Data Element Note - reports an error at the data element level and, if required, there is a CTX context segment after the IK4 to describe the context within the segment
CTX Element Context	Related to IK4
IK5	Transaction Set Response Trailer (always present) – notes the transaction set's accept or reject status
AK9	Functional Group Response Trailer (always present) – notes the functional group's accept or reject status

Guide, Chapter 4, Section 4.7

Appendix 4B. 999 Acknowledgment Reports, Key Segments and Descriptions

Example 1: 999A

```

1  ISA*00*      *00*      *ZZ*80882      *ZZ*ENC9999 → *120410*0802*^*00501*003125081*0*T*~
2  GS*FA*80882*ENC9999*20120410*08021518*3112795*X*005010X231A1~
3  ST*999*112795001*005010X231A1~
4  AK1*HC*135*005010X222A1~
5  AK2*837*000000135*005010X222A1~¶
6  IK5*A~
7  AK9*A*1*1*1~
8  SE*6*112795001~
9  GE*1*3112795~
10 IEA*1*003125081~¶

```

Guide, Chapter 4, Section 4.7

Example 2: 999R

```

1→ ISA*00* → *00* → *ZZ*80882 → *ZZ*ENC9999 → *120406*0804*^*00501*003038950*0*T*~¶
2→ GS*FA*80882*ENC9999*20120406*08043574*3026654*X*005010X231A1~¶
3→ ST*999*26654001*005010X231A1~¶
4→ AK1*HC*133*005010X222A1~¶
5→ AK2*837*000000133*005010X222A1~¶
6→ IK3*SBR*689*2430*7~¶
7→ CTX*CLM01:2012020399900522TC11~¶
8→ IK3*AMT*698*2320*8~¶
9→ CTX*CLM01:2012020399900522TC11~¶
10→ IK4*2**7*000000000021~¶
11→ IK3*SBR*735*2430*7~¶
12→ CTX*CLM01:2012030799900224TC11~¶
13→ IK3*AMT*744*2320*8~¶
14→ CTX*CLM01:2012030799900224TC11~¶
15→ IK4*2**7*000000000015~¶
16→ IK5*R*15~¶
17→ AK2*837*000020850*005010X222A1~¶
18→ IK3*SVD*31*2430*8~¶
19→ CTX*CLM01:P2752560~¶
20→ IK4*1**2*H9999~¶
21→ CTX*SITUATIONAL-TRIGGER***2330~¶
22→ IK5*R*15~¶
23→ AK9*R*2*1*0~¶
24→ SE*16*26654001~¶
25→ GE*1*3026654~¶
26→ IEA*1*003038950~¶

```

Guide, Chapter 4, Section 4.7

Example 2: 999R

5 -> AK2*837*000000133*005010X222A1~
6 -> IK3*SBR*689*2430*7~
7 -> CTX*CLM01:2012020399900522TC11~
8 -> IK3*AMT*698*2320*8~
9 -> CTX*CLM01:2012020399900522TC11~
10 -> IK4*2**7*000000000021~
11 -> IK3*SBR*735*2430*7~
12 -> CTX*CLM01:2012030799900224TC11~
13 -> IK3*AMT*744*2320*8~
14 -> CTX*CLM01:2012030799900224TC11~
15 -> IK4*2**7*000000000015~
16 -> IK5*R*15~
17 -> AK2*837*000020860*005010K222A1~
18 -> IK3*SVD*3182430*8~
19 -> CTX*CLM01:P2752560~
20 -> IK4*1**2*H9999~
21 -> CTX*SITUATIONAL-TRIGGER***2330~
22 -> IK5*R*15~
23 -> AK9*R*2*1*0~
24 -> SE*16*26654001~

