

Section G

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Test and Production Phases of EDI

This section is a step-by-step guide to becoming a successful EDI Trading Partner with the New Hampshire Department of Labor. Attaining EDI capability can be viewed as a three step process: 1) begin with completing a Trading Partner Profile, 2) send test transmissions to make sure your system and the NHDOL system can communicate with each other, and to check for complete, valid, and accurate data, 3) attain and maintain full production capability. The steps outlined below are meant to help you through this process by providing you with information on what to expect in terms of electronic acknowledgments, what could go wrong along the way, and how to fix problems as they arise. Your NHDOL contact person is available to work with you during this process to make sure that the transition to attaining Production status in New Hampshire workers' compensation EDI is as successful as possible.

Step 1. Complete an EDI Sender's Trading Partner and Transmission Profile

Completing a Trading Partner Profile and Sender's Transmission Profile form is the first step in reporting workers' compensation EDI data to NHDOL. The form should be submitted to the Division at least 30 days before the first transmission of EDI data--at least 30 days before the Trading Partner sends the first test transmission (see Step 2). See Section F of this guide for details on who should complete a Trading Partner Profile and a Sender's Transmission Profile form.

1. Get a copy of the Trading Partner and Sender's Transmission Profile form

Form NHDOL_TPP and NHDOL_STP (Revised 01/12), entitled *EDI Sender's Trading Partner Profile, and Sender's Transmission Profile*, is available from the following sources:

- Section F--Trading Partner Profile.

New Hampshire Department of Labor, Division of Workers' Compensation web site at:

<http://www.nh.gov/labor/workers-comp/electronic-data/index.htm>

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- Call or e-mail your NHDOL contact--see Section B--Where to Get Help.

When contacting us, please provide your name, company, and the e-mail or mailing address you would like the form sent to, and we will mail you a copy.

2. Complete the form

The form contains instructions about how to complete it. If you need additional help completing the form, contact your NHDOL contact. The Trading Partner Profile form asks you to provide the following information:

- Your business name, FEIN, 9-digit postal code, address, and type of business (insurer, employer, TPA etc.).

- Name, phone, fax, and e-mail of 2 business contacts
- Name, phone, fax, and e-mail of 2 technical contacts

(When using a third party service provider use their technical contact as one of the technical contacts on this form)

Sender's Transmission Profile form asks you to provide the following information:

- Transmission mode (FTP)

On a Third Party Administrator Location List compile a list of all claim administrator names and FEINs whose data will be reported under the Sender ID of the Trading Partner profile (see Section F for more information). The NHDOL uses the claim administrator FEIN to process individual transactions. Since transactions for unknown claim administrators will be rejected by NHDOL, it is imperative that this information be provided along with the Trading Partner Profile form.

Trading Partners submitting reports for a number of carriers and/or self insured must complete a Trading Partner Insurer List form, (NHDOL_TPIL) On the Trading Partner Insurer List provide the FEIN and legal name for each carrier's and self-insured's FROIs you will be transmitting

3. Return the completed form to the Division

E-mail, mail or fax the Trading Partner, and Sender's Transmission Profile form and, if applicable, a list of claim administrator names and FEINs reported under that profile and the FEIN and legal name for each carrier's and self-insured's FROIs you will be transmitting to the state for, to the attention of your NHDOL contact person:

NHDOL Trading Partner Profile
Attn: NHDOL Contact
Division of Worker' Compensation
EDI Unit, Information Systems
95 Pleasant St.
Concord, NH 03301
E-Mail EDI@dol.nh.gov
Fax: (603)-271-6149

4. Wait for approval of your Trading Partner Forms

- Your NHDOL contact person will review your Trading Partner and Sender's Transmission Profile for completeness and accuracy. If there are any questions, you will be notified.
- Upon approval of your application a mailbox, user account and ID, will be setup for using the New Hampshire FTP servers, you will be notified when this is set up. You are now ready to move into the Test phase and may begin sending test files (see Step 2) to assess the capability of your system to send transmissions to NHDOL.

Step 2. Complete the Test Phase

Purpose

The purpose of the Test phase is to make sure that your transmissions meet certain technical specifications. NHDOL needs to be able to recognize and process your transmissions, and your system needs to be able to recognize and process transmissions from NHDOL. The following are checked during the test:

- The **transmission mode** (FTP Mailbox) for both report and acknowledgment files is functional and acceptable for both receiver and sender,
- The **sender ID** is valid and recognized by the receiver and vice versa,
- The **file format** (flat file) matches the file format specified in the Trading Partner Profile of the sender and is structurally valid,
- The **batch format** of files sent by the Trading Partner is correct, (i.e., each batch contains an appropriate header record, one or more transaction records, and a trailer record, and the number of records sent matches the number indicated in the trailer).

