



# PA PROMIS*e*<sup>TM</sup>

## **EDIaaS Communication Plan for Managed Care**

The Pennsylvania (PA) PROMIS*e*<sup>TM</sup> EDI as a Service (EDIaaS) Communication Plan details the X12 batch file naming standard, contains guidelines for Trading Partners on how to create certain segments within an X12 batch file, and provides the response files returned to Trading Partners who submit X12 batch files to PROMIS*e*<sup>TM</sup> for processing.

# Table of Contents

|   |           |
|---|-----------|
| <b>Batch File Naming Standard.....</b>  | <b>3</b>  |
| <b>Batch File Creation Guidelines .....</b>                                       | <b>3</b>  |
| Batch File Creation - Delimiter characters.....                                   | 3         |
| Batch File Creation - Interchange and Application Sender ID and Receiver ID ..... | 4         |
| Batch File Creation - Functional Group Header and Trailer .....                   | 4         |
| Batch File Creation - GS/GE segments .....  | 5         |
| Batch File Creation - Removal of leading and trailing zero.....                   | 5         |
| Batch File Creation - Non-printable characters.....                               | 6         |
| Batch File Creation - Ending segment syntax .....                                 | 6         |
| Batch File Creation - ISA segment .....   | 7         |
| Batch File Creation - Loop 2000B, SBR segment.....                                | 7         |
| Batch File Creation - Loop 2010AA, N3 segment .....                               | 7         |
| Batch File Creation - Loop 2310A, NM1 segment.....                                | 8         |
| Batch File Creation - Loop 2320, SBR segment .....                                | 8         |
| Batch File Creation - Loop 2400, LX segment.....                                  | 8         |
| Batch File Creation - IEA segment.....  | 9         |
| <b>Batch File Receival Guidelines.....</b>  | <b>10</b> |
| Batch File Receival - Loop 2300, DPT segment.....                                 | 10        |
| <b>Response Files returned to Trading Partners.....</b>                           | <b>11</b> |
| <b>References.....</b>  | <b>12</b> |

## **Batch File Naming Standard**

The PA PROMISE™ EDI as a Service (EDIaaS) Communication Plan details the X12 batch file naming standard.

[Best practice] Trading Partners (MCO Plans) submit to PROMISE™ their originally named 837 X12 batch files for processing by PROMISE™ as a zip file. The file format is 837JJSS.MM.zip.

- 837 = constant value of 837.
- JJJ = Julian date.
- SS = two-digit sequence number.
- MM = two-character MCO Plan Code.

## **Batch File Creation Guidelines**

The PA PROMISE™ EDIaaS Communication Plan contains guidelines for Trading Partners on how to create certain segments within an X12 batch file.

### **Batch File Creation - Delimiter characters**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

A delimiter is a character (\*, ^, :, ~) used to separate two data elements or component elements or to terminate a segment. The delimiters are an integral part of the data. These delimiters are not to be used in a data element value elsewhere in the batch file [1-3, pg. B.5-B.6].

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

Character name delimiter are:

- \* Asterisk Data Element Separator
- ^ Carat Repetition Separator
- : Colon Component Element Separator
- ~ Tilde Segment Terminator

## **Batch File Creation - Interchange and Application Sender ID and Receiver ID**

For 270, 276, 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

SENDER ID is the same ID in both the Interchange Sender ID ISA06 and Application Sender's Code GS02 segments [1-3, pg. C.3, C.4, C.7].

RECEIVER ID is the same ID in both the Interchange Receiver ID ISA08 and Application Receiver's Code GS03 segments [1-3, pg. C.3, C.5, C.7].

### Proper Syntax Example

```
ISA*00*.....*01*SECRET*ZZ*SENDER*ZZ*  
RECEIVER*250301*1253*^*00501*000000905*1*T*:~  
GS*XX*SENDER*RECEIVER*20250301*0802*1*X*005010X...~
```

## **Batch File Creation - Functional Group Header and Trailer**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

Trading Partners are recommended when submitting multiple transactions in a single batch transaction to break up each transaction within different ST/SE pair transaction sets.

