MMSEA Section 111
Medicare Secondary Payer
Mandatory Reporting

Liability Insurance (Including Self-Insurance), No-Fault Insurance, and Workers' Compensation
USER GUIDE

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MMSEA Section 111
Liability Insurance (Including Self-Insurance), No-Fault Insurance, and Worker's Compensation User Guide

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1 Summary of Version 1.0 Updates and Alert Regarding Certain Pending Issues

This is the initial version of the Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, and Workers' Compensation User Guide. In subsequent versions, this section will be used to describe changes from the previously published version.

The following are notable updates included in this guide since publication of the MMSEA 111 Interim Record Layout published on December 5, 2008 at www.cms.hhs.gov/MandatoryInsRep/Downloads/NGHPInterim120508.pdf:

- The December 5, 2008, Interim Record Layout was generally limited to the record layout, high level file submission information, basic information concerning who is an RRE/what triggers reporting. This User Guide goes beyond this by adding overview information on several topics, as well numerous sections of detailed technical information regarding registration, testing, file submission, response files, etc. A complete reading of this User Guide is advised. Now that there is a full User Guide, any future revisions (including additions or deletions) will be specifically identified.
- A query process that can be used to determine whether an individual is a Medicare beneficiary has been added. Query Input and Response File layouts specific to liability insurance (including self-insurance), no-fault insurance, and workers' compensation reporting are included.
- The values for the Action Type (Field 3) on the Claim Input Detail Record have been corrected.
- An additional value for the Action Type (Field 3) on the Claim Input Detail Record has been defined for reporting additional TPOC Amounts on subsequent update records.
- The Claim Response File Detail Record Layout has been modified to remove the Applied Injured Party SSN (Field 15). This field has been changed to filler.
- CMS has made a final decision on which code set will be used to describe an illness/injury/incident. In connection with this:
  - The Alleged Nature of Injury, Incident, Illness and Body Part Codes 1-5 have been removed on the Claim Input Detail Record Layout.
  - The definition for the Alleged Cause of Injury, Incident, Illness (now Field 15) on the Claim Input Detail Record layout has been changed to direct RREs to use the ICD-9-CM (International Classification of Diseases, Ninth Revision, Clinical Modification) External Cause of Injury "E Code" describing the alleged cause of injury/illness. In addition, the definitions and requirements for the ICD-9 Diagnosis Codes and Description of Incident, Illness or Injury have been updated.
  - Additional ICD-9 Diagnosis Code fields have been added to be consistent with internal CMS databases.
- A "Special Exception" note regarding reporting termination of ORM has been added in Section 11.6.
- Section 11.7 entitled "Special Reporting Extension for ORM and Special Qualified Reporting Exception for ORM Assumed Prior to July 1, 2009 Where

Such ORM Continues as of July 1, 2009" has been added to explain how far back RREs must go for Section 111 reporting.

Alert Regarding Certain Pending Issues:

- Interim dollar reporting threshold for "Total Payment Obligation to the Claimant" (TPOC) amounts -- CMS's decision on this issue will be released separately in the near future.

- Interim dollar reporting threshold for "Ongoing Responsibility for Medicals" (ORM) -- CMS has this issue under consideration.

- Further information regarding reporting for mass torts – This issue is still under discussion.

- ICD9 Codes – CMS is reviewing the codes to determine if there are certain codes which Responsible Reporting Entities (RREs) will be prohibited from submitting.

- Examples regarding "Who is the RRE" -- CMS is reviewing additional examples submitted by the industry for possible inclusion in the User Guide.

2 Introduction

This guide provides information and instructions for the Medicare Secondary Payer (MSP) liability insurance (including self-insurance), no-fault insurance and workers' compensation reporting requirements mandated by Section 111 of the Medicare, Medicaid and SCHIP Extension Act of 2007 (MMSEA) (P.L. 110-173). Entities responsible for complying with Section 111 are referred to as "Responsible Reporting Entities" or "RREs". An overview of Section 111 related legislation, MSP rules, and the reporting process is followed by detailed instructions and process requirements. Explanations regarding who is an RRE and how this reporting will be implemented are included in this guide. File specifications are located in appendices to this guide for easy reference.

This guide is for use by all Section 111 liability insurance (including self-insurance), no-fault insurance, and workers' compensation RREs.

Please note that the Centers for Medicare & Medicaid Services (CMS) is implementing the Section 111 requirements in phases. As time passes and we gain experience with Section 111 reporting, the data exchange requirements will continue to be refined and new processes added when necessary. CMS will issue revised versions of this Section 111 User Guide from time to time. Section 111 RREs will be notified when new versions are available. Please check the CMS Section 111 Web page often at www.cms.hhs.gov/MandatoryInsRep for the latest version of this guide and for other important information.

In addition to understanding the term RRE (see further explanation in Section 7) there are several other terms which are critical to understanding the Section 111 reporting process. These terms are frequently referred to throughout this guide:

- Ongoing responsibility for medicals (ORM) refers to the RRE's responsibility to pay, on an ongoing basis, for the injured party's (Medicare beneficiary's) medicals associated with a claim. This typically only applies to no-fault and workers' compensation claims. Please see Section 11.6 for a more complete explanation of ORM.
- The Total Payment Obligation to the Claimant (TPOC) refers to the dollar amount of a settlement, judgment, award, or other payment in addition to/apart from ORM. Please refer to the definition of the TPOC Date and TPOC Amount in Fields 100 and 101 of the Claim Input File Detail Record in Appendix A.
- The definition of the CMS Date of Incident (DOI) differs from the definition of that generally used by the insurance industry under specific circumstances. Please see the definition of the Fields 12 and 13 of the Claim Input File Detail Record in Appendix A for an explanation.

3 Section 111 Overview

Section 111 of the Medicare, Medicaid, and SCHIP Extension Act of 2007 (MMSEA Section 111) adds mandatory reporting requirements with respect to Medicare beneficiaries who have coverage under group health plan (GHP) arrangements as well as for Medicare beneficiaries who receive settlements, judgments, awards or other payment from liability insurance (including self-insurance), no-fault insurance, or workers' compensation. Implementation dates are January 1, 2009, for GHP arrangement information and July 1, 2009, for information concerning liability insurance (including self-insurance), no-fault insurance and workers' compensation. The MMSEA Section 111 statutory language (42 U.S.C. 1395y(b)(8) for the liability insurance (including self-insurance), no-fault insurance, and workers' compensation provisions) can be found in Appendix F of this guide. Section 111 authorizes CMS implementation by program instruction or otherwise. All implementation instructions, including this User Guide, are/will be available on (or through a download at) CMS' dedicated Web page: www.cms.hhs.gov/MandatoryInsRep.

Section 111:

- Adds reporting rules; it does not eliminate any existing statutory provisions or regulations.
- Does not eliminate CMS' existing processes, including for example, CMS' process for self-identifying pending liability insurance (including self-insurance), no-fault insurance, or workers' compensation claims to CMS' Coordination of Benefits Contractor (the COBC) or the processes followed by CMS' Medicare Secondary Payer Recovery Contractor (the MSPRC) for MSP recoveries, where appropriate.
- Includes penalties for noncompliance.
- Who Must Report:
    - "[A]n applicable plan."
    - "[T]he term 'applicable plan' means the following laws, plans, or other arrangements, including the fiduciary or administrator for such law, plan, or arrangement:
        - (i) Liability insurance (including self-insurance).
        - (ii) No-fault insurance.
        - (iii) Workers' compensation laws or plans."

      42 U.S.C.1395y(b)(8)(F)
- What Must Be Reported: The identity of a Medicare beneficiary whose illness, injury, incident, or accident was at issue as well as such other information specified by the Secretary to enable an appropriate determination concerning coordination of benefits, including any applicable recovery claim. Data elements determined by the Secretary.
- When/How Reporting Must be Done:
    - In a form and manner, including frequency, specified by the Secretary.
    - Information shall be submitted within a time specified by the Secretary after the claim is addressed/resolved (partially addressed/resolved through a settlement, judgment, award, or other payment, regardless of whether or not there is a determination or admission of liability.
    - Submissions will be in an electronic format.

NOTE: You must use the applicable statutory language in conjunction with "Attachment A – Definitions and Reporting Responsibilities" to the Supporting Statement for the Paperwork Reduction Act (PRA) Notice published in the Federal Register. See Attachment A in order to determine if you are an RRE for purposes of these new provisions. See also section 7.1 of this guide for further discussion of who is an RRE. The statutory language, the PRA Notice and the PRA Supporting Statement with Attachments are all available as downloads at www.cms.hhs.gov/MandatoryInsRep. Attachment A to the Supporting Statement provides details on definitions and exactly which entities must report. Attachment A is also available in Appendix G of this guide.

4 Medicare Entitlement, Eligibility, and Enrollment

This section provides a general overview of Medicare entitlement, eligibility and enrollment. Please refer to www.cms.hhs.gov for more information on this topic.

Medicare is a health insurance program for:

- people age 65 or older,
- people under age 65 with certain disabilities, and
- people of all ages with End-Stage Renal Disease (permanent kidney failure requiring dialysis or a kidney transplant).

Medicare has:

Part A Hospital Insurance - Most people receive premium-free Part A because they or a spouse already paid for it through their payroll taxes while working. Medicare Part A (Hospital Insurance or HI) helps cover inpatient care in hospitals and skilled nursing facilities (but not custodial or long-term care). It also helps cover hospice care and some home health care. Beneficiaries must meet certain conditions to receive these benefits.

Part B Medical Insurance - Most people pay a monthly premium for Part B. Medicare Part B (Supplemental Medical Insurance, or SMI) helps cover physician and other supplier items/services as well as hospital outpatient care. It also covers some other medical services that Part A doesn't cover, such as some of the services of physical and occupational therapists, and some home health care.

Part C Medicare Advantage Plan Coverage - Medicare Advantage Plans are health plan options (like HMOs and PPOs) approved by Medicare and run by private companies. These plans are part of the Medicare Program and are sometimes called “Part C” or “MA plans.” These plans are an alternative to the fee-for-service Part A and Part B coverage and often provide extra coverage for services such as vision or dental care.

Prescription Drug Coverage (Part D) - Starting January 1, 2006, Medicare prescription drug coverage became available to everyone with Medicare. Private companies provide the coverage. Beneficiaries choose the drug plan they wish to enroll in, and most will pay a monthly premium.