Guide, Chapter 4, Section 4.7

Example 2: 999R (cont.)

```
5 -> AK2*837*00000133*005010X222A1~  
6 -> IK3*SBR*689*2430*7~  
7 -> CTX*CLM01:2012020399900522TC11~  
8 -> IK3*AMT*698*2320*8~  
9 -> CTX*CLM01:2012020399900522TC11~  
10 -> IK4*2**7*000000000021~  
11 -> IK3*SBR*735*2430*7~  
12 -> CTX*CLM01:2012030799900224TC11~  
13 -> IK3*AMT*744*2320*8~  
14 -> CTX*CLM01:2012030799900224TC11~  
15 -> IK4*2**7*00000000015~  
16 -> IK5*R*15~
```

Error:

EDR Identifier Number

2012020399900522TC11, Error IK304 =
7, **Segment Not in Proper Sequence**

Resolution:

In the 2430 Loop, move the SBR segment to the correct sequence/location in the data string.

Reconciling 999 Reports (cont.)

```
5 -> AK2*837*00000133*005010X222A1~
6 -> IK3*SBR*689*2430*7~
7 -> CTX*CLM01:2012020399900522TC11~
8 -> IK3*AMT*698*2320*8~
9 -> CTX*CLM01:2012020399900522TC11~
10 -> IK4*1**7*000000000021~
11 -> IK3*SBR*735*2430*7~
12 -> CTX*CLM01:2012030799900224TC11~
13 -> IK3*AMT*744*2320*8~
14 -> CTX*CLM01:2012030799900224TC11~
15 -> IK4*2**7*000000000015~
16 -> IK5*R*I5~
```

Error:

EDR Identifier Number
2012020399900522TC11, Error
IK304 = 8, **Segment has data
element errors**

Resolution: The amount field must
not have leading zeroes.

Reconciling 999 Reports (cont.)

5 -> AK2*837*00000133*005010X222A1~
6 -> IK3*SBR*689*2430*7~
7 -> CTX*CLM01:2012020399900522TC11~
8 -> IK3*AMT*698*2320*8~
9 -> CTX*CLM01:2012020399900522TC11~
10 -> IK4*2**7*000000000021~
11 -> IK3*SBR*735*2430*7~
12 -> CTX*CLM01:2012030799900224TC11~
13 -> IK3*AMT*744*2320*8~
14 -> CTX*CLM01:20120307999000224TC11~
15 -> IK4*2**7*00000000015~
16 -> IK5*R*15~
17 -> AK2*837*000020860*005010K222A1~
18 -> IK3*SVD*3182430*8~
19 -> CTX*CLM01:P2752560~
20 -> IK4*1**2*H9999~
21 -> CTX*SITUATIONAL-TRIGGER***2330~
22 -> IK5*R*15~
23 -> AK9*R*2*1*0~
24 -> SE*16*26654001~

Guide, Chapter 4, Section 4.7

Reconciling 999 Reports (cont.)

17 -> AK2*837*000020860*005010K222A1~
18 -> IK3*SVD*31*2430*8~
19 -> CTX*CLM01:P2752560~
20 -> IK4*1**I12*H9999~
21 -> CTX*SITUATIONAL-TRIGGER***2330~
22 -> IK5*R*15~
23 -> AK9*R*2*1*0~
24 -> SE*16*26654001~