GS Functional Group Header, starts a group of related transaction sets.

ST Transaction Set Header, starts a transaction set.

LS Loop Header, starts a bounded loop of data segments but is not part of the loop.

NLS Loop Header, starts an inner, nested, bounded loop.

NLE Loop Trailer, ends an inner, nested bounded loop.

LE Loop Trailer, ends a bounded loop of data segments but is not part of the loop.

SE Transaction Set Trailer, ends a transaction set.

GE Functional Group Trailer, ends a group of related transaction sets [1-3, pg. B.16-B.17].

The control segment of this standard must have a nested relationship as is shown, the letters preceding the control segment name are the segment identifier for that control segment. The indentation of segment identifiers shown below indicates the subordination among control segments [1-3, pg. B.16].

More than one ST/SE pair, each representing a transaction set, may be used within one GS/SE pair functional group. Also more than one LS/LE pair, each representing a bounded loop, may be used within one ST/SE pair transaction set [1-3, pg. B.17].

### **Batch File Creation - GS/GE segments**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

Functional Group Header Control Number GS06 cannot contain leading zero. GS06 must be identical to the Functional Group Trailer Control Number GE02. Data element Number of Transaction Sets Included GE01 indicates the number of transaction sets within the functional group. The count of the transaction sets is kept while interpreting the functional group, this count is then verified with data element GE01. GS06 must be unique within a single transmission (that is, within a single ISA to IEA enveloping structure) [1-3, pg. B.20-B.21].

EDIaaS will return a HTML file and no 999 file to the Trading Partner in this situation because this is a full file interchange failure.

#### **Improper Syntax Example**

```
GS*XX*SENDER*RECEIVER*20250301*0800*01*X*005010X CODE~
```

```
GE*1*1~
```

```
GS*XX*SENDER*RECEIVER*20250301*0800*1*X*005010X CODE~
```

```
GE*1*01~
```

#### **Proper Syntax Example**

```
GS*XX*SENDER*RECEIVER*20250301*0800*1*X*005010X CODE~
```

```
GE*1*1~
```

### **Batch File Creation - Removal of leading and trailing zero**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

For 820, 834, and 835 X12 batch file retrieval [New requirement].

The decimal point always appears in the character stream if the decimal point is at any place other than the right end. If the value is an integer (decimal point at the right end) the decimal point must be omitted. For negative values, the leading minus sign (-) is used. Absence of a sign indicates a positive value. The plus sign (+) must not be transmitted [1-3, pg. B.8].

Leading zeros must be suppressed unless necessary to satisfy a minimum length requirement. Trailing zeros following the decimal point must be suppressed unless necessary to indicate precision. The use of triad separators (for example, the commas in 1,000,000) is expressly prohibited. The length of a decimal type data element does not include the optional leading sign or decimal point [1-3, pg. B.8].

### Example

A transmitted value of 12.34 represents a decimal value of 12.34

A transmitted value of 02.34 represents a decimal value of 2.34

A transmitted value of 00.34 represents a decimal value of .34

A transmitted value of 12.30 represents a decimal value of 12.3

A transmitted value of 12.00 represents a decimal value of 12

### **Batch File Creation - Non-printable characters**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

Non-printable characters are not to be included as field values for segments in the incoming X12 batch file.

This is a unique situation with the input data where the non-printable characters submitted passed EDIaaS compliance and generate an accepted 999. However, the non-printable characters cause a failure in the EDIaaS translation resulting in no HTML and no EXT to be created and none of the transactions in the batch file are processed.

#### Improper Syntax Example

```
REF*G3*[Null]~
```

#### Proper Syntax Example

```
REF*G3*123456~
```

### **Batch File Creation - Ending segment syntax**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

Proper syntax for the ending segment when submitting transactions to PA PROMISE™ is to end with only ~ (Tilde Segment Terminator).