Exclusions - Medicare has various coverage and payment rules which determine whether or not a particular item or service will be covered and/or reimbursed.

5 MSP Overview

Note: The following paragraphs provide only a very high level overview of the MSP provisions related to liability insurance (including self-insurance), no-fault insurance and workers' compensation. Medicare beneficiaries, attorneys, insurers, self-insured entities, third party administrators and their agents are always responsible for understanding when there is coverage primary to Medicare, notifying Medicare when applicable, and for paying appropriately.

"Medicare Secondary Payer" (MSP) is the term used when the Medicare program does not have primary payment responsibility (that is, another entity has the responsibility for paying before Medicare.) Until 1980, the Medicare program was the primary payer in all cases except those involving workers' compensation (including black lung benefits) or for care which is the responsibility of another government entity. With the addition of the MSP provisions in 1980 (including as subsequently amended), Medicare is a secondary payer to group health plan coverage in certain situations and is always a secondary payer to liability insurance (including self-insurance), no-fault insurance, and workers' compensation.

Policies or self-insurance allegedly "supplemental" to Medicare -- By statute, Medicare is secondary to liability insurance (including self-insurance), no-fault insurance, and workers' compensation. An insurer or workers' compensation cannot, by contract or otherwise, supersede federal law.

The data collected under Section 111 reporting will be used by CMS in processing claims billed to Medicare for reimbursement for items and services furnished to Medicare beneficiaries and for MSP recovery efforts, as appropriate.

The Section 111 reporting responsibilities are an additional, more comprehensive method for obtaining information regarding situations where Medicare is appropriately a secondary payer. They do not replace or eliminate existing obligations under the MSP provisions for any entity. For example, Medicare beneficiaries who receive a liability settlement, judgment, award, or other payment have an obligation to refund associated conditional payments within 60 days of receipt of such settlement, judgment, award, or other payment. The Section 111 reporting requirements do not eliminate this obligation.

5.1 Liability Insurance (Including Self-Insurance) and No-Fault Insurance

Liability insurance (including self-insurance) is coverage that indemnifies or pays on behalf of the policyholder or self-insured entity against claims for negligence, inappropriate action, or inaction which results in injury or illness to an individual or damage to property. It includes, but is not limited to, the following:

- Homeowners' liability insurance
- Automobile liability insurance
- Product liability insurance

- Malpractice liability insurance
- Uninsured motorist liability insurance
- Underinsured motorist liability insurance

Pursuant to 42 C.F.R. Part 411.50: "*Liability insurance means insurance (including a self-insured plan) that provides payment based on legal liability for injury or illness or damage to property. It includes, but is not limited to, automobile liability insurance, uninsured motorist insurance, underinsured motorist insurance, homeowners' liability insurance, malpractice insurance, product liability insurance, and general casualty insurance. Liability insurance payment means a payment by a liability insurer, or an out-of-pocket payment, including a payment to cover a deductible required by a liability insurance policy, by any individual or other entity that carries liability insurance or is covered by a self-insured plan*."

See Appendix G for the CMS definition of "self-insurance." Essentially, individuals/entities engaged in a business, trade, or profession are self-insured to the extent they have not purchased liability insurance coverage. This includes responsibility for deductibles.

No-fault insurance is insurance that pays for health care services resulting from injury to an individual or damage to property in an accident, regardless of who is at fault for causing the accident. Some types of no-fault insurance include, but are not limited to the following:

- Certain forms of automobile insurance
- Certain homeowners' insurance
- Commercial insurance plans
- Medical Payments Coverage/Personal Injury Protection/Medical Expense Coverage

Pursuant to 42 C.F.R. Part 411.50: "*No-fault insurance means insurance that pays for medical expenses for injuries sustained on the property or premises of the insured, or in the use, occupancy, or operation of an automobile, regardless of who may have been responsible for causing the accident. This insurance includes but is not limited to automobile, homeowners, and commercial plans. It is sometimes called ''medical payments coverage'', ''personal injury protection'', or ''medical expense coverage''*."

In general, when the injured party is a Medicare beneficiary and the date of incident is on or after December 5, 1980, liability insurance (including self-insurance) and no-fault insurance are, by law, primary payers to Medicare. If a Medicare beneficiary has no-fault coverage, providers, physicians, and other suppliers must bill the no-fault insurer first. If a Medicare beneficiary has made a claim against liability insurance (including self-insurance), the provider, physician, or other supplier must bill the liability insurer first unless it has evidence that the liability insurance (including self-insurance) will not pay "promptly" as defined by CMS' regulations. (See 42 C.F.R. 411.21 and 411.50 for the definitions of the term "promptly.") If payment is not made within the defined period for prompt payment, the provider, physician, or other supplier may bill Medicare as primary. If the item or service is otherwise reimbursable under Medicare rules, Medicare may pay conditionally, subject to later recovery if there is a settlement, judgment, award or other payment.

5.2 Workers' Compensation

Workers' compensation is a law or plan of the United States, or any state, that compensates employees who get sick or injured on the job. Most employees are covered under workers' compensation plans. A workers' compensation law or plan means a law or program administered by a State (defined to include commonwealths, territories and possessions of the United States) or the United States to provide compensation to workers for work-related injuries and/or illnesses. The term includes a similar compensation plan established by an employer that is funded by such employer directly or indirectly through an insurer to provide compensation to a worker of such employer for a work-related injury or illness.

Pursuant to 42 C.F.R Part 411.40: *"'Workers' compensation plan of the United States'' includes the workers' compensation plans of the 50 States, the District of Columbia, American Samoa, Guam, Puerto Rico, and the Virgin Islands, as well as the systems provided under the Federal Employees' Compensation Act and the Longshoremen's and Harbor Workers' Compensation Act*."

Workers' compensation is a primary payer to the Medicare program for Medicare beneficiaries' work-related illnesses or injuries. Medicare beneficiaries are required to apply for all applicable workers' compensation benefits. If a Medicare beneficiary has workers' compensation coverage, providers, physicians, and other suppliers must bill workers' compensation first. If responsibility for the workers' compensation claim is in dispute and workers' compensation will not pay promptly, the provider, physician, or other supplier may bill Medicare as primary. If the item or service is otherwise reimbursable under Medicare rules, Medicare may pay conditionally, subject to later recovery if there is a subsequent settlement, judgment, award or other payment. (See 42 C.F.R. 411.21 for the definition of "promptly" for workers' compensation.)

5.3 Roles of CMS' Coordination of Benefits Contractor (COBC) and CMS' Medicare Secondary Payer Recovery Contractor (MSPRC)

The purpose of the Coordination of Benefits (COB) process is to identify primary payers to Medicare for the health benefits available to a Medicare beneficiary and to coordinate the payment process to prevent the mistaken or unnecessary conditional payment of Medicare benefits. The COBC consolidates the activities that support the collection, management, and reporting of other insurance or workers' compensation coverage for Medicare beneficiaries. The COBC does not process claims or answer claims specific inquiries, nor does it handle MSP recoveries. Instead, the COBC updates the CMS systems and databases used in the claims payment and recovery processes.

The COBC is assisting in the implementation of MMSEA Section 111 mandatory MSP reporting requirements as part of its responsibilities to collect information in order for CMS to coordinate benefits for Medicare beneficiaries. In this role, the COBC will assign each registered RRE an EDI (Electronic Data Interchange) representative to work with them on all aspects of the reporting process.

The MSPRC is responsible for the recovery of amounts owed to the Medicare program as a result of settlements, judgments, awards, or other payments by liability insurance (including self-insurance), no-fault insurance, or workers' compensation.

5.4 MSP Statutes, Regulations, and Guidance

The sections of the Social Security Act known as the Medicare Secondary Payer (MSP) provisions were originally enacted in the early 1980s and have been amended several times, including by the MMSEA Section 111 mandatory reporting requirements. Medicare has been secondary to workers' compensation benefits from the inception of the Medicare program in 1965. The liability insurance (including self-insurance) and no-fault insurance MSP provisions were effective December 5, 1980.

See 42 U.S.C. 1395y(b) [section 1862(b) of the Social Security Act], and 42 C.F.R. Part 411, for the applicable statutory and regulatory provisions. See also, CMS' manuals and Web pages for further detail. For Section 111 reporting purposes, use of the "Definitions and Reporting Responsibilities" document provided in Appendix G is critical.

6 Process Overview

The purpose of the Section 111 MSP reporting process is to enable CMS to pay appropriately for Medicare covered items and services furnished to Medicare beneficiaries by determining primary versus secondary payer responsibility. Section 111 requires RREs to submit information specified by the Secretary in a form and manner (including frequency) specified by the Secretary. The Secretary requires data for both Medicare claims processing and for MSP recovery actions, where applicable. RREs will submit information electronically on liability insurance (including self-insurance), no-fault insurance, and workers' compensation claims where the injured party is a Medicare beneficiary. The actual data submission process will take place between the RREs and the CMS Coordination of Benefits Contractor (the COBC). The COBC will manage the technical aspects of the Section 111 data submission process for all Section 111 RREs.

For purposes of RRE submissions, the term "**claim**" is used to refer to the overall claim for liability insurance (including self-insurance), no-fault insurance or workers' compensation rather than a single claim for a particular medical item or service. Claim information is to be submitted for individual claimants where the injured party is a Medicare beneficiary.

Section 111 RREs are required to register with the COBC and fully test the data submission process before submitting production files. RREs will then be assigned a quarterly file submission timeframe during which they are to submit files. Once in a production mode, RREs will submit their initial files containing information for all liability insurance (including self-insurance), no-fault insurance, and workers' compensation claims involving a Medicare beneficiary as the injured party where the settlement, judgment, award or other payment date is July 1, 2009, or subsequent, and claims on which ongoing responsibility for medical payments exists as of July 1, 2009, regardless of the date of an initial acceptance of payment responsibility (see the Qualified Exception in Section 11.7). Subsequent quarterly file submissions are to contain only new or changed claim information using add, delete and update transactions.

An RRE electronically transmits a claim data file to the COBC. The COBC processes the data in this *input file* by first editing the incoming data and then determines whether the submitted information identifies the injured party as a Medicare beneficiary. Other insurance information for Medicare beneficiaries derived from the input file is posted to other CMS databases by the COBC. This is then used by other Medicare contractors for claims processing to make sure Medicare pays secondary when appropriate and/or is passed to the CMS Medicare Secondary Payer Recovery Contractor (MSPRC) for recovery efforts. When this processing is completed or the prescribed time for response file generation has elapsed, the COBC electronically transmits a *response file* back to the RRE. The response file will include information on any errors found, disposition codes that indicate the results of processing, and MSP information as prescribed by the response file format.