Order of Testing

The Test (Step 2), phase is done separately for each transaction type supported by NHDOL: (MTC's 00, 01, 02, CO)

Test Criteria

In order for your system and the NHDOL system to communicate successfully, the following conditions must be met:

- No errors in header or trailer records,
- TP can receive electronic acknowledgment (AKC/148) reports.

1. Prepare a test file

Trading Partners send data to NHDOL in **batches**. A batch consists of 3 parts:

- a header record which identifies the sender, receiver, test/production status, time and date sent etc.
- one or more transactions (First Reports of Injury),
- a trailer record which identifies the number of transactions in the batch.

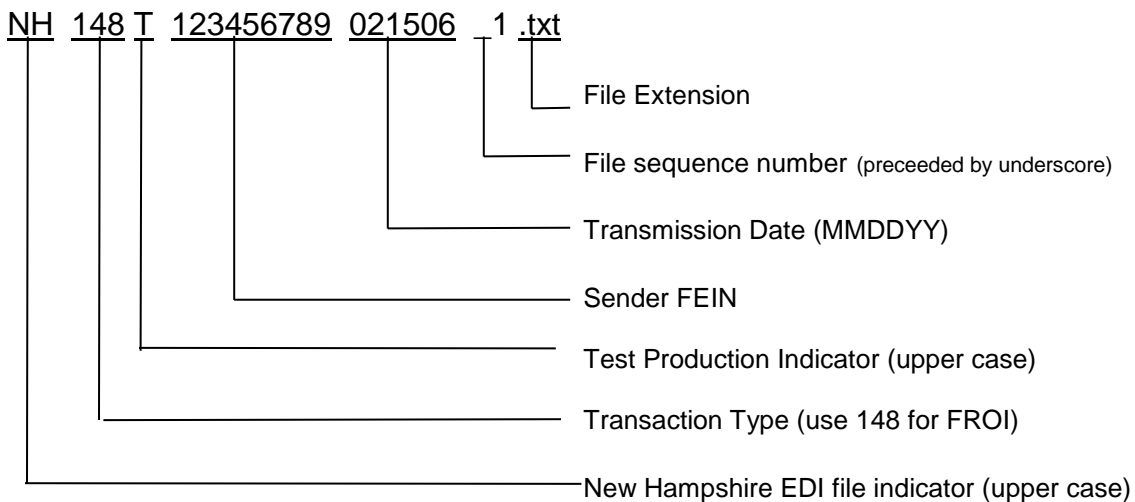
We suggest that the test file consist of one batch of 5 production-quality reports of unique claims, real or simulated. Each test file must have the Test/Production indicator (DN104) located in the Header record and in the filename set to “T”.

EDI Transmission File Naming Convention

NH DOL will require a special naming convention be used for the EDI file sent. The naming convention for EDI files sent to NHDOL is as follows, and the filename should be upper case characters:

NH148T123456789021506_1.txt

Where:

