

# 1 PA EDI Transaction Partner Testing Requirements

## **Procedures for Onboarding Pennsylvania EDI Transaction Partners**

BWC provides the option for Claims EDI Transaction Partners to submit EDI transactions to BWC on behalf of their trading partner clients. The list of approved EDI Transaction Partners is available on the WCAIS project website:

<http://www.dli.pa.gov/Businesses/Compensation/Pages/default.aspx>

## **Test Plan Development**

Annually the bureau will offer a 30-day EDI transaction partner application period between September 1 and September 30. Applications to become an EDI Transaction Partner will only be accepted during this time each year. During this period, EDI Transaction Partner applicants will send all required documents to BWC.

The Trading Partner documents are required to be completed, signed and submitted before the testing can begin. EDI Transaction partners applying to conduct business in PA must complete the application process within the annual 30-day period between September 1 and September 30. During the application period transaction partners must complete the Transaction Partner Questionnaire, successfully complete the interview process, provide a demonstration to the PA BWC EDI Test Team that their system capabilities are sufficient to meet PA requirements, and complete and send the PA Trading Partner Agreement, PA Transmission Profile, PA Claim Administrator Address List and PA Claim Administrator ID List to BWC via the Customer Service Center on the WCAIS log-in page (by choosing 'Submit a Question' in the dropdown menu). The question category is EDI and sub-category is Trading Partner Agreements (the forms, and instructions for completing them, can be found in Section 6 of the EDI Implementation Guide). You may attach the application by clicking on the '+Show Documents' link and uploading the documentation. Additional instructions (including further contact information) will be provided to you upon receipt and processing.

BWC will notify the EDI Transaction Partner when they are approved to move to testing and begin submitting EDI transactions. It is the responsibility of applicant transaction partners to inform their trading partners of all testing requirements including timelines. All Trading Partners are responsible for complying with BWC reporting requirements and should undertake testing with their selected EDI Transaction Partners to ensure compliance with the Pennsylvania Workers' Compensation Act (77 P.S. §§ 1-2708) ("Act") and related regulations (34 Pa. Code §§ 111.1-131.204) ("Regulations"). In addition, EDI transaction partners must ensure their system maintains the ability to process multiple EDI batch runs daily, and make the WCAIS generated forms available to trading partners.

- **Test Plan**

The bureau’s annual 90-day open testing period will occur between the dates of October 1, and December 31. EDI Transaction Partners will certify that each Trading Partner is authorized to send and receive injury reports and acknowledgement files that meet the requirements set forth within the BWC Claims EDI Implementation Guide. Although approved EDI Transaction Partners, when utilized, are responsible for submission of EDI transactions, it is the responsibility of the Trading Partners to comply with the requirements within this guide, specifically regarding the timing and quality of the information submitted.

Testing between EDI Transaction Partners and BWC will follow the steps outlined below. EDI Transaction Partners must follow the required testing procedures to ensure that all Trading Partners are able to comply with BWC’s requirements.

You must contact the BWC EDI Test Team prior to sending any test transaction(s):

- If you have any questions about the test,
- To confirm your testing readiness, or
- If you have not heard from the BWC EDI Test Team prior to the start date of your scheduled test period.

You may contact the BWC EDI Test Team via the contact information provided in the previous step.

- **Test Plan Procedures**

All testing must be completed in accordance with the following 90 day EDI Testing Calendar:

<b>Activity</b>	<b>Process</b>	<b>Start Date</b>	<b>End Date</b>
30 day EDI transaction partner application period	Submit Application with PA	September 1	September 30
WCAIS Application Testing with EDI Transaction Partners	EDI Transaction Partner Testing with PA	October 1	December 31
EDI Transaction Partner is responsible for testing with their Trading Partners within the timeframe.	EDI Transaction Partner Testing with Trading Partner	October 1	December 31

## **Test Overview**

There are five parts of the BWC approval process:

1. Administrative Requirements
2. Technical Test (of SFTP capability and file formats), and Test Batch Run Capability
3. Business Test File (First Reports of Injury), and Business Test File (Subsequent Reports of Injury/Including Forms Generation Transactions)
4. Pennsylvania Test Completion (Production Status Granted)

Testing will continue until the EDI Transaction Partner meets BWC data quality requirements as detailed in part 2 thru part 5, or until the 90-day test period expires. If transaction acceptance rates are substandard to identified acceptance levels, continuing the testing process may require additional test documents from those described below. Extra testing steps may be required should the tester not pass a given level of testing.

If an EDI Transaction Partner is unable to successfully complete the testing procedures within the 90-day test period, the EDI Transaction Partner will be rejected but can reapply during a future open application period.

A Trading Partner utilizing an EDI Transaction Partner is required to work with the EDI Transaction Partner until successfully completing the testing procedures outlined in this EDI Implementation Guide.