RREs must implement a procedure in their claims review process to determine whether an injured party is a Medicare beneficiary and gather the information necessary for Section 111 reporting. Either the Social Security Number (SSN) or Medicare Health

Insurance Claim Number (HICN) must be included on Section 111 record submissions for each injured party. The CMS is allowing RREs to submit a query to the COBC to determine Medicare entitlement of the injured party prior to submitting claim information for Section 111 reporting. This query will assist the RRE in determining whether the claim must be reported under Section 111. The query record must contain the SSN, name, date of birth and gender of the injured party. On the query response record, the COBC will return information on whether the individual was identified as a Medicare beneficiary based upon the information submitted and if so, provide the HICN and other updated information for the individual found on the Medicare Beneficiary Database. The reason for Medicare entitlement and the actual dates of Medicare entitlement and enrollment are not returned on the query file response.

The COBC is implementing a new application on the COB Secure Web site (COBSW) for Section 111 processing. RREs will use this application on the COBSW to register and set up reporting account information for Section 111. Statistics related to file processing will be displayed in this application and RREs may also choose to exchange Section 111 files with the COBC via the COBSW.

Detailed specifications for the Section 111 reporting process are provided in the following sections of this guide.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance and Workers' Compensation Files

File Type	Description
Claim Input File	This is the data set transmitted from a MMSEA Section 111 RRE to the COBC that is used to report liability insurance (including self-insurance), no-fault insurance and workers' compensation claim information where the injured party is a Medicare beneficiary. This file is transmitted in a flat file format (there is no applicable HIPAA-compliant standard.)
Claim Response File	This is the data set transmitted from the COBC to the MMSEA Section 111 RRE after the information supplied in the RRE's Claim Input File has been processed. This file is transmitted in a flat file format.

File Type	Description
TIN Reference File	The TIN Reference File consists of a listing of the RRE's federal tax identification numbers (TINs) reported on the Claim Input File records and the business mailing address that is linked to the TIN and Office Code/Site ID combinations for the purposes of coordination of benefits and recovery. This file is transmitted in a flat file format.
Query Input File	This is an optional query file that can be used by an RRE to determine whether an injured party/claimant is a Medicare beneficiary. This file is transmitted using the ANSI X12 270/271 Entitlement Query transaction set.
Query Response File	After the COBC has processed the Query Input File it will return the Query Response File with a determination as to whether the information submitted for the queried injured party/claimant identifies the individual as a Medicare beneficiary. This file is transmitted using the ANSI X12 270/271 Entitlement Query transaction set.

7 Responsible Reporting Entities (RREs)

7.1 Who Must Report

- 42 U.S.C. 1395y(b)(8) provides that the "applicable plan" is the RRE and defines "applicable plan" as follows:

  > "APPLICABLE PLAN- In this paragraph, the term `applicable plan' means the following laws, plans, or other arrangements, including the fiduciary or administrator for such law, plan, or arrangement:
  > (i) Liability insurance (including self-insurance).
  > (ii) No fault insurance.
  > (iii) Workers' compensation laws or plans."

- As stated, you must use the applicable statutory language in conjunction with "Attachment A – Definitions and Reporting Responsibilities" to the Supporting Statement for the Paperwork Reduction Act (PRA) Notice published in the Federal Register in order to determine if you are a RRE for purposes of these new provisions. The statutory language, the PRA Notice and the PRA Supporting Statement with Attachments are all available as downloads at www.cms.hhs.gov/MandatoryInsRep. "Attachment A -- Definitions and Reporting Responsibilities" to the Supporting Statement provides details on definitions and exactly which entities must report. Attachment A can also be found in Appendix G of this guide.

- CMS is aware that the industry generally does not use the term "plan" or some other CMS definitions such as the definitions for "no-fault insurance" or "self-insurance". However, CMS is constrained by the language of the applicable statute and CMS' regulations. **It is critical that you understand and utilize CMS' definitions for purposes of Section 111 when reviewing and implementing Section 111 instructions**.

- Third party administrators (TPAs) as defined by CMS for purposes for 42 U.S.C. 1395y(b)(7) & (8) are never RREs for purposes of 42 U.S.C. 1395y(b)**(8)** [liability (including self-insurance), no-fault, and workers' compensation reporting] **based *solely* upon their status as this type of TPA.** (Note that for purposes of 42 U.S.C. 1395y (b)**(7)** reporting for group health plan arrangements, this type of TPA is automatically an RRE.)

  However, while entities which meet this definition of a TPA generally only act as agents for purposes of the liability insurance (including self-insurance, no-fault insurance, or workers' compensation reporting they may, under specified circumstances, also be an RRE. See, for example, the discussion of RREs for workers' compensation.

The RRE is limited to the "applicable plan" and may not by contract or otherwise limit its reporting responsibility although it may contract with a TPA or other entity for actual file submissions for reporting purposes. The applicable plan must either report directly or contract with the TPA or some other entity to submit data as its agent. Where an RRE uses another entity for claims processing or other purposes, it may wish to consider contracting with that entity as its agent for reporting purposes.

- Where an entity is self-insured for a deductible but the payment of that deductible is done through the insurer, then the insurer is responsible for including the deductible amount in the amount it reports as a settlement, judgment, award or other payment.

- Where there are multiple defendants involved in a settlement, an agreement to have one of the defendant's insurers issue any payment in obligation of a settlement, judgment, award or other does not shift RRE responsibility to the entity issuing the payment. All RREs involved in the settlement remain responsible for their own reporting.

- For re-insurance, stop loss insurance, excess insurance, umbrella insurance, guaranty funds, patient compensation funds, etc. which have responsibility beyond a certain limit, the key in determining whether or not reporting for 42 U.S.C. 1395y(b)(8) is required for these situations is whether or not the payment is to the injured claimant/representative of the injured claimant vs. payment being made to self-insured entity to reimburse the self-insured entity. Where payment is being made to reimburse the self-insured entity, the self-insured entity is the RRE for purposes of the payment made to the injured individual and no reporting is required by the insurer reimbursing the self-insured entity.

- RRE for liability self-insurance pools -- Entities self-insured in whole or in part with respect to liability may elect, where permitted by law, to join with other similarly situated entities in a self-insurance pool (e.g., joint powers authority). If the self-insurance pool (1) is a separate legal entity (2) with full responsibility to resolve and pay claims using pool funds (3) without involvement of the participating entity, the self-insurance pool is the responsible reporting entity. If all three aforementioned characteristics are not applicable to the self-insurance pool, the participating self-insured entity is the responsible reporting entity.

- RRE for a State established "assigned claims fund" which provides benefits for individuals injured in an automobile accident that do not qualify for personal injury protection/medical payments protection from an automobile insurance carrier:

    - Where there is a State agency which resolves and pays the claims using State funds or funds obtained from others for this purpose, the established agency is the RRE.
    - Where there is a State agency which designates an authorized insurance carrier to resolve and pay the claims using State-provided funds <u>without State agency review and/or approval</u>, the designated carrier is the RRE.

- Where there is a State agency which designates an authorized insurance carrier to resolve and pay the claims using State-provided funds <u>but the State agency retains review or approval authority</u>, the State agency is the RRE.

- **RRE for Workers' Compensation:**

  Attachment A – "Definitions and Reporting Responsibilities" for the Revised Supporting Statement to the Paperwork Reduction Act Notice published in the Federal Register on February 12, 2009" provides, in part: *"For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8), a workers' compensation law or plan means a law or program administered by a State (defined to include commonwealths, territories and possessions of the United States) or the United States to provide compensation to workers for work-related injuries and/or illnesses. The term includes a similar compensation plan established by an employer that is funded by such employer directly or indirectly through an insurer to provide compensation to a worker of such employer for a work-related injury or illness. Where such a plan is directly funded by the employer, the employer has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8). Where such a plan is indirectly funded by the employer, the insurer has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8)."* The following bullets provide more specific guidance regarding who is the RRE for workers' compensation laws or plans.

  - Where the applicable law or plan authorizes an employer to purchase insurance from an insurance carrier and the employer does so, the insurance carrier is the RRE.
  - Where the applicable law or plan authorizes an employer to self-insure and the employer does so independently of other employers, the self-insuring employer is the RRE.
  - Where the applicable law or plan authorizes employers to join with other employers in self-insurance pools (e.g., joint powers authorities) and the self-insurance pool (1) is a separate legal entity (2) with full responsibility to resolve and pay claims using pool funds (3) without involvement of the participating employer, the self-insurance pool is the RRE.
  - Where the applicable law or plan authorizes employers to join with other employers in self-insurance pools but any of the above delineated requirements are not satisfied, the participating employer is the RRE.
  - Where the applicable law or plan establishes a State/Federal agency with sole responsibility to resolve and pay claims, the established agency is the RRE.
  - Applicable law or plan authorizes employers to self-insure or to purchase insurance from an insurance carrier and also establishes a State/Federal agency to assume responsibility for situations where the employer fails to obtain insurance or to properly self-insure --
    - Where such State/Federal agency itself resolves and pays the claims using State/Federal funds or funds obtained from others for this purpose, the established agency is the RRE.
    - Where such State/Federal agency designates an authorized insurance carrier to resolve and pay the claim using State/Federal-provided funds <u>without State/Federal agency review and/or approval</u>, the designated carrier is the RRE.

- Where such State/Federal agency designates an authorized insurance carrier to resolve and pay the claim using State/Federal-provided funds but State/Federal agency retains review or approval authority, the State/Federal agency is the RRE.

7.2 Use of Agents

Agents are not RREs for purposes of the MSP reporting responsibilities for 42 U.S.C. 1395y(b)(7) & (8). However, the applicable RRE may contract with an entity to act as an agent for reporting purposes. Agents may include, but are not limited to, data service companies, consulting companies or similar entities that can create and submit Section 111 files to the COBC on behalf of the RRE.

Registration for reporting and file submission with the COBC must be completed by the RRE. During registration, the RRE may designate an agent. An agent may not register on behalf of an RRE.

An RRE may not shift its Section 111 reporting responsibility to an agent, by contract or otherwise. The RRE remains solely responsible and accountable for complying with CMS instructions for implementing Section 111 and for the accuracy of data submitted.