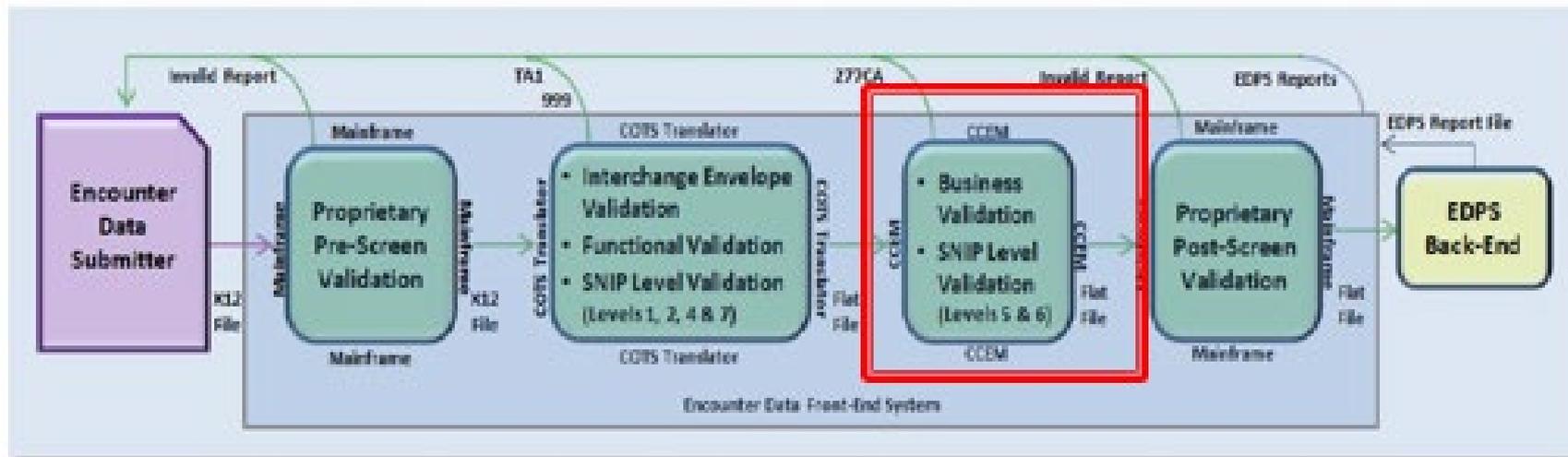
Error:

EDR Identifier Number P2752560, Error IK304 = 8, **Segment has data element errors. IK403 = I12 Implementation Pattern Match Failure.**

Resolution:

The values in the following data elements must match: 2430 Loop, data element SVD01 and 2330B Loop, data element NM109.

Transaction Sets Phase (277CA Reports)



COTS = Commercial Off-the-Shelf; SNIP = Strategic National Implementation Process; CCEM = Combined Common Edits Module; EDPS = Encounter Data Processing System

277CA Reports

- Provides status of each EDR or CRR as either accepted or rejected due to CCEM edits.
- Hierarchical level (HL) structure - 4 levels:
 1. Information Source (HL Code = 20); Sender of the 277CA (i.e., Palmetto GBA)
 2. Information Receiver (HL Code = 21); Submitter of data to CMS
 3. Provider of Service (HL Code = 19); Billing Provider
 4. Patient (HL Code = PT); Beneficiary

Guide, Chapter 4, Section 4.8

Appendix 4C – 277CA Acknowledgment Reports Key Segments

277CA Reports (cont.)

- When the EDR or CRR is rejected at any hierarchical level, the entire EDR or CRR will reject and the submitter will be required to correct and resubmit the encounter until it is accepted.

Guide, Chapter 4, Section 4.8

Appendix 4C – 277CA Acknowledgment Reports Key Segments

277CA Reports (cont.)

```
1 ISA*00* *00* *ZZ*80882 *ZZ*ENC9999 *120403*0318*^*00501*260000242*0*T*.~  
2 GS*HN*ENC9999*80882*20120403*24163833*X*005010X214-  
3 ST*277*000000001*005010X214~  
4 BHT*0085*08*17171*20170620*19125100*TH~  
5 HL*1**20*1~  
6 NM1*PR*2*CMSEDS*****PI*80882-  
7 TRN*1*8088220170620000001~  
8 DTP*050*D8*20170620~  
9 DTP*009*D8*20170620~
```

Guide, Chapter 4, Section 4.8

277CA Reports (cont.)

```
10 HL*2*1*21*1~
```

```
11 NM1*41*2*WESTMORE*****46*ENC9999~
```

```
12 TRN*2*DCED2749-4COE-49D2-AC01-87AED~
```