The Trading Partners must continue to provide BWC with the appropriate EDI Release 3 FROIs, compensable and subsequent transactions, and paper forms per the Act and the Regulations for all live claims submitted during the testing period.

### **Part 1: Administrative Requirements**

Each potential EDI transaction partner submitting tests, is required to consult the BWC EDI Test Team to coordinate testing.

As part of the EDI Transaction Partner documents, BWC requires the establishment of an email box/address for formal notifications and other documents that may need to be sent from BWC to EDI Transaction Partners outside of EDI.

Once the BWC EDI Test Team has received and acknowledged the EDI Transaction Partner documents, the BWC EDI Test Team will contact you to review testing guidelines, address any questions you may have, and confirm the scheduled time frames each EDI Transaction Partner will submit test files. Test transactions are required to be submitted on test workers' compensation claims chosen by the EDI Transaction Partner.

## **Part 2: Technical Test File**

The first test process is the technical test. Once received, BWC will process and acknowledge the test file (the EDI Transaction Partner's technical capability). During this phase of the test procedure, the sender transmits a file of one original First Report of Injury to BWC. The test file must consist of the following transactions:

- Header record (with the Test/Production indicator (DN 104) set to "T")
- One "00," original First Report of Injury transaction
- Trailer Record

Three days are allowed for the test. Several tests should be submitted daily to ensure capability to comply with multiple daily batch run times. On the first day of the scheduled test period, the EDI Transaction Partner sends the Technical Capability Test File. Once the file is sent, the EDI Transaction Partner must notify the BWC EDI Test Team that the file has been sent via the previously established contact method.

The following information should be contained in the technical notification email:

- Date and time the test file was sent
- Sender FTP mailbox that sent the file
- Contact phone number and email address

In response to the EDI Transaction Partner's technical notification email, BWC will process the test file(s) through the WCAIS EDI system's edit processes and will return an Acknowledgement to the EDI Transaction Partner. The Acknowledgement to a Technical Test File will contain a "T" in the Test/Production Indicator in the Header record.

If the file is technically acceptable, the business test begins. If there are data content edits found in the technical test of the First Report of Injury, there will be no further action taken from an EDI perspective. The technical test is designed to test the following: Note all testing must be completed by December 31.

- Connectivity
- File structure
- File technical content (Fatal Errors)

## **Follow Up Procedures**

Responses to test files are automatically created. If the EDI Transaction Partner does not receive a return acknowledgment file within one day of sending the test file, contact the BWC EDI Test Team via the previously established contact method.

When part 2 (Technical Test) has been completed, the BWC EDI Test Team will advise the EDI Transaction Partners to proceed to part 3 below.

## **Part 3: Business Test File (First Reports of Injury, Subsequent Reports of Injury, Including Forms Generation Transactions)**

After BWC's acknowledgement that the Technical Test File has been received and the BWC EDI Test team has approved the capability portion of the test, the EDI Transaction Partner will forward the first of the Business Content Test Files to BWC. BWC requires that the Business Content Test Files be sent in multiple separate file transmissions during several separate batch periods during the EDI Transaction Partner's assigned test period to confirm accurate sequencing is applied.

Each Business Test File FROI transaction must meet the following conditions:

- Must be sent from the EDI Transaction Partner's EDI system
- Must reflect the full spectrum of required FROI and SROI reports required by PA.
- Must demonstrate ability to send in each of the four batches per day (9am, 2pm, 7pm, and 11:59:59pm).

The Business Test File must contain the following information in the transaction:

- Header Record (with DN 104, Test/Production Indicator, set to "T")
- FROI or SROI MTC and data
- Trailer Record

A second or follow up Business Test File cannot be sent until you have received the Acknowledgements from the previous file. The second test file should be sent immediately after receiving the Acknowledgement from the first test file.

All outstanding "TRs" from the prior batch must be resubmitted in accordance with the error message received

If the EDI Transaction Partner has not received an acknowledgement to the Business Test File within one business day following the date it sent the file, contact the BWC EDI Test Team via the previously established contact method.

## **Data Quality Requirements for Business Test Files**

Upon receipt of a Business Test File, BWC will process the file through the WCAIS EDI system's edit process and will return the detailed Acknowledgements. The EDI Transaction Partner must review the detailed Acknowledgements and implement corrective claims handling and solutions for any errors on transactions assigned TR status.

- TR status will be assigned to a transaction that was rejected for not passing requirements.

The testing and evaluation process continues until all Business Test Files are processed and acknowledged and the EDI Transaction Partner has met the BWC Data Quality requirements, or the testing time period has elapsed. All Transaction Partners must complete all testing during the scheduled test period. BWC Business Test File data quality requirements are:

FROI File requirements

- A minimum of **90%** are accepted with a TA status
- No more than **10%** are rejected with a TR status

SROI

- A minimum of **85%** accepted with a TA status
- No more than **15%** rejected with a TR status

When all tests in Step 3 are completed, the BWC Test Team will notify the EDI Transaction Partner that testing is complete.