CMS does not sponsor or partner with any entities that can be agents. CMS has not and will not endorse any entity as an agent for Section 111 reporting purposes and has no approved list of agents. Entities that are potential agents do not register with CMS or pay CMS a fee in order to become an agent.

As stated previously, agents do not register for Section 111 reporting with the COBC. Instead they are named and invited to participate by their RRE customers. Agents must exchange separate files for each RRE ID that they represent. Agents must test each RRE ID file submission process separately. Agent representatives may be Account Managers and Account Designees for the RRE on the COB Secure Web site (COBSW) as described in a later section of this guide. However, agents may not be named as the RRE's Authorized Representative. See the Registration and Account Setup section of this guide.

All communications regarding Medicare recovery will be directed to the RRE, not the agent. However, please note that CMS is not changing its MSP recovery processes. For example, demands involving liability insurance recoveries against a settlement, judgment, award, or other payment are routinely issued to the Medicare beneficiary.

8 Registration and Account Setup

8.1 Overview

The registration process requires RREs to provide notification to the COBC of their intent to report data to comply with the requirements of Section 111 of the MMSEA. Registration *by the RRE* is required and must be completed before testing between the RRE (or its agent) and the COBC can begin. Through the registration process, the COBC will obtain the information needed to:

- Validate information provided by the RRE registrant
- Assign a Section 111 Reporter ID to each RRE
- Develop a Section 111 reporting profile for each entity including estimates of the volume and type of data to be exchanged for planning purposes
- Assign a production live date and ongoing file submission timeframe to each entity
- Establish the necessary file transfer mechanisms
- Assign a COBC Electronic Data Interchange Representative (EDI Rep) to each entity to assist with ongoing communication and data exchange and
- Assign Login IDs to individual users associated with each RRE account.

Section 111 Liability, No-Fault and Workers' Compensation RREs will register on the COB Secure Web site (COBSW) from May 1, 2009 through June 30, 2009 using a new, interactive, Web portal designed for this purpose. The website URL will be www.Section111.cms.hhs.gov. The website is not yet available but you may review the requirements for registration at www.cms.hhs.gov/MandatoryInsRep/Downloads/RegistrationOverview.pdf.

NOTE: Entities who are RREs for purposes of the Section 111 liability insurance (including self-insurance), no-fault insurance, or workers' compensation are not required to register if they will have nothing to report. For example, if an entity is self-insured (as defined by CMS) solely for the deductible portion of a liability insurance policy but it always pays any such deductible to its insurer, who then pays the claim, it may not have anything to report. However, those who do not register initially because they have no expectation of having claims to report, **must** register in time to allow a full quarter for testing if they have future situations where they have a reasonable expectation of having to report.

8.2 Registration and Account Setup Process

Section 111 registration and account setup is a five step process.

Step 1: Identify an Authorized Representative, Account Manager and other COBSW Users

Each RRE must assign or name an Authorized Representative. This is the individual in the RRE organization who has the legal authority to bind the organization to a contract and the terms of MMSEA Section 111 requirements and processing. The Authorized Representative has ultimate accountability for the RRE's compliance with Section 111 reporting requirements.

The Authorized Representative:

- Cannot be a user of the COBSW.
- Cannot be an agent of the RRE.
- May perform the initial registration on the COBSW, but will not be provided with a Login ID.
- Will designate the Account Manager.
- Must approve the account setup, by physically signing the profile report including the Data Use Agreement, and returning it to the COBC.
- Will be the recipient of COBC notifications related to non-compliance with Section 111 reporting requirements.

Each RRE must assign or name an Account Manager. Each RRE ID can have only one Account Manager. This is the individual who controls the administration of an RRE's account and manages the overall reporting process. The Account Manager may be an RRE employee or agent. The Account Manager may choose to manage the entire account and data file exchange, or may invite other company employees or data processing agents to assist.

The Account Manager:

- Must register on the COBSW, obtain a Login ID and complete the account setup tasks.
- Can be associated with another reporting entity (RRE ID) if they receive the authorized PIN from the COBC mailing. This would occur when a reporting entity has multiple subsidiaries who will report separately for MMSEA Section 111 or when the entity chooses to name an agent as its Account Manager.
- Can invite other users to register on the COBSW and function as Account Designees.
- Can manage the RRE's profile including selection of a file transfer method.
- Can upload and download files to the COBSW if the RRE has specified HTTPS as the file transfer method.
- Can use his/her Login ID and Password to transmit files if the RRE has specified SFTP as the file transfer method.
- Can review file transmission history.

- Can review file-processing status and file statistics.
- Can remove an Account Designee's association to an account.
- Can change account contact information (e.g. address, phone, etc.)
- Can change his/her personal information.
- Cannot be an Authorized Representative or Account Designee for the same RRE ID.

At the RRE's discretion, the Account Manager may designate other individuals to register as users of the COBSW associated with the RRE's account known as Account Designees. Account Designees assist the Account Manager with the reporting process. Account Designees may be RRE employees or agents. There is no limit to the number of Account Designees associated with one RRE ID.

The Account Designee:

- Must register on the COBSW and obtain a Login ID.
- Can be associated with multiple RRE accounts, but only by an Account Manager invitation for each RRE ID.
- Can upload and download files to the COBSW if the RRE has specified HTTPS as the file transfer method.
- Can use his/her Login ID and Password to transmit files if the RRE has specified SFTP as the file transfer method.
- Can review file transmission history.
- Can review file-processing statuses and file statistics.
- Can change his/her personal information.
- Cannot be an Authorized Representative or Account Manager for the same RRE ID.
- Cannot invite other users to the account.
- Cannot update RRE account information.

Note: Each user of the Section 111 application on the COBSW will have only one Login ID and password. With that Login ID and password, you may be associated with multiple RRE IDs (RRE accounts). With one Login ID, you may be an Account Manager for one RRE ID and an Account Designee for another. In other words, the role you play on the COBSW is by RRE ID.

Step 2: Determine Reporting Structure

Before beginning the registration process, an RRE must also determine how the RRE will submit its Section 111 files to the COBC and how many Section 111 Reporter IDs (RRE IDs) will be needed. Only one Claim Input File may be submitted on a quarterly basis for each RRE ID. Due to corporate organization, claim system structures and agents that may be used for file submission, you may want to submit more than one Claim Input File to the COBC on a quarterly basis and therefore will need more than one RRE ID in order to do so.

For example, if an RRE will use one agent to submit workers' compensation claims and another agent to submit liability and no-fault claims, the RRE must register on the COBSW twice to obtain two RRE IDs that will be used by each agent respectively. You

may name the same Authorized Representative and Account Manager for both accounts or use different individuals. Likewise, if you have two or more subsidiary companies that process workers' compensation claims using different claims systems and you will not combine the claim files for Section 111 reporting, you must register for each claim file submission to obtain separate RRE IDs in order to submit multiple claim files in one quarter.

You may **not** set up a separate RRE ID for submission of the Query Input File only. You **must** submit a quarterly Claim Input File for every RRE ID you establish.

Step 3: RRE Registration on the COBSW

A company representative for the RRE must go to the Section 111 COBSW URL (www.Section111.cms.hhs.gov), click on the "New Registration" button, complete and submit the registration for the RRE. This step must be completed by the RRE, not an agent for the RRE.

The application will require that you submit:

- A Federal Tax Identification Number (TIN) for the RRE
- Company name and address
- Company authorized representative contact information including name, job title, address, phone and e-mail address
- National Association of Insurance Commissioners (NAIC) company codes, if applicable
- Reporter Type - Select the Liability Insurance (Including Self-Insurance)/No-Fault Insurance/Worker's Compensation option **not** GHP
- Subsidiary company information to be included in the file submission for the registration.

When a registration application is submitted, the information provided will be validated by the COBC. Once this is completed, the COBC will send a letter via the US Postal Service to the named Authorized Representative with a personal identification number (PIN) and the COBC-assigned RRE ID (Section 111 Reporter ID) associated with the registration.

The Authorized Representative must give this PIN and RRE ID to their Account Manager to use to complete the account setup step.

If you need more than one RRE ID for Section 111 reporting, this step must be repeated for each.

Step 4: RRE Account Setup on the COBSW – Account Manager

In order to perform the RRE account setup tasks, the RRE's Account Manager, on or after May 1, 2009, must go to the Section 111 COBSW URL (www.Section111.cms.hhs.gov) with the PIN and RRE ID and click on the "Account Setup" button.

The Account Manager will:

- Enter the RRE ID and associated PIN
- Enter personal information including name, job title, address, phone and e-mail address
- Create a Login ID for the COBSW
- Enter account information related to expected volume of data to be exchanged under this RRE ID (estimated number of annual paid claims for the lines of business that will be reported under the RRE ID)
- Enter reporting agent name, address, contact e-mail and TIN
- Select a file transmission method
- Provide file transmission information needed if the Connect:Direct transmission method is selected. See the later section on the Connect:Direct method to see what will be collected. ***You must have complete file transmission information available if the Connect:Direct method is selected or this step cannot be completed and all the other data you provided will be lost.***

Once the Account Manager has successfully obtained a COBSW Login ID, he/she may log into the application and invite Account Designees to register for Login IDs. In addition, after completing account setup for his/her first RRE ID, since only one Login ID is required per user, the Account Manager will bypass the steps for creating another Login ID and password when setting up subsequent RRE IDs.

Step 5: Return Signed RRE Profile Report – Authorized Representative

Once account setup has been completed on the COBSW (including file transmission details for Connect:Direct if that method is selected) and processed by the COBC, a profile report will be sent to the RRE's Authorized Representative via e-mail.

The Profile Report contains:

- A summary of the information you provided on your registration and account setup
- Important information you will need for your data file transmission
- Your RRE ID that you will need to include on all files transmitted to the COBC
- Your assigned production live date and ongoing quarterly file submission timeframe for the MSP Input File
- Contact information for your COBC EDI Representative who will support you through testing, implementation and subsequent production reporting.

The RRE's authorized representative must review, sign and return the profile report to the COBC. At that point, you may begin testing your Section 111 files. The COBC will send an email to your Authorized Representative and Account Manager indicating that testing can begin.