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

#### Improper Syntax Example

```
NM1*85*1*SMITH*JOHN*B****XX**~
```

```
NM1*85*1*SMITH*JOHN*B****XX*~
```

#### Proper Syntax Example

NM1\*85\*1\*SMITH\*JOHN\*B\*\*\*\*XX\*1234567890~

NM1\*85\*1\*SMITH\*JOHN\*B\*\*\*\*XX~

### **Batch File Creation - ISA segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

Acknowledgment Requested ISA14 in ISA – Interchange Control Header segment determines if EDIaaS returns an TA1 file after a batch file is submitted.

Acknowledgement Requested ISA14 set to 0 - No Interchange Acknowledgment Requested and 1 - Interchange Acknowledgment Requested (TA1) [1-3, pg. C.6].

### **Batch File Creation - Loop 2000B, SBR segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

Loop 2000B, SBR – Subscriber Information segment.

Claim Filing Indicator Code SBR09 is required to be submitted [1, pg. 113], [2, pg. 110-111], [3, pg. 118].

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

### **Improper Syntax Example**

SBR\*A\*18\*1001\* Subscriber\*005~

### **Proper Syntax Example**

SBR\*A\*18\*1001\* Subscriber\*005\*\*\*\*MB~

### **Batch File Creation - Loop 2010AA, N3 segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

837D 2010AA N3 segment – Billing Provider Address

837I 2010AA N3 segment – Billing Provider Address

837P 2010AA N3 segment – Billing Provider Address

The Billing Provider Address must be a street address. Billing Provider mailing address with the text such as “Post Office Box”, “PO Box”, “P.O. Box” or “Lock Box” are not to be sent in Loop 2010AA N3 segment [1, pg. 86], [2, pg. 87], [3, pg. 91].

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

**Batch File Creation - Loop 2310A, NM1 segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [Best practice].

Loop 2310A, NM1 – Referring Provider Name segment.

Entity Type Qualifier NM102 only valid value is 1 – Person. No other values are to be submitted [1, pg. 191], [2, pg. 320], [3, pg. 258].

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

**Batch File Creation - Loop 2320, SBR segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

Loop 2320, SBR – Other Subscriber Information segment.

Name SBR04 may not be submitted if Reference Identification SBR03 is submitted [1, pg. 223], [2, pg. 356], [3, pg. 297].

Name SBR04 is required to be submitted if SBR Reference Identification SBR03 is not submitted [1, pg. 223], [2, pg. 356], [3, pg. 297].

EDIaaS will return a HTML file to the Trading Partner in this situation and the related transactions in the batch file will reject.

**Batch File Creation - Loop 2400, LX segment**

For 837 Dental, Institutional, Professional X12 batch files [New requirement].

Loop 2400, LX – Service Line Number segment begins with the number 1 and is incremented by 1 for each additional service line of a claim [1, pg. 281], [2, pg. 423], [3, pg. 350].

**Improper Syntax Example**

LX\*01~

For multiple occurrences of Loop 2400, LX segment

LX\*1~

LX\*3~

LX\*5~



### Proper Syntax Example

LX\*1~

For multiple occurrences of Loop 2400, LX segment

LX\*1~

LX\*2~

LX\*3~

### **Batch File Creation - IEA segment**

For 837 Dental, Institutional, and Professional X12 batch file submission [New requirement].

Non-printable or additional characters are not to be included after the end of the IEA - Interchange Control Trailer segment.

This is a unique situation with the input data where the non-printable or additional characters submitted passed EDIaaS compliance and generate an accepted 999. However, these characters cause a failure in the EDIaaS translation resulting in no HTML and no EXT to be created and none of the transactions in the batch file are processed.

### Improper Syntax Example

IEA\*1\*000000905~[Null]

IEA\*1\*000000905~[Space]

IEA\*1\*000000905~[Alphanumeric]

### Proper Syntax Example

IEA\*1\*000000905~

## **Batch File Receival Guidelines**

The PA PROMISE™ EDIaaS Communication Plan contains guidelines for Trading Partners to understand any special situations when receiving X12 batch files.