Prior to December 31, the BWC EDI Test Team will notify the EDI Transaction Partner(s) that they are approved for production; BWC will not accept EDI Release 3 transactions before December 31 from newly approved EDI Transaction partners.

- **Test A: Generation of Notice of Compensation Denial (LIBC-496)**

The purpose of this process is to verify if the Claim Administrator has implemented the necessary changes to their system that would trigger the generation of the Notice of Compensation Denial (LIBC-496) based on the following EDI transaction/maintenance type codes:

- FROI 04
- SROI 04
- FROI 02
- SROI 02

FROI 04

1. The Claim Administrator must submit a FROI 04 transaction with Full Denial Reason Code (DN0198) '2.B.'. NCD # 1 is generated.

#### FROI 02

1. The Claim Administrator must submit a FROI 02 with Full Denial Reason Code (DN0198) '3.A.' to change the claim created in the FROI 04 scenario above. NCD # 3 is generated.

#### SROI 04

1. The Claim Administrator must submit a FROI 00 to create a new test claim.
2. The Claim Administrator follows up with a SROI 04 with Full Denial Reason Code (DN0198) '4.A.' and Denial Reason Narrative. NCD # 5 is generated and the narrative field under # 5 is populated.

#### SROI 02

1. The Claim Administrator must submit a SROI 02 with Full Denial Reason Code (DN0198) '3.I.' to change the denial information on the claim created in the SROI 04 scenario above. NCD # 3 is generated.

### • **Test B: Generation of Notice Stopping Temporary Compensation Payable (LIBC-502)**

The purpose of this process is to verify if the Claim Administrator has implemented the changes that would result in the generation of the Notice Stopping Temporary Compensation Payable (LIBC-501) based on the following EDI transaction/maintenance type codes:

- SROI 04
- SROI PD

#### SROI 04

1. The Claim Administrator must submit a FROI 00 to create a new test claim.
2. The Claim Administrator must submit an IP transaction with Agreement to Compensate Code (DN0075) 'W'.
3. The Claim Administrator follows up with a SROI 04 with Full Denial Reason Code (DN0198) '4.A.'

#### SROI PD

1. The Claim Administrator must submit a FROI 00 to create a new test claim.
2. The Claim Administrator must submit a PY transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'M'.
3. The Claim Administrator must submit an IP transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I'.
4. The Claim Administrator follows up with a SROI PD with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'M'.

- **Test C. Generation of Notice of Temporary Compensation Payable (LIBC-501)**

The purpose of this process is to verify if the Claim Administrator has implemented the changes that would result in the generation of the Notice of Temporary Compensation Payable (LIBC-501) based on the following EDI transaction/maintenance type codes:

- SROI IP
- SROI PY
- SROI AP
- SROI RB
- SROI RE
- SROI 02
- SROI PD
- SROI CA

**SROI IP**

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I'.

**SROI PY**

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI PY transaction with Agreement to Compensate Code (DN0075) = 'W' and Claim Type code (DN0074) 'M'.

**SROI AP**

1. Claim Admin submits a FROI AU to create a new test claim.
2. Claim Admin submits a SROI AP transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I'.

**SROI RB**

1. Using the claim in the SROI IP test from above, Claim Admin submits a SROI 04 transaction with Full Denial Reason Code (DN0198) '4.A.'
2. Claim Admin submits a SROI RB transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I' to reinstate benefits.

**SROI 02**

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'W'.
3. Claim Admin submits a SROI 02 updating the Initial Date Disability Began.

**SROI PD**

1. Claim Admin submits a FROI 00 to create a new test claim.



2. Claim Admin submits a SROI PD with Agreement to Compensate code (DN0075) "W" and Claim Type code (DN0074) 'M'.

#### SROI RE

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI RE with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I' lowering the Average Wage (DN0286) and Calculated Weekly Compensation Amount (DN0134).

#### SROI CA

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI CA with Agreement to Compensate Code (DN0075) 'W' and Claim Type code (DN0074) 'I' increasing the Average Wage (DN0286) and Calculated Weekly Compensation Amount (DN0134).

### • **Test D: Generation of Notice of Compensation Payable (LIBC-495)**

The purpose of this process is to verify if the Claim Administrator has implemented the changes that would result in the generation of the Notice of Compensation Payable (LIBC-495) based on the following EDI transaction/maintenance type codes:

- SROI IP
- SROI PY
- SROI AP
- SROI RB
- SROI 02
- SROI CA
- SROI PD

#### SROI IP

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) = 'L' and Claim Type code (DN0074) 'I'.