9 File Format

9.1 General File Standards

The Claim Input File and TIN Reference Files are transmitted in a flat, ASCII file format. The Connect:Direct file transmission method will convert files into EBCDIC. The Query Files are transmitted using the ANSI X12 270/271 Entitlement Query transaction set. However, the COBC will supply each RRE software to translate flat file formats to and from the X12 270/271 on request. As will be described further in a later section, the Query File formats documented in Appendix D represent the flat file input and output to the translator software supplied by the COBC and the remainder of this section assumes the RRE will use that software. Note that the COBC is using the 4010A1 version of the X12 270/271. An upgrade to the 5010 version is planned for a January 2011 date.

All input files submitted for Section 111 must be fixed width, flat files. All records in the file must be the same length as specified in the file layouts. All data fields on the files are of a specified length and should be filled with the proper characters to match those lengths. No field delimiters, such as commas between fields, are to be used. Detailed record and field specifications are found in the appendices of this guide.

Each input file format contains at least three record types. The file begins with a header record. Header records identify the type of file being submitted and will contain your Section 111 RRE ID. You will receive your RRE ID on your profile report after your registration for Section 111 is processed. Detail records represent claim information where the injured party is a Medicare beneficiary or query requests for individual people on the Query Input File. Each file always ends with a trailer record that marks the end of the file and contains summary information including counts of the detail records for validation purposes. Each header record must have a corresponding trailer record. Each trailer record must contain the proper count of detail records. **Do not include the header and trailer records in these counts.** If the trailer record contains invalid counts, your file will be rejected.

9.2 Data Format Standards

The table below defines the formatting standard defined for each data type found in the Section 111 files, both input and response.

Conventions for Describing Data Values

Data/Field Type	Formatting Standard	Examples
Numeric	Zero through nine (0 - 9) Padded with leading zeroes	Numeric (5): "12345" Numeric (5): "00045"
Alphabetic	A through Z Left justified Non-populated bytes padded with spaces Alphabetic characters sent in lower case will be converted and returned in upper case.	Alpha (12): "TEST EXAMPLE" Alpha (12): "EXAMPLE "
Alphanumeric	A through Z (all alpha) + 0 through 9 (all numeric) + special characters: Comma (,) Ampersand (&) Space ( ) Dash (-) Period (.) Single quote (') Colon (:) Semicolon (;) Number (#) Forward slash (/) At sign (@) Left justified Non-populated bytes padded with spaces Alphabetic characters sent in lower case will be converted and returned in upper case.	Text (8): "AB55823D" Text (8): "XX299Y " Text (18): "ADDRESS@DOMAIN.COM" Text (12): " 800-555-1234" Text (12): "#34 "
Numeric Date	Format is field specific Fill with all zeroes if empty (no spaces are permitted)	CCYYMMDD (e.g. "19991022") Open ended date: "00000000"
Reserved for Future Use	Populate with spaces	
The above standards apply unless otherwise noted in layouts.		

10 File Submission Timeframe

Claim Input and TIN Reference Files must be submitted on a quarterly basis during your assigned file submission timeframe. You will receive your Claim Input File submission timeframe assignment on your profile report which is sent after the COBC has processed your Section 111 registration and account setup. Each 3-month calendar quarter of the year has been divided into 12 submission periods as shown in the chart below. For example, if you have been assigned to Group 7, you will submit your Claim Input and associated TIN Reference File from the 15th through the 21st calendar day of the second month of each calendar year quarter; February 15th and February 21st for the first quarter, May 15th and May 21st for the second quarter, August 15th and August 21st for the third quarter and November 15th and November 21st for the fourth quarter of each year.

Note: Your Claim Input File receipt date will be set by the COBC system when the batch cycle runs. The COBC batch cycle runs nightly Monday-Friday, except on Federal holidays. RREs must send their files as close to the first calendar day of their submission timeframe as possible in order to have the file receipt date fall within their submission timeframe. For example, if you submit a file on a Saturday, the COBC system will not mark the receipt date until the COBC batch cycle runs on Monday night. In addition, if the batch cycle runs past midnight or Monday is a Federal holiday, your file receipt date might not be set until Tuesday or even Wednesday. The seven-day submission window is provided to account for this delay between file transmission and receipt date determination. It is not intended to allow you more time to submit your file. You should be ready to transmit your files to the COBC on the **first** day of your submission timeframe to be compliant with Section 111 reporting requirements.

There is no submission timeframe associated with Query Input Files. You may start sending these files as frequently as monthly, after your production live date, on any day of the month.

Quarterly Claim Input File Submission Timeframes

Dates	1st Month	2nd Month	3rd Month
01 - 07	Group 1	Group 5	Group 9
08 - 14	Group 2	Group 6	Group 10
15 - 21	Group 3	Group 7	Group 11
22 - 28	Group 4	Group 8	Group 12

11 Claim Input File

11.1 Overview

The Claim Input file is the data set transmitted from a MMSEA Section 111 RRE to the COBC that is used to report liability insurance (including self-insurance), no-fault insurance, and workers' compensation claim information **where the injured party is a Medicare beneficiary.** Records must be submitted with either the Social Security Number (SSN) or Medicare Health Insurance Claim Number (HICN) assigned to the injured party/Medicare beneficiary. Records with claim information are to be transmitted for claims that are addressed/resolved (or partially addressed/resolved) through a settlement, judgment, award or other payment on or after July 1, 2009. This includes addressing/resolving (or partially addressing/resolving) a claim through one payment obligation (regardless of whether the payment obligation is executed through a single payment, a structured settlement, or an annuity) as well as those situations where there is a responsibility to pay for ongoing medical services. In addition, records with claim information are to be transmitted for claims on which ongoing responsibility for medicals exists on or through July 1, 2009, regardless of the date of an initial acceptance of payment responsibility. See the MSP Overview section and Appendix G of this guide for definitions of the types of claims that must be reported.

This file is transmitted in a fixed-width, flat file format. The file layout is provided in Appendix A of this guide.

The Claim Input File is submitted on a quarterly basis during the RRE's assigned file submission timeframe. The COBC will use this file to determine if the injured party reported can be identified by CMS as a Medicare beneficiary based upon the information submitted and whether the beneficiary's entitlement for Medicare continued or commenced on or after the date of incident (DOI) as defined by CMS.

To determine whether an injured party is a Medicare beneficiary, the COBC must match your data to Medicare's. You are required to send either a Medicare Health Insurance Claim Number (HICN) or the injured party's Social Security Number (SSN) on your Claim Input File records. For matching an individual to determine if they are a Medicare beneficiary the COBC uses:

- HICN or SSN
- First initial of the first name
- First 6 characters of the last name
- Date of birth (DOB)
- Gender

First the COBC must find an exact match on the SSN or HICN. Then at least three out of the four remaining criteria must be matched exactly. If a match is found, you will always be returned the correct HICN. You should store this HICN on your internal files and use it on future transactions. The COBC will also supply updated values for the name, date

of birth and gender in the “applied” fields of the response records based on the information stored for that beneficiary on Medicare’s files.

If the information provided passes the COBC edit process and is applicable to Medicare coverage, it is then passed to other Medicare systems and databases including that for the CMS MSPRC and Medicare claims processing contractors for use in their processing. The COBC will return a response file for each Claim Input File containing a response record for each input record indicating the results of processing. The response file is returned within 45 days of file submission. RREs must react and take action on the information returned in the response file. For example, if a response record indicates that the Claim Input record was not accepted due to errors, then the RRE must correct the record and resend it on their next quarterly file submission. RRE Account Managers will receive e-mail notifications from the COBC when a file has been received and when response files are available.

In the case of a settlement, judgment or award, or other payment without separate ongoing responsibility for medicals at any time, only **one** report record is required is to be submitted per liability insurance (including self-insurance), no-fault insurance, or workers’ compensation claim where the injured party is a Medicare beneficiary. An RRE is to report the assumption or termination of “ongoing responsibility for medicals” situations along with the one-time reporting of payments where ongoing responsibility is not assumed. When reporting ongoing responsibility for medicals (ORM), you are **not** to report individual payments for each medical item or service. You are **not** to report a previously submitted and accepted record each quarter. However, if an RRE has accepted ongoing responsibility for medicals on a claim as is the case with many workers’ compensation and no-fault claims, then the RRE must report **two** events; an initial (add) record to reflect the acceptance of ongoing payment responsibility and a second (update) record to reflect the end date of ongoing payment responsibility with the corresponding end date reflected in the ORM Termination Date (Field 99). Please note, when termination of ongoing responsibility for medicals is reported, the ORM Indicator in Field 98 must remain as ’Y’ (for yes); do not change it to ’N’. The ’Y’ indicates current ongoing responsibility for medicals only until a termination is reported. Once the termination date is reported, the ’Y’ reflects the existence of ongoing responsibility for medicals prior to the termination date. Because reporting is done only on a quarterly basis, there may be some situations in which the RRE reports both the assumption of ongoing responsibility in the same record as the termination date for such responsibility. RREs are **not** to submit a report on the Claim Input File every time a payment is made for situations involving ongoing payment responsibility. When reporting no-fault claim information, be sure to include the appropriate data in these report records for the No-Fault Insurance Limit (Field 81) when reporting the assumption of ORM and the Exhaust Date for the Dollar Limit for No-Fault Insurance (Field 82) when ORM is terminated.

RREs must implement a procedure in their claims review process to determine whether an injured party is a Medicare beneficiary. RREs must submit either the Social Security Number (SSN) or Medicare Health Insurance Claim Number (HICN) for the injured party on all Claim Input File detail records. RREs are to report only with respect to Medicare beneficiaries (including a deceased beneficiary if the individual was deceased at the time of the settlement, judgment, award, or other payment). If a reported individual is not a Medicare beneficiary or CMS is unable to validate a particular SSN or HICN based upon the submitted information, CMS will reject the record for that individual. The Applied Disposition Code (Field 25) on the corresponding Claim Response File detail record will

indicate the reason for rejection. Complete response file processing is covered in a later section.

An RRE may include liability insurance (including self-insurance), no-fault insurance, and workers' compensation claim records in a single file submission if it has responsibility for multiple lines of business. However, there is no requirement to do so. If separate files will be submitted by line of business, subsidiary, reporting agents or another reason, then the RRE must register and obtain a Section 111 RRE ID for each quarterly Claim Input File submission as described in the Registration and Account Setup section of this guide.

A TIN Reference File must accompany the submission of your initial Claim Input File. Subsequent Claim Input file submissions do not need to be accompanied by a TIN Reference File unless there are changes to submit. However, if you choose, you may submit a TIN Reference File with every quarterly Claim Input File submission.