Guide, Chapter 4, Section 4.8

277CA Reports (cont.)

```
13 STC*A1:19:PR*20170620*WQ*2793529.31~  
14 REF*1K*1717170010802~  
15 REF*D9*5552232358~  
16 REF*BLT*111~  
17 DTP*472*RD8*20170529-20170531~
```

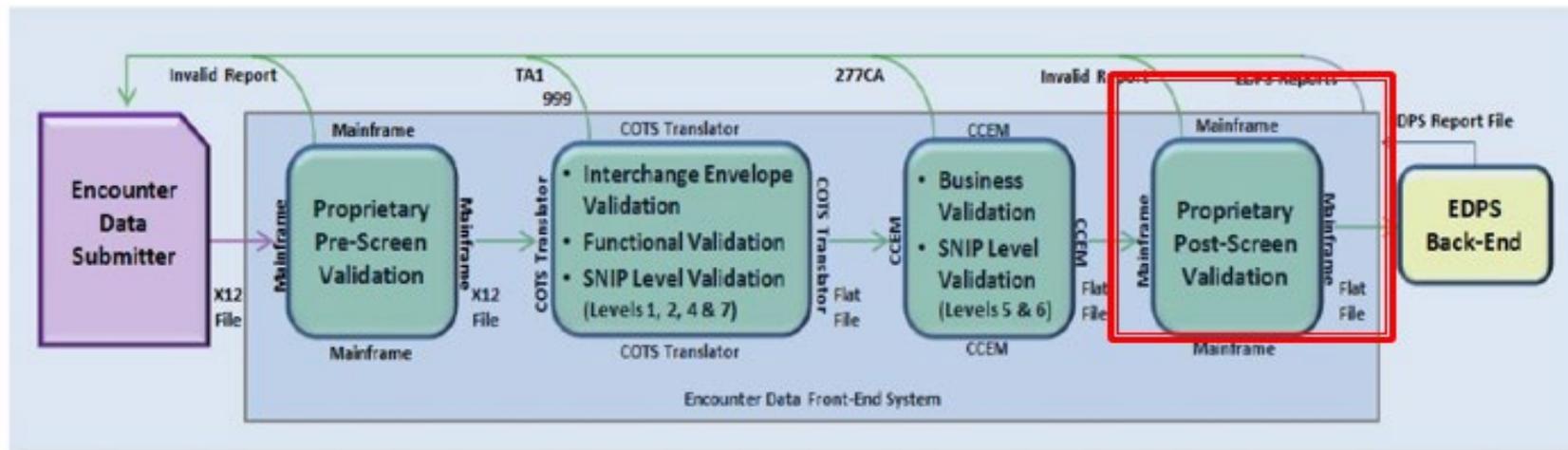
Guide, Chapter 4, Section 4.8

277CA Reports (cont.)

```
20 TRN*2*58531107184MER~  
21 STC*A7:500:85**U*208~  
22 DTP*472*RD8*2016065-20160816~  
23 SE*2*00000001~  
24 GE*1*24163833-  
25 IEA*1*260000242~
```

Guide, Chapter 4, Section 4.8

Proprietary Post-Screen Validation



COTS = Commercial Off-the-Shelf; SNIP = Strategic National Implementation Process; CCEM = Combined Common Edits Module; EDPS = Encounter Data Processing System

Post-Screening Validation & Invalid Report

- The Post-Screening Invalid Report notifies MAO when file fails
- When the Post-Screening Invalid Report is generated, file will not proceed to the EDPS for processing.