### **Batch File Receival - Loop 2300, DPT segment**

For 834 Daily and 834 Monthly X12 batch file receival [New requirement].

A negated date range (From Date is greater than the To Date) will no longer be used to indication the inactivation of a previous date range with the Loop 2300:HD03 = EPO or FAC.

The inactivation of a previous date range for Loop 2300:HD03 = EPO or FAC will now be indicated in Loop 2300:DTP as DTP01 = 695, DPT02 = D8, and DPT03 = [To Date CCYYMMDD].

#### Previous Syntax Example

HD\*001\*\*EPO or FAC \*77~

DTP\*695\*RD8\*20250302-20250301~

#### New Syntax Example

HD\*001\*\*EPO or FAC\*77~

DTP\*695\*D8\*20250301~

## **Response Files returned to Trading Partners**

The PA PROMISE™ EDI as a Service (EDIaaS) Communication Plan provides the response files returned to Trading Partners who submit Managed Care X12 batch files using DHS SeGOV to PROMISE™ for processing.

### **Managed Care Batch 837 Dental, Institutional, Professional Response Transactions**

- ERROR (EDIaaS Authorization custom file)
  - ERROR file replaces the ZZZ Modified Implementation Acknowledgment for Health Care file.
- TA1 Interchange Acknowledgment for Health Care
  - TA1 file is an optional means of receiving a reply to an X12 batch file that has been sent for translation.
- 999 Implementation Acknowledgment for Health Care
  - 999 file is returned to confirm that a X12 file was received and indicate if the submitted transactions passed standard level syntax and structure editing.
  - 999 file includes information about whether transactions had errors.
- 277CA Health Care Claim Acknowledgment
  - 277CA file is an acknowledgement of all accepted and rejected transactions processed during translation from the 837 X12 batch file.
- HTML (EDIaaS Compliance Error Code custom file)
  - HTML file provides compliance errors translated into a readable HTML format.
- EXT (EDIaaS Transaction Status custom file; filename extension is lowercase ext)
  - EXT file contains transaction data based on the HIPPA 5010 standard along with the status of Accepted or Rejected for each transaction translated by EDIaaS.

Based on the translation of the submitted X12 batch file certain response files will be returned to the Trading Partner.

- Submitted X12 batch file generated an authorization error.
  - ERROR file is returned.
- All transactions in the submitted X12 batch file were Accepted during translation.
  - TA1 (optional), 999, 277CA, and EXT are returned.
- All transactions in the submitted X12 batch file were Rejected during translation.
  - TA1 (optional), 999, 277CA, HTML, and EXT are returned.
- Transactions in the submitted X12 file were Accepted and Rejected during translation.
  - TA1 (optional), 999, 277CA, HTML, and EXT are returned.

## **References**

- [1] ASC X12N/005010X224 Health Care Claim: Dental (837), Based on Version 5, Release 1; ASC X12 Standards for Electronic Data Interchange Technical Report Type 3 (TR3), May 2006. [www.wpc-edi.com](http://www.wpc-edi.com)
- [2] ASC X12N/005010X223 Health Care Claim: Institutional (837), Based on Version 5, Release 1; ASC X12 Standards for Electronic Data Interchange Technical Report Type 3 (TR3), May 2006. [www.wpc-edi.com](http://www.wpc-edi.com)
- [3] ASC X12N/005010X222 Health Care Claim: Professional (837), Based on Version 5, Release 1; ASC X12 Standards for Electronic Data Interchange Technical Report Type 3 (TR3), May 2006. [www.wpc-edi.com](http://www.wpc-edi.com)

Every effort has been made to ensure consistency between this document and the X12 TR3 also known as an X12 Implementation Guide (IG). However, if there is a discrepancy between the documents, the X12 TR3 is the final authority.

The X12 TR3 that details the full requirements for these transactions can be licensed at <https://x12.org/licensing>.