The file structure will be explained in subsequent sections. The following table provides a high-level picture of what a Claim Input File and associated TIN Reference File would look like:

Sample Claim Input/TIN Reference File Structure
Header Record for Claim Input for RRE ID
Detail Record for Claim/DCN 1
Detail Record for Claim/DCN 2
Auxiliary Record for Claim/DCN 2
Detail Record for Claim/DCN 3
Trailer Record for Claim Input for RRE ID
Header Record for TIN Reference File for RRE ID
TIN/Office Code 1 Combination
TIN/Office Code 2 Combination
Trailer Record for TIN Reference File for RRE ID

11.2 Data Elements

Detailed record layouts and data element descriptions for the Claim Input File can be found in Appendix A of this guide.

11.2.1 Header

The first record in the Claim Input File must be a single header record. The header record contains a record identifier of ‘NGCH’, your RRE ID associated with the file submission, a reporting file type of ‘NGHPCLM’, and an RRE-generated file submission date.

11.2.2 Detail Claim Record

The header record is followed by detail claim records for the quarterly file submission. Each record contains a record identifier (value of 'NGCD'), an RRE-generated document control number (DCN) unique for each record on the file, and action type (add, update or delete), information to identify the injured party/Medicare beneficiary, information about the incident, information concerning the policy, insurer or self-insured entity, information about the injured party's representative or attorney, settlement/payment information and other claimant information in the event of a deceased injured party.

Each detail record on the Claim Input File must contain a unique Document Control Number (DCN) generated by the RRE. This DCN is required so that response records can be matched and issues with files more easily identified and resolved. It can be any format of the RREs choosing as long as it is not more than 15 characters as defined in the record layout. The DCN only needs to be unique within the current file being submitted.

Records are submitted on a beneficiary-by-beneficiary basis, by type of insurance, by policy number, etc. Consequently, it is possible that an RRE will submit more than one record for a particular individual in a particular quarter's Claim Input File. For example, if there is an automobile accident with both drivers insured by the same company and both drivers' polices are making payment with respect to a particular beneficiary, there would be a record with respect to each policy. There could also be two records with respect to a single policy if the policy were reporting a med pay (considered to be no-fault) assumption of ongoing responsibility for medicals (ORM) and/or exhaustion/termination amount as well as a liability settlement/judgment/award/other payment in the same quarter.

11.2.3 Auxiliary Record

Where the beneficiary is deceased, the Claim Input Detail File requires information on who/what entity has taken the Medicare beneficiary's place as the "Claimant" (Estate, Family, Other). The auxiliary record is only required if there more than one such "claimant" to report. Do not include this record for the claim if there are no additional claimants to report. Claimant 1 on the Detail Claim Record must be completed in order for information concerning additional claimants to be accepted on the auxiliary record.

The record identifier for an auxiliary record is 'NGCE'. The DCN and injured party information must match that submitted on the associated detail record. Only one auxiliary record may be submitted per associated detail record.

11.2.4 Trailer

The last record in the file must be a trailer record defined with a record identifier of 'NGCT'. It must contain an RRE ID, reporting file type and file submission date that matches the associated header record. It also contains a file record count of the total detail and auxiliary records contained within the file for reconciliation purposes.

11.3 TIN Reference File

The TIN submitted in Field 72 of each claim detail record is an IRS-assigned, federal tax identification number for the RRE. It may also be known as the RRE's federal employer identification number (FEIN or EIN). For those who are self-insured, their TIN may be an Employer Identification Number (EIN) or Social Security Number (SSN) depending upon their particular situation. Other TINs for injured parties, other claimants and attorneys or representatives are submitted on the claim detail record but only the RRE TIN submitted in Field 72 is to be included on the TIN Reference File. The TIN Reference File is to be submitted with a record for each RRE (Plan) TIN and Office Code (Site ID) combination reported in Fields 72 and 73 of your detail Claim Input File records.

The TIN Reference File is submitted with the Claim Input File so that RRE name and address information associated with each TIN used does not have to be repeated on every Claim Input Record. The name and mailing address used on the TIN Reference File record should be the address to which healthcare claim insurance coordination of benefits and notifications related to Medicare's recovery efforts, if contact is necessary, should be directed. An RRE may use more than one TIN for Section 111 claim reporting. For example, an insurer may have claims operations defined for various regions of the country or by line of business. Because they are separate business operations, each could have its own TIN and each TIN may be associated with a distinct mailing address.

To allow for further flexibility, CMS has added an optional field called the Office Code (or Site ID) as Field 73 of the claim detail record. This is an RRE-defined field that can be used when the RRE has only one TIN but wishes to associate claims and the corresponding mailing address for the RRE to different offices or sites. If you do not need this distinction, you may leave the Office Code field blank on each claim detail record and TIN Reference File records.

For example, an RRE may use only one TIN ('123456789') but have two office codes; '000000001' for workers' compensation claims and '000000002' for commercial liability claims. Two records will be reported on the TIN Reference File. One record with TIN of '123456789' and Office Code of '000000001' and a second record with the same TIN of '123456789' but Office Code of '000000002'. Different mailing addresses may be submitted on the TIN Reference File record for each of these combinations. In this example, the RRE would submit '123456789' in Field 72 of each claim detail record, '000000001' in Field 73 of each workers' compensation claim detail record, and '000000002' in Field 73 of each commercial liability claim detail record.

The TIN Reference File may be submitted with your Claim Input File as a logically separated file within the same physical file, or in a completely separate physical file. It has its own header and trailer records. It must be sent at the same time as your first Claim Input File.

The TIN Reference File must contain only one record per unique TIN and Office Code combination. Again, put spaces in the Office Code field if you do not need to use it to distinguish separate locations and mailing addresses.

Any TIN/Office Code combination submitted on a claim detail record must be included in the TIN Reference File in order for the detail record to process.

There is no response file specifically associated with the TIN Reference File. If your TIN Reference File is not processed successfully, records on your Claim Input File will be rejected with errors associated with TIN/insurer-related fields.

The TIN Reference File layout and field descriptions can be found in Appendix B.

You do not need to send a TIN Reference File with every Claim Input File submission. However, you may send a TIN Reference File each quarter if you choose. After the initial file is processed, you only need to resend it if you have changes or additions to make. Subsequent Claim Input Files do not need to be accompanied by a TIN Reference File unless changes to previously submitted TIN/Office Code information must be submitted or new TIN/Office Code combinations have been added. Only new or changed TIN records need to be included on subsequent submissions. Also, all TINs will be verified so it is imperative that accurate information be provided in the file.

11.3.1 TIN Validation

This section outlines the steps the COBC will take to validate TINs on the Claim Input File and associated TIN Reference File. Note that full Claim Response File processing and compliance flags are explained in more detail in a later section of this guide.

- A TIN/Office Code combination in Fields 72 and 73 of the Claim Input File detail record must match a TIN/Office Code combination on a current or previously submitted TIN Reference File record. (The Office Code can be left blank if it is not used.)
- If no match is found, the Claim Input File detail record will be rejected with an ‘SP’ disposition code and a ‘CP02’ error code associated with invalid TIN/insurer information.
- If a match is found, then the TIN must be a valid IRS-assigned tax ID. If the TIN is not valid, then the Claim Input record will be accepted and processed but a compliance flag will be set with a value of ‘02’ on the corresponding Claim Response File record. The RRE must resubmit the correct TIN and any associated Office Code on an update record in the next quarterly Claim Input File along with an associated TIN Reference File record.

11.4 Initial File Submission

This section describes requirements for your initial file submission which is the first Claim Input File you will submit for Section 111 on or about your production live date after testing has successfully been completed. To begin reporting for Section 111, you must create and send a file that contains information for all claims, where the injured party is/was a Medicare beneficiary, and which are addressed/resolved (or partially addressed/resolved) through a settlement, judgment, award or other payment on or after July 1, 2009, regardless of the assigned date for your first submission. This includes resolution (or partial resolution) through one payment obligation (regardless of whether the payment obligation is executed through a single payment, a structured settlement, or

an annuity) as well as those situations where there is a responsibility for ongoing medical services. You must also report on claims for which the RRE **has** ongoing responsibility for medicals as of July 1, 2009, even if the assumption of responsibility occurred prior to July 1, 2009. In other words, for claims only involving payment due to a settlement, judgment or award, or other payment (that is a single payment obligation – regardless of how the payout is actually structured – with no separate assumption of ongoing responsibility for medicals) the report is only needed if the settlement, judgment, award, or other payment date for purposes of Section 111 reporting is on or after July 1, 2009. (See the Claim Input File Detail Record Layout, Field 100 in Appendix A for an explanation of how to determine this date which is referred to as the "Total Payment Obligation to Claimant" or "TPOC" date.) However, where the assumption of ongoing responsibility for medicals occurred prior to July 1, 2009, and continued on or through July 1, 2009, reporting is required.

INITIAL FILE SUBMISSION EXAMPLES				
No.	**Situation**	**Additional Facts**	**Section 111 Report**	**Rationale**
1A	A Medicare beneficiary is injured by slipping and falling in a retail store. The owner of the store is covered by a general liability policy. A one-time payment is made to the Medicare beneficiary and the insurer has no ongoing obligation for additional medical payments for the beneficiary.	The beneficiary files a claim with the insurer of the liability policy. A settlement is signed by both parties on June 3, 2009; there is no court involvement.	No report of settlement for Section 111	The "Total Payment Obligation to the Claimant" (TPOC) date is prior to July 1, 2009. (See Field 100 on the Input File Detail Record for further information on the TPOC date.) Remember that the TPOC date/information is reportable without regard to responsibility/lack of responsibility for ongoing medicals.

INITIAL FILE SUBMISSION EXAMPLES				
No.	**Situation**	**Additional Facts**	**Section 111 Report**	**Rationale**
1B	Same basic facts as 1A	The beneficiary sues. A settlement is signed by both parties on June 3, 2009. However, the settlement requires court approval, which is not obtained until on or after July 1, 2009.	Report settlement for Section111	The "Total Payment Obligation to the Claimant" (TPOC) date is on or after July 1, 2009. (See Field 100 on the Input File Detail Record for further information on the TPOC date.) Remember that the TPOC date/information is reportable without regard to responsibility/lack of responsibility for ongoing medicals.
2A	A Medicare beneficiary is injured on the job on February 15, 2009, and files a workers' compensation claim. Workers' compensation assumes responsibility (including a requirement to pay pending investigation) for the associated medicals.	The claim is still open; workers' compensation continues to have responsibility for the medicals on and after July 1, 2009. There is no settlement, judgment, award, or other payment aside from the assumption of responsibility for medicals.	Report ongoing responsibility for medicals for Section 111	Ongoing responsibility for medicals exists as of July 1, 2009, or later. See sections 11.6 and 11.7 for extensions, exceptions, and information regarding termination of workers' compensation ORM.