Sample Post-Screening Invalid Report

```
FILE NAME: XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX  
FILE CONTROL: XXXXXXXX NUMBER OF CLAIMS: 99,999  
FILE WILL NOT PROCEED FOR FURTHER PROCESSING FOR THE FOLLOWING REASON(S)  
XXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXXX
```

Guide, Chapter 4, Section 4.10

Post-Screening – All Files Submitted Report

EDR/CRR Type	Notification Message	INST	PROF	DME
All files submitted	At least one EDR is missing a contract ID in the 2010BB-REF02 segment	Y	Y	Y
All files submitted	Billing provider loop is missing	Y	Y	Y
All files submitted	CAS adjustment amount must not be 0	Y	Y	Y
All files submitted	Contract ID cannot be the same as the submitter ID	Y	Y	Y
All files submitted	Date of service cannot be before 2011	Y	Y	Y
All files submitted	File ID (XXXXXXXXXX) is a duplicate of a file ID sent within the last 12 months	Y	Y	Y

Post-Screening – All Files Submitted Report (cont.)

EDR/CRR Type	Notification Message	INST	PROF	DME
All files submitted	See service type columns	File cannot exceed 5,000 EDRs	File cannot exceed 85,000 EDRs	File cannot exceed 85,000 EDRs
All files submitted	Submitter not authorized to send EDRs for this contract (Contract ID)	Y	Y	Y
All files submitted	Transaction set (ST/SE) (xxxxxxxx) cannot exceed 5,000 claims	Y	Y	Y
Production files submitted	Submitter not certified for production	Y	Y	Y

Post-Screening End-to-End Testing Report

EDR/CRR Type	Notification Message	INST	PROF	DME
End-to-End Testing	Additional files cannot be validated until an MAO-002 report has been received	Y	Y	Y
End-to-End Testing	File contains (x) test case (x) encounter(s)	Y	Y	Y
End-to-End Testing	Patient control number is more than 20 characters long the TC# was truncated	Y	Y	Y
End-to-End Testing	See service type columns	File cannot contain more than 6 EDRs	File cannot contain more than 6 EDRs	File cannot contain more than 4 EDRs

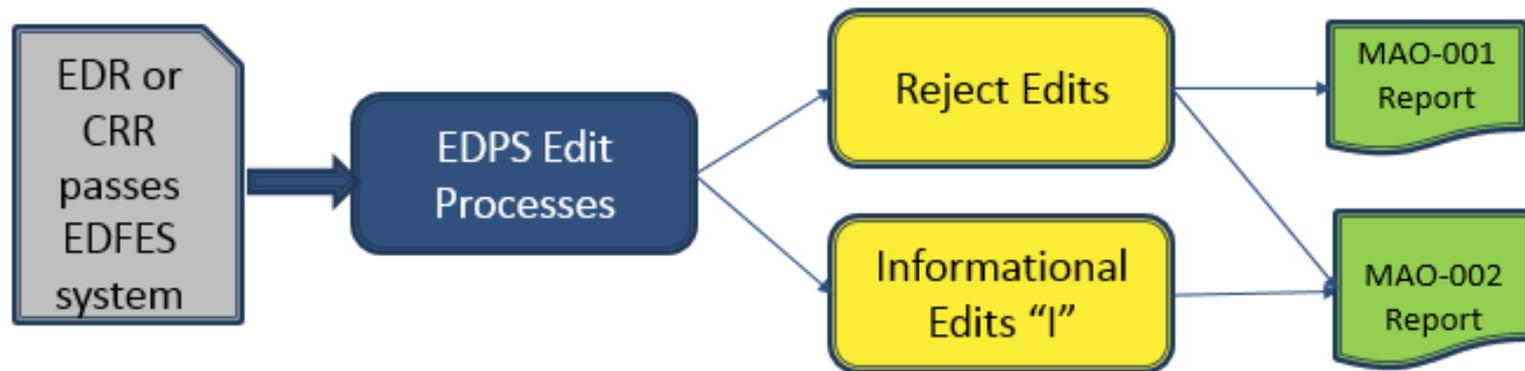
Post-Screening Tier 2 Files Submitted Report