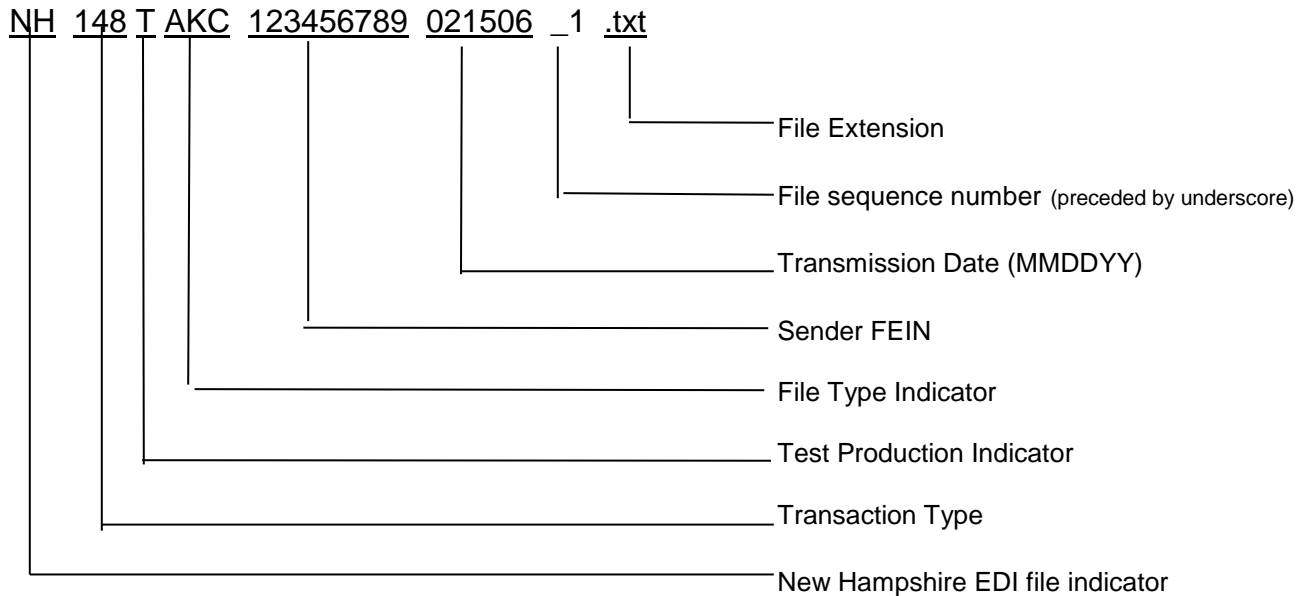


We will emulate the file name used by the sender i.e. if the sequence number for the incoming file was 2212 then the acknowledgement will use the same sequence number

The naming convention for the returned acknowledgment file is as follows:

NH148TAKC123456789021506_1.txt

Where:



2. Send the test file

Send the test file to NHDOL. The test data you send, if successful, will be posted to our test database. They will not be posted to the NHDOL production database. This means that any live New Hampshire claims sent as test data will have to be sent to NHDOL again as production data using your current sending method, in order to be posted to the NHDOL production database. You may also receive some number of errors based on the employer FEIN not being in our testing database.

3. Wait for electronic acknowledgment from NHDOL

Trading Partners must be able to receive and process an electronic acknowledgment--AKC (flat file) from NHDOL. When a test file has been processed, an electronic acknowledgment will be transmitted to the Trading Partner's mailbox. The acknowledgment will report whether the transmission was successful or not, and, if not successful, any errors that occurred.

Note that if the test file is missing the header, or if the sender ID in the header is not recognized by NHDOL, no acknowledgment will be sent.

NHDOL Edit checks and Error reporting are detailed in the NHDOL “Release 3-FROI Requirements Table”.

Trading Partners should receive an electronic acknowledgment within 2 business days of sending the transmission. If you do not receive an acknowledgment within 2 business days, contact your NHDOL contact person. NHDOL schedules files to be picked up from the mailboxes once per day. Keep this in mind when assigning file sequence numbers, should another file come in with the same name before we process; the previous file may be overwritten.

4. Process the acknowledgment and correct any errors

If you receive an acknowledgment error (Application Acknowledgement Code (DN 111) = TR or “transmission rejected”), you will need to check the batch’s file format, and make corrections before re-transmitting the file to NHDOL. Note that processing of the file will stop on finding the first Fatal Error. If the acknowledgement indicates a Transmission Rejected then the entire file should be looked at for structural correctness and Fatal Data Elements. Acknowledgements that indicate TR (transaction rejected) will not be entered into the NHDOL database and risk late filing penalties.

If the acknowledgments have a TA code (“Transaction Accepted”), skip to step 6.

Should the Acknowledgement have a “TE” Transaction accepted with errors the report will be added to the NHDOL database. It is up to you as to whether or not you want to correct the error or not. In production mode you may get a call from someone at the NHDOL asking you to send a correction to correct the field that was in error. (typically employer FEIN)

5. Retransmit corrected file to NHDOL

Send the corrected file to NHDOL. If your test fails again, repeat steps (2) through (5) until your test file is accepted by NHDOL (no TR code). You may send as many test files as you need to but each test file should have a different file name, new date or sequence number. Let your NHDOL contact know if you have any questions or problems along the way.

6. Notify the Division when you are ready to move on to the Production Phase

When NHDOL accepts your test transmission without technical errors, this means that your system and the NHDOL system are able to successfully communicate with each other and your files are in a format readable by NHDOL. We suggest you send some original first reports, MTC00, then follow that up with corrections or changes (MTC02 and MTC CO). Note you must send the jurisdiction claim number (DN0005) supplied in the acknowledgement of the original first report in corrections or changes. Let your NHDOL contact know when you have successfully transmitted test files.