INITIAL FILE SUBMISSION EXAMPLES				
No.	**Situation**	**Additional Facts**	**Section 111 Report**	**Rationale**
2B.	Same basic facts as 2A	There was a judgment or award for $50,000 by the WC court issued on June 23, 2009. This judgment or award left the medicals open.	Report the ongoing medicals responsibility for Section111. Do not report the judgment or award.	See 2A for why the ongoing medicals responsibility is reported. The settlement, judgment, award, or other payment which was separate from the ongoing medicals responsibility is not reported because the applicable TPOC date is prior to July 1, 2009.
3A	A Medicare beneficiary is injured in an automobile accident on February 15, 2009. The beneficiary files a claim with the other driver's insurer (or with his own if it is a no-fault state). The insurer opens a claim and assumes responsibility for ongoing medicals associated with the claim under the "med pay" portion of the policy (which has a cap of $5,000). The med pay cap is reached as of June 15, 2009.		Do not report the ongoing responsibility for medicals information for Section 111.	ORM terminated prior to July 1, 2009.

INITIAL FILE SUBMISSION EXAMPLES				
No.	**Situation**	**Additional Facts**	**Section 111 Report**	**Rationale**
3B	Same basic facts as 3A	The beneficiary's medicals exceed the cap and/or he/she has other alleged damages. The insurer settles with the beneficiary for $50,000 on July 3, 2009.	Do not report the ongoing responsibility for medicals information for Section 111. Report the $50,000 TPOC information,	ORM terminated prior to July 1, 2009. TPOC date on or after July 1, 2009.
3C	Same basic facts as 3A/3B **except that state law requires life-time medicals.**	Same additional facts as 3B	Report both the ongoing responsibility for medicals and the settlement.	ORM continued in effect July 1, 2009. TPOC date on or after July 1, 2009.

Your initial Claim Input File may be larger than your subsequent update files since it will contain "retroactive" reporting for all TPOC dates and assumptions of ongoing responsibility for medicals on or after July 1, 2009 as well as initial reports where ongoing responsibility for medicals was assumed prior to July 1, 2009, and continued at least through July 1, 2009. Assuming a steady claim volume at the RRE, the Section 111 file size should level off in subsequent quarters. All records on your initial file will be "add" records and have a value of zero ('0') in the Action Type (Field 3).

Section 111 liability insurance (including self-insurance), no-fault insurance, and workers' compensation RREs must submit their initial production Section 111 Claim Input File during the **fourth calendar quarter (October - December) of 2009** during their assigned submission timeframe. When you register for Section 111 reporting, you will be assigned a production live date and a 7-day window for your quarterly file submission. The production live date is the first day of your first quarterly submission timeframe and your initial Claim Input File must be received inside that 7 day window.

You must submit a TIN Reference File with your initial Claim Input File submission.

See also, Sections 11.6, 11.7, and 11.7 8 for specific exceptions or extensions related to Section 111 reporting for liability insurance (including self-insurance), no-fault insurance, or workers' compensation.

11.5 Quarterly File Submissions

Subsequent, quarterly Claim Input File submissions must include records for any new claims as “add” records, where the injured party is a Medicare beneficiary, reflecting settlement, judgment, award, or other payment since the last file submission.

Your file may also contain “update” records for previously submitted claims, if critical claim information needs to be corrected or changed that will affect Medicare claims payment or recovery processes. See the Event Table for what will trigger an update record submission.

If a record was submitted and accepted by the COBC on a previous file submission, but the claim record never should have been sent in the first place and the RRE submitted it in error (e.g. there was no settlement, judgment, award, or other payment) then you must submit a “delete” record on your next quarterly Claim Input File to remove that claim information from the Medicare systems and databases.

Quarterly update files must contain resubmission of any records found in error on the previous file with corrections made. No interim file submissions will be accepted. Since the claim record was not accepted by the COBC on the previous file, these corrected records are to be sent with the same action type as the original record.

Response file processing will be discussed in a later section of this guide but please note that a record is considered accepted by the COBC if the corresponding response record is returned with a disposition code of ‘01’, ‘02’, or ’03’.

If the individual was not a Medicare beneficiary at the time responsibility for ongoing medicals was assumed, the RRE must monitor the status of that individual and report when that individual becomes a Medicare beneficiary unless responsibility for ongoing medicals has terminated before the individual becomes a Medicare beneficiary. Please refer to the section describing the Query File that can be used to monitor an injured party’s eligibility for Medicare.

If you are reporting any new TINs or Office Codes on your Claim Input File, submit a TIN Reference File with records for each new TIN/Office Code combination with your quarterly Claim Input File submission.

If you have no new information to supply on a quarterly update file, you **must** submit an “empty” Claim Input File with a header record, no detail records, and a trailer record that indicates a zero detail record count.

See also, Sections 11.6, 11.7, and 11.7 8 for specific exceptions or extensions related to Section 111 reporting for liability insurance (including self-insurance), no-fault insurance, or workers’ compensation.

11.5.1 Add

An “add” record or transaction is defined with a ‘0’ (zero) in the Action Type (Field 3) of a claim detail record. An add is a record submitted to the COBC for a new claim that was either not previously submitted or was submitted but not accepted with an ’01 or ‘02’ disposition code. An add transaction could be for a new claim settled since your last quarterly report, a claim resubmitted due to errors, or a claim where the RRE assumed ongoing responsibility for medicals previously but the injured party has just become entitled to Medicare.

Example 1: An RRE has begun submitting production Section 111 Claim Input Files and received and processed last quarter’s responses from the COBC. A liability claim not previously submitted has a settlement, judgment, award or other payment. The RRE submits information for the new claim as an add record on the next quarterly file submission.

Example 2: An RRE has begun submitting production Section 111 Claim Input Files and received and processed last quarter’s responses from the COBC. A claim submitted on last quarter’s file as an add record was in error and received an ‘SP’ disposition code with errors listed on the response record. The RRE corrects the claim and resubmits it as an add record on the next quarterly file submission.

Example 3: An RRE has begun submitting production Section 111 Claim Input Files and received and processed the last quarter’s responses from the COBC. The RRE determines that an injured party on a claim where the RRE has ongoing responsibility for medicals under Section 111 becomes entitled to Medicare. The RRE determines this through its monitoring process (which may include, for example, notification from the injured party or information through the Section 111 query process). The RRE submits the claim as an add record on the next quarterly file submission.

11.5.2 Delete

A “delete” record or transaction is defined with a ‘1’ in the Action Type (Field 3) of a claim detail record. A delete transaction is sent to remove information previously sent for Section 111 to the COBC. Records accepted by the COBC receive an ‘01’ or ‘02’ disposition code in your Claim Response File you receive back from the COBC. If your add transaction did not result in one of these disposition codes, there’s no need to delete it even if it was previously sent in error. There is no need to send a delete record for a record for which you previously received an ‘03’. Delete records should be needed only under rare circumstances. If you discover a severe error that affected many records on a file previously transmitted to the COBC for Section 111, then please contact your EDI Rep to discuss the steps that should be taken to correct it.

Because Medicare stores information on claims submitted previously by certain key information, the following fields on a delete record must match the add record * sent previously in order for the delete to be successful:

- Injured Party HICN, SSN, Last Name, First Name, Date of Birth and Gender (Fields 4, 5, 6, 7, 9 and 10)

- CMS Date of Incident (Field 12)
- Plan Insurance Type (Liability, No-Fault, Workers' Compensation in Field 71)
- ORM Indicator (Field 98)

*Note: You may send the original values submitted for name, date of birth and gender or the updated, "applied" values the COBC returned on the previous response record. See the discussion of the matching process in Section 11.1 and the description of fields returned on the response record in Section 12.

Delete records are used in two situations. First, if the original record should never have sent in the first place.

Example 1: A claim record was submitted for a liability claim with a settlement, judgment, award, or other payment on an RRE's previous quarterly file submission and was accepted with an '02' disposition code. Subsequently the RRE discovers an internal system error and realizes that this claim did not in fact have a settlement, judgment, award or other payment. On its next Claim Input File, the RRE sends a delete record for the claim, with the values for the key fields listed above submitted previously on the add record, and places a '1' in the Action Type. The COBC accepts the record, deletes the claim information from internal Medicare files and returns an '01' disposition code for the delete record.

The other case when a delete record will be sent is when you need to change a key field submitted previously. In these situations, the RRE must send a delete record with the key information that matches the previously accepted add record followed by an add record with the changed information.

Example 2: A claim record was submitted for a liability claim with a settlement, judgment, award, or other payment on a RRE's previous quarterly file submission and was accepted with an '01' disposition code. Subsequently, the RRE changes the CMS date of incident (DOI) in its internal system. On its next Claim Input File, the RRE sends a delete record for the claim, with the values for the key fields listed above submitted previously for the claim, and places a '1' in the Action Type. In the same Claim Input File, the RRE sends an add record for the claim with the changed information and a '0' in the Action Type. The COBC processes both records and returns a record for each on the response file with the applicable disposition code.

11.5.3 Update

An "update" record or transaction is defined with a '2' or '3' in the Action Type (Field 3). An update transaction with an Action Type of '2' is sent when you need to change information on a record previously submitted and accepted by the COBC for which you received an '01' or '02' disposition code in your Claim Response File. An update transaction with an Action Type of '3' is sent when you need to send a new, additional TPOC Amount and Date.

Because Medicare stores information on claims submitted previously by certain key information, the following fields on an update record must match the add record* sent previously in order for the update to be successful:

- Injured Party SSN, HICN, Last Name, First Name, Date of Birth and Gender (Fields 4, 5, 6, 7, 9 and 10)
- CMS Date of Incident (Field 12)
- Plan Insurance Type (Liability, No-Fault, Workers' Compensation in Field 71)
- ORM Indicator (Field 98)

*Note: You may send the original values submitted for name, date of birth and gender or the updated, "applied" values the COBC returned on the previous response record. See the discussion of the matching process in Section 11.1 and the description of fields returned on the response record in Section 12.