EDR/CRR Type	Notification Message	INST	PROF	DME
Tier 2 files submitted	The contract ID has (x,xxx) claims in this file. Only 2,000 are allowed	Y	Y	Y
Tier 2 files submitted	The interchange usage indicator must equal 'T'	Y	Y	Y

Encounter Data

Encounter Data Processing System (EDPS) Reports

EDPS Processing



EDPS Reports

EDPS Report Type	Description
MAO-001 Encounter Data Duplicates	<p>Lists all encounters that received duplicate errors (98300, 98325, 98320, and 98315)</p> <p>*Medicare Advantage Organizations and other entities will not receive the MAO-001 report if there are no duplicate errors received on submitted encounters</p> <p>* MAOs will not receive the MAO-001 report on test files. MAO-001 reports are generated for Production files only.</p>
MAO-002 Encounter Data Processing Status	<p>Lists the accepted and rejected status of all encounters at the claim (header) and line levels, along with edit codes and brief edit descriptions.</p>

Guide, Chapter 5, Section 5.3

Duplicate Edits

Duplicate Edits

98300 – Exact Inpatient Duplicate Encounter

98315 – Linked Chart Review Duplicate

98320 – Chart Review Duplicate

98325 – Service Line(s) Duplicated

Guide, Chapter 5, Section 5.3

Sample MAO-001 Record Data Duplicates Report

Encounter Data Duplicates Report
Report Run Date 04/24/2018 04:30AM
Medicare Advantage Contract ID: H9999
PRCD

Page 1
Report ID: MAO-001

Submission Interchange Number: ENC00000000100000000000
Report Date: 04/24/2018
Transaction Date: 04/21/2018

Identify original encounter ID

Identify duplicate encounter ID

Compare Dates

Plan	Record Type	Encounter ID (CCN)	Encounter ICH	Encounter Line Number	Duplicate Plan	Encounter ID (CCN)	Duplicate Encounter ICH	Duplicate Encounter Line Number	Beneficiary ID	Date of Service	Error Code
PRD		201728210000000	1811000000000	001	438558	1721000000000	001		000000000A	05/25/2017	98325
PRD		201808170000000	1811000000000	001	201725170000000	1835000000000	001		000000001A	08/22/2017	98325

TOURIS:

Total Number of Duplicate Encounter Lines Rejected: 2
Total Number of Encounter Lines Submitted: 588

Total Number of Encounter Records Submitted: 300

Check HICN/MBI

*Guide,
Chapter 5,
Section 5.3*

MAO-002 Encounter Data Processing Status Report

Encounter Data Processing Status Report						
Report Run Date 03/07/2013 12:58PM						
Medicare Advantage Contract ID: H9999						
Record Type	Plan Encounter ID (CCN)	Encounter ICN	Encounter Line Number	Encounter Status	Error	Error Description
837P	XXXXXXXXXX0001	010101010101010101010101010101	000	Rejected	-	-
			001	Rejected	98325	Service Line(s) Duplicated
			002	Rejected	98325	Service Line(s) Duplicated
837P	XXXXXXXXXX0002	020202020202020202020202020202	000	Accepted	-	-
			001	Accepted	-	-
			002	Accepted	-	-
TOTALS:						
Total Processing Errors:		2				
Total Number of Encounter Lines Accepted:			2	Total Number of Encounter Records Accepted		1
Total Number of Encounter Lines Rejected			2	Total Number of Encounter Records Rejected:		1
Total Number of Encounter Lines Submitted:			4	Total Number of Encounter Records Submitted:		2

MAO-002 Processing Status Report

Encounter Data Processing Status Report	
Report Run Date: 03/07/2013 12:58PM	
Medicare Advantage Contract ID: H9999	
Page 1	Submission Interchange Number: ENC000000000000120130305
Report ID: MAO-002	Report Date: 03/04/2013
	Transaction Date: 03/05/2013

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MAO-002 Processing Status Report (cont.)