If you feel confident from the acknowledgements you are getting from NHDOL, contact your contact person and your Trading Partner Profile on the NHDOL system will be updated to prepare NHDOL for your production files.

Your NHDOL contact will notify you when the NHDOL system is ready to accept your production data. You may then begin transmitting production data as described in the next Step in the next section.

Data Quality Criteria

Reports transmitted to NHDOL via EDI, are tested for **completeness** and **validity** using automatic built-in data edits on the NHDOL system. NHDOL suggests that these claims should meet or exceed the following two data quality criteria:

- No more than 5% of transmitted reports are rejected (Application Acknowledgment Code = TR or “transaction rejected”). This is the same as saying that at least 95% of transmitted reports are free of any errors in mandatory/fatal or conditional/fatal data elements, AND
- Of the accepted reports ($\geq 95\%$ of transmitted reports), no more than 10% contain errors (Application Acknowledgment Code = TE or “accepted with errors”). This is the same as saying that at least 90% of the accepted reports are free of any errors in mandatory/serious or conditional/serious data elements.

** NHDOL will continue to monitor data for the above data quality standards. Should you continue to fall below these standards you will be notified and risk losing production status which will result in you having to revert to your old method of sending FROI's on paper or get late filing penalties.**

The data reporting requirements for each data element are listed in Section K– Required Data Elements.

Test/Production Indicator

The Test/Production indicator (DN104) located in the Header record and the Test Production indicator in the filename is set to “P” during the production stage. Data are posted to the New Hampshire NHDOL live database.

Maintenance Type Codes supported

The following are the maintenance type codes supported in New Hampshire for FROIs at this time:

NHDOL First Report of Injury (FROI) Maintenance Types Supported		
MTC	Description	Definition

00	Original	The original/initial first report transmitted between partners, including the re-transmission of a first report that was rejected due to critical error
01	Cancel	The original first report was sent in error
02	Change	The claim administrator initiates a Change MTC when it identifies a change in a data element designated on the Element Requirement Table.
CO	Correction	Corrected data element values are transmitted in response to an acknowledgement containing non-critical errors.

During the Production process, Trading Partners may also need to submit reports with MTC CO (Correction) in order to correct data reported in error or to fill in missing data. Trading Partners may also submit reports with MTC 02 (Change) to update any previously reported data elements that were accepted without error. Whenever a correction or a change is sent be sure to include the jurisdiction claim number (DN0005) supplied in the acknowledgement of the original first report filing.

After a report type has been successfully tested, all other maintenance type codes for that report type become reportable. For example, once a Trading Partner has successfully tested Original First Reports, the 01, 02, and CO maintenance type codes for first reports are reportable. Depending on overall Trading Partner performance, New Hampshire may later choose to incorporate additional maintenance type codes into the testing requirements.

Moving to Production Status

When the data quality criteria of the Test phase have been met for given transactions, the Trading Partner will be approved for Production status for those transactions. Once Production status for a transaction type has been granted, you will no longer be required to send the corresponding paper report to the Department of Labor, Division of Worker's Compensation.

Step 3. Production

Congratulations! You are now officially in Production for EDI reporting of workers' compensation FROI data with the State of New Hampshire Division of Workers' Compensation. During Production, the following conditions apply:

Paper Reports

The EDI First Report fulfills the requirement to submit paper copies of the Employer's Report (Form 8WC) to the New Hampshire Department of Labor, Workers Compensation Division, pursuant to Labor Code RSA 281-A:53 III

Data Quality Requirements

Data sent to NHDOL will continue to be monitored for completeness and validity. The following are guidelines for data quality that Trading Partners should strive to meet or exceed:

- At least 95% of transmitted reports should be free of any errors in *mandatory/fatal* and *conditional/fatal* data elements,
- At least 90% of accepted reports should be free of any errors in *mandatory/serious* and *conditional/serious* data elements.

** NHDOL will continue to monitor data for the above data quality standards. Should you continue to fall below these standards you will be notified and risk losing production status which will result in you having to revert to your old method of sending FROL's or get late filing penalties.**

Data Quality

NHDOL monitors the quality of data received from Trading Partners during the Testing and Production phases. The system tracks all outstanding errors. You will be notified should we find that you are consistently falling out of the aforementioned data quality standards, and you may risk losing your production trading partner status.

Trading Partner Profile

Trading Partner Profiles must be kept up-to-date. The Division must be notified of any changes to the Trading Partner Profile, since these may affect whether NHDOL recognizes your transmissions. Note that if the transmission mode (FTP) or transmission specifications (flat file) are changed, this may require re-testing some or all types of transactions.