#### SROI PY

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI PY transaction with Agreement to Compensate Code (DN0075) = 'L' and Claim Type code (DN0074) 'M'.

#### SROI AP

1. Claim Admin submits a FROI AU to create a new test claim.

2. Claim Admin submits a SROI AP transaction with Agreement to Compensate Code (DN0075) = 'L' and Claim Type code (DN0074) 'I'.

#### SROI RB

1. Using the claim in the SROI IP test from above, Claim Admin submits a SROI 04 transaction with Full Denial Reason Code (DN0198) '4.A.'
2. Claim Admin submits a SROI RB transaction with Agreement to Compensate code (DN0075) 'L' and Claim Type code (DN0074) 'I' to reinstate benefits.

#### SROI 02

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI an IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI 02 with an amended Benefit Period Start Date (DN0088).

#### SROI PD

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI PD with Agreement to Compensate code (DN0075) "L" and Claim Type code (DN0074) 'M'.

#### SROI CA

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI CA transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I' increasing the Average Wage (DN0286) and Calculated Weekly Compensation Amount (DN0134).

### • **Test E: Remaining FROI Transactions**

#### FROI 01

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a FROI 01 to cancel the claim.

#### FROI AQ

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin Submits a FROI AQ with a different (but still valid) Claim Administrator FEIN to show the claim was acquired.

#### FROI UR

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin contacts BWC with test JCN and Claim Admin Claim Number to update the claim to legacy.

3. Claim Admin submits a FROI UR.

## • **Test F: Remaining SROI Transactions**

### SROI AB

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI AB to report a concurrent benefit type.

### SROI CB

4. Claim Admin submits a FROI 00 to create a new test claim.
5. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
6. Claim Admin submits a SROI CB to report a change in Benefit Type.

### SROI Px

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI P1\* to report a partial suspension due to a return to work.

\*Repeat steps 1-3 until the SROI P4, SROI P7, & SROI PJ have also been successfully tested.

### SROI Sx

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin submits a SROI S1\* to report a suspension due to return to work.

\* Repeat steps 1-3 until the SROI S3, SROI S4, SROI S7, SROI S8, SROI SD, and SROI SJ have also been successfully tested.

### SROI FN

1. Using the claim in the SROI S1 test from above, Claim Admin submits a SROI FN to close the claim.

### SROI UR

1. Claim Admin submits a FROI 00 to create a new test claim.
2. Claim Admin submits a SROI IP transaction with Agreement to Compensate Code (DN0075) 'L' and Claim Type code (DN0074) 'I'.
3. Claim Admin contacts BWC with test JCN and Claim Admin Claim Number to update the claim to legacy.

4. Claim Admin submits a SROI UR with Agreement to Compensate Code (DN0075) 'L', Claim Type code (DN0074) 'I', a Suspension Effective Date (DN0193), and a Suspension Narrative (DN0233)

### **Important Reminders for Moving into Production:**

1. Remember to change the Test/Production indicator in the header record to "P" for Production before sending production files.
2. All Subsequent Reports of Injury require that a First Report of Injury on the same claim be sent previously and acknowledged with a "TA." The SROI must also have the Jurisdiction Claim Number assigned to the claim via the FROI acknowledgment.
3. Continue with the "P" indicator unless informed by BWC that the data quality of First Reports or Subsequent Reports of Injury no longer meet BWC's requirements. See Data Quality Requirements for Business Test Files for a review of these requirements.
4. Ensure your system is prepared to process EDI multiple batch runs daily.
5. Ensure your system is prepared to receive forms generated through EDI transactions, and can provide them to trading partners.

### **Ongoing Monitoring of Production Status**

BWC will continue to monitor EDI Data Quality for every EDI Transaction Partner. If the EDI Transaction Partner's data quality falls below the BWC Data Quality Requirements of 90% FROI acceptance rate, and/or 85% SROI acceptance rate, for five (5) consecutive transmissions, Pennsylvania may require the EDI Transaction Partners to adhere to the following:

- Increasingly higher Data Quality Requirements may be imposed to correct problems and to avoid excessive submissions and the continuing review of the Administrator's written responses.
- The EDI Transaction Partners are required by BWC to submit a written report to the BWC EDI Test Team. The written report is to include the cause and corrective action taken by the Employer/Sender for each error noted on the Acknowledgment file for the last five transmission files (those that fell below the quality threshold).
- The EDI Transaction Partner may be required to participate in a fact-finding meeting to determine why Data Quality Requirements have not been achieved.

Failure to adhere to the aforementioned BWC EDI Data Quality Requirements may result in the suspension of privileges to submit EDI transaction to PA. EDI Transaction Partners that have privileges suspended will have to reapply during the next open application period, and successfully complete testing in the testing time frames before submitting EDI transactions to PA in the production environment.