Record Type	Plan Encounter ID (CCN)	Encounter ICN	Encounter Line Number	Encounter Status	Error	Error Description
837P	XXXXXXXXXX0001	010101010101010101010101010101	000	Rejected	Encounter Rejected	
			001	Rejected	98325	Service Line(s) Duplicated
			0002	Rejected	98325	Service Line(s) Duplicated
837P	XXXXXXXXXX0002	020202020202020202020202020202	000	Accepted	Encounter Accepted	
			001	Accepted	-	-
			002	Accepted	-	-

Encounter Status

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MAO-002 Processing Status Report (cont.)

TOTALS:			
Total Processing Errors:	2		
Total Number of Encounter Lines Accepted:	2	Total Number of Encounter Records Accepted	1
Total Number of Encounter Lines Rejected	2	Total Number of Encounter Records Rejected:	1
Total Number of Encounter Lines Submitted:	4	Total Number of Encounter Records Submitted:	2

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MAO-002 Edit Codes

Edit Code	Explanation
00265 – Correct/Replace or Void ICN Not in EODS (Encounter Operational Data Store) (Reject)	Reported when parent ICN on an adjustment/void EDR is invalid. If a submitter attempts to submit an adjustment/void EDR for a previously submitted record before receiving the MAO-002 report and the EDPS has not completed processing of that previously submitted record, the submitter may receive the error 00265
00760 – Adjusted Encounter Already Void/Adjusted (Reject)	If a submitter submits an initial adjustment EDR (ICN2) for a previously submitted EDR (ICN1) and then attempts to submit a subsequent adjustment EDR (ICN3) with the same parent ICN (ICN1), the submitter may receive the error 00760
00755 – Void Encounter Already Void/Adjusted (Reject)	If a submitter submits an initial void/adjustment EDR (ICN2) for a previously submitted EDR (ICN1) and then attempts to submit a subsequent void EDR (ICN3) with the same parent ICN (ICN1), the submitter may receive the error 00755

EDPS Scenario 1

Example 1: Wednesday Health Services sent an original encounter to the (Encounter Data System) EDS and received accepted Internal Control Number (ICN) 123456789. Dr. John May corrected the associated claim and resubmitted to Wednesday Health Services. Wednesday Health Services submitted the replacement encounter to the EDS using ICN 234567890. The encounter was rejected because the ICN was invalid for the replacement encounter submission.

EDPS Scenario 1 (cont.)

EDPS Edit Code	Edit Code Description	Disposition of Edit	INST/PROF/DME
00265	Correct/Replace or Void Internal Control Number ICN Not in EODS	R	ALL

EDPS Scenario 2

Example 2: Ohio Health Plan conducted an audit of Cincinnati City Hospital and discovered that an encounter not previously submitted to the EDS required an additional diagnosis code. On 3/15/2014, Ohio Health Plan submitted an unlinked chart review encounter to the EDS to include the additional diagnosis code. On 6/01/2014, Ohio Health Plan submitted the same unlinked chart review encounter to the EDS due to a clerical error. The EDS rejected the second submission of the unlinked chart review encounter because the EDS detected no changes between the two unlinked chart review encounters.

EDPS Scenario 2 (cont.)

EDPS Edit Code	Edit Code Description	Disposition of Edit	INST/PROF/DME
98320	Duplicate Chart Review	R	ALL

MAO-004 Reports

- 500 byte flat file produced by CMS
- Used to inform MAOs of risk adjustment eligibility of diagnosis data submitted on EDRs
- Sent to MAOs on monthly basis for EDRs submitted in immediately preceding month

MAO-004 Reports (cont.)

- Distributed to MAOs through MARx and EFT using Contract Identification Number
- Report Layout can be found in the Plan Communications User Guide (PCUG) at https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/Plan_Communications_User_Guide.html

MAO-004 Naming Convention

System	Type	Frequency	File Length	MAO-004 Report Dataset Naming Conventions
EFT mailbox	Data File	Monthly	500	Gentran Mailbox/TIBCO MFT Internet Server: P.Rxxxxx.MAO004PV.Dyyymmdd.Thhmsst Connect:Direct (Mainframe): zzzzzzzz.Rxxxxx.MAO004PV.Dyyymmdd.Thhmsst Connect:Direct (Non-Mainframe): [directory]Rxxxxx.MAO004PV.Dyyymmdd.Thhmsst
MARx UI	Data File	Monthly	500	P#MMA.@BDG5050.PLNxxxxx.Ryyyymm.Ddd.MAO004PV

Alternative for Accessing MAO-004 Reports

MAO-004 reports are also available on the MARx UI once they are released.

To access these reports on the MARx UI:

- Go to the “Reports” menu.
- Select “Monthly” frequency.
- Select “Start Month/Year”.
- Select “End Month/Year”.

Alternative for Accessing MAO-004 Reports (cont.)

- On the “Report/Data File” drop down select “Risk Adjustment Eligible Diagnosis Report”.
- Add your “Contract ID”.
- Select Find.
- The reports will populate and become available for download.
- NOTE: Do not specify file type. MARx takes about 10-20mins to retrieve archived MAO-004 reports, therefore, check back in the UI to download retrieved reports.

Report Restoration

- Reports stored in CMS repository for limited time
- MAOs may request report restoration under certain circumstances (e.g., reports not retrieved from mailbox within 14 days and deleted)
- CMS will restore based on the date the report was originally distributed to the MAO or other entity

Report Restoration (cont.)

- EDFES reports will not be restored if files are older than **20 business days**
- EDPS reports will not be restored if files are older than **60 business days**
- Requests to restore more than 200 files will not be accepted
- Contact Customer Service and Support Center Operations Help Desk for assistance

Appendix - Key Resources

Key CMS Resources found at [www. cssoperations.com](http://www.cssoperations.com)

- Encounter Data Submission and Processing Guide (*Guide*)
 - Appendices (4A – 4D)
- MA & Part D Communications Handbook (*Handbook*)
- CMS 5010 Edit Spreadsheets
- User Group Slides

Appendix - Key Resources (cont.)

Key Industry Resources

- ASC X12 Standards for Electronic Data Interchange Technical Report Type 3 Technical Reports found at www.wpc-edi.com
 - Health Care Claim 837 – Professional and Institutional (*TR3 Guide*)
 - Implementation Acknowledgment For Health Care Insurance (*999 Reports Guide*)
 - Health Care Claim Acknowledgment (*277 Reports Guide*)

Appendix – Key Resources (cont.)

CMS 5010 Spreadsheets

<https://www.cms.gov/Regulations-and-Guidance/Guidance/Transmittals/2017-Transmittals.html>

1. Key in “(EDI) Front End Updates’ in the “Filter On’ box
2. Select Transmittal #
 - R1806OTN –Version EA20173V01 (Institutional)
 - R1865OTN-Version EB20181V01 (Professional)
 - R1947OTN-Version CE20182V01 (DME)
3. Click on the link(s) under ‘Downloads’ at the bottom of the page.

Appendix - CMS 5010 Edit Spreadsheet – Identifying Implementation Date

Position	
1	Positions 1 & 2 indicate line of business: <ul style="list-style-type: none"> • EA = Part A (837-I) • EB = Part B (837-P) • CE = DME/Part B Drugs
2	
3	
3	Positions 3 – 6 indicate year (ex: 2015)
4	
5	
6	
7	Release quarter month (1 = January, 2 = April, 3 = July, 4 = October)
8	Positions 8 – 10 indicate spreadsheet version iteration number (ex: V01 = first iterations, V02 = second iteration)
9	
10	

Guide, Chapter 4, Section 4.8

Questions?

- Encounter Data Communications/Inquiry Inbox:
encounterdata@cms.hhs.gov