Update records are submitted under three circumstances. The first is when an RRE needs to send the ORM Termination Date to indicate that the responsibility for ongoing medicals has ended (this may be a simple termination or it might be associated with the reporting of a settlement, judgment, award, or other payment TPOC amount/date). The second is when a report of ongoing responsibility for medicals has already been submitted and accepted and there is a separate settlement, judgment, award, or other payment TPOC amount/date but the RRE continues to retain ongoing responsibility for medicals. The other circumstance is to change information critical for use by Medicare in its claims payment and recovery processes. See the Event Table for additional information.

If you need to update one of the key fields listed above, follow the process described in the previous section where a delete and add record are required. See the Event Table for additional information.

If you need to update one of these other fields, send an update transaction:

- ICD-9 Diagnosis Codes 1-19 (starting at Field 19)
- Description of Illness/Injury (Field 57)
- TIN (Field 72)
- TPOC Date (Field 100)
- TPOC Amount (Field 101)
- Claimant 1 Information (Fields 104 - 115)

Example 1: An initial claim record was previously submitted by an RRE and accepted by the COBC for a workers' compensation claim where the RRE assumed ongoing responsibility for medicals (the ORM Indicator Field 98 was submitted with a 'Y'). The RRE's ongoing responsibility for medicals subsequently terminated. In the next quarterly Claim Input File submission, the RRE sends an update record for the claim with a '2' in the Action Type (Field 3) and an ORM Termination Date (Field 99) reflecting when the RRE's ongoing responsibility for medicals ended. All other data elements are submitted as they were on the original report, including a 'Y' in the ORM Indicator.

Example 2: An initial claim record was previously submitted by an RRE and accepted by the COBC for a no-fault claim where the RRE assumed ongoing responsibility for medicals (the ORM Indicator Field 98 was submitted with a 'Y'). The limit on the no-fault portion of the policy applicable to the claim was provided in the No-Fault Insurance Limit (Field 81). Subsequently, the no-fault limit was reached and the RRE's ongoing responsibility for medicals ended. In the next quarterly Claim

Input File submission, the RRE sends an update record for the claim with a ‘2’ in the Action Type (Field 3), an ORM Termination Date (Field 99) reflecting when the RRE’s ongoing responsibility for medicals ended, and the date the no-fault limit was reached in the Exhaust Date for Dollar Limit for No-Fault Insurance (Field 82). All other data elements are submitted as they were on the original report, including a ‘Y’ in the ORM indicator.

Example 3: A claim record was previously submitted by the RRE and accepted by the COBC for a liability claim with a settlement, judgment, award, or other payment TPOC Amount (Field 101). Subsequently, the RRE corrects the TPOC Date (Field 100) in its claim system since an incorrect date was entered initially. In the next quarterly Claim Input File submission, the RRE sends an update record for the claim with a ‘2’ in the Action Type (Field 3) and the corrected TPOC Date (Field 100). All other data elements are submitted as they were on the original report.

Example 4: A claim record was previously submitted by the RRE and accepted by the COBC for a liability claim with a settlement, judgment, award, or other payment TPOC. The claim record submitted reflected ongoing responsibility for medicals (ORM Indicator = ‘Y’) and included a TPOC Date and TPOC Amount (Fields 100 and 101). Subsequently, an additional settlement, judgment, award, or other payment TPOC is reached with respect to the same claim record. In the next quarterly Claim Input File submission, the RRE sends an update record for the claim with a ‘3’ in the Action Type (Field 3) and the **new, additional** TPOC Date and TPOC Amount. All other data elements are submitted as they were on the original report, including a ‘Y’ in the ORM Indicator.

11.5.4 Event Table

This table is to be used by RREs and their agents to determine when and how to send records on a quarterly Claim Input File. RRE Actions reflect Claim Input File record submissions to be included in the next quarterly submission after the event occurs. Please see the Claim Input File record layouts in Appendix A for the requirements for each specific field on the record as this table describes the record submission only in general terms. No report is made for liability insurance (including self-insurance), no-fault insurance, or workers' compensation claims in which the injured party is a Medicare beneficiary until there is a settlement, judgment, award, or other payment (either ORM or TPOC or both). The phrase "previously reported and accepted" means that a claim record was previously submitted and the COBC sent back a disposition code of '01' or '02' on the corresponding Claim Response File record. See also the definition of the Total Payment Obligation to Claimant (TPOC) Amount and Date in Fields 100 and 101 of the Claim Input File Detail Record in Appendix A.

Event	RRE Action
Single Report – No ORM • Claim with settlement, judgment, award or other payment TPOC date on or after 7/1/09 • No ORM	Send Add Record: • '0' (add) in the Action Type • 'N' in the ORM Indicator • TPOC Date and Amount
Initial Report – with ORM <u>and</u> TPOC • Claim with settlement, judgment, award or other payment TPOC date on or after 7/1/09. • With ORM	Send Add Record: • '0' (add) in the Action Type • 'Y' in the ORM Indicator • TPOC Date and Amount
Initial Report – with ORM, no TPOC • Claim with no settlement, judgment, award, or other payment TPOC but the RRE has or had ORM on or after 7/1/09	Send Add Record: • '0' (add) in the Action Type • 'Y' in the ORM Indicator • Zeroes in TPOC Date and Amount

Event	RRE Action
Termination of ORM – No TPOC • Claim with ORM previously reported and accepted by the COBC • ORM ends and there is no settlement, judgment, award or other payment TPOC Amount.	Send Update Record: • '2' (update) in the Action Type • 'Y' in the ORM Indicator • Zeroes in TPOC Date and Amount • Date ORM ended in ORM Termination Date
Termination of ORM – with TPOC • Claim with ORM previously reported and accepted by the COBC • ORM is ended and there is also a settlement, judgment, award or other payment TPOC Amount.	Send Update Record: • '2' (update) in the Action Type • 'Y' in the ORM Indicator • TPOC Date and Amount • Date ORM ended in ORM Termination Date
Initial Report and ORM Termination in One Report – No TPOC • Claim with no settlement, judgment, award, or payment TPOC amount • With ORM • Claim **not** previously reported and accepted • ORM has ended prior to the initial report of the ORM	Send Add Record: • '0' (add) in the Action Type • 'Y' in the ORM Indicator • Zeroes in TPOC Date and Amount • Date ORM ended in ORM Termination Date
Initial Report and ORM Termination in One Report – with TPOC • Claim with settlement, judgment, award or other payment TPOC amount on or after 7/1/09 • With ORM • Claim **not** previously reported and accepted • ORM has ended prior to initial report but on or after 7/1/09. (ORM could have ended because no-fault benefits were exhausted or termination in connection with the TPOC, etc.)	Send Add Record: • '0' (add) in the Action Type • 'Y' in the ORM Indicator • TPOC Date and Amount • Date ORM ended in ORM Termination Date

Event	RRE Action

Key Field Change – Delete/Add
 	
• Claim record was previously reported and accepted
 	
• One or more of the following **Key** fields was changed after the initial claim record was submitted and accepted:
 	
  • Injured Party SSN or HICN (wrong person sent as injured party)
  • CMS Date of Incident (Field 12)
  • Plan Insurance Type (Liability, No-Fault, Workers' Compensation in Field 71)
  • ORM Indicator (Field 98)
	Send a Delete Followed by an Add
	
	Send Delete Record:
	
	• '1' (delete) in the Action Type
	• All other fields with matching values sent on the original record
	
	Send Add Record:
	
	• '0' (add) in the Action Type
	• Corrected/updated information for all other fields.

Changed Information (other than Key Field information)
 	
• Claim previously submitted and accepted
 	
• One or more of the following fields has changed after the initial claim record was submitted and accepted:
 	
  • ICD-9 Diagnosis Codes 1-19
  • Description of Illness/Injury (Field 57)
  • TIN (Field 72)
  • TPOC Date (Field 100)
  • TPOC Amount (Field 101)
  • Claimant 1 Information (Fields 104 - 115)
	Send Update Record:
	
	• '2' (update) in the Action Type
	• Changed values for
	  • ICD-9 Diagnosis Codes 1-19
	  • Description of Illness/Injury (Field 57)
	  • TIN (Field 72)
	  • TPOC Date (Field 100)
	  • TPOC Amount (Field 101)
	  • Claimant 1 Information (Fields 104 - 115)
	• Same values previously reported for
	  • Injured Party SSN/HICN (Fields 4/5)
	  • CMS Date of Incident (Field 12)
	  • Plan Insurance Type (Field 71)
	  • ORM Indicator and Termination Date (Fields 98 and 99)

Event	RRE Action
Delete/Cancel Prior Record Submission • Claim record was previously reported and accepted • Record was submitted in error – it should not have been sent due to an RRE system problem or other issue	Send Delete Record • '1' (delete) in the Action Type • All other fields with matching values sent on the original record
Record Rejected with Errors • Submitted claim record returned with an 'SP' disposition code in the corresponding response file record (not accepted, rejected by the COBC due to errors)	Correct errors Send record with previously submitted Action Type (Add, Update or Delete)
Record in Process at COBC • Submitted claim record returned with a '50' disposition code in the corresponding response file record (still being processed by the COBC)	Resubmit same record
Ongoing Monitoring – Injured Party Becomes Entitled to Medicare • Claim record previously submitted and rejected by the COBC with a '51' or '03 disposition code • RRE continues to have ORM • Injured party becomes entitled to Medicare	Send Add Record: • '0' (add) in the Action Type • 'Y' in the ORM Indicator • TPOC Date and Amount as applicable

Event	RRE Action
Reporting Additional TPOC Amounts • Claim record was previously reported and accepted (including a TPOC amount) • With ORM • An ***additional*** settlement, judgment, award or other payment TPOC is reached with respect to the same Section 111 claim record. If, for example, a claim to an insurer includes both no-fault insurance (as defined by CMS) and liability insurance, TPOCs associated with the no-fault and liability insurance would be reported on separate add records. This instruction only applies where there are multiple TPOCs for the same record, for the same insurance type, etc.	Send TPOC Update Record • '3' (TPOC update) in the Action Type • 'Y' in the ORM Indicator • New/additional TPOC Date and Amount (not cumulative amount but rather the amount of the additional TPOC) • Same ORM Termination Date sent previously if applicable

11.6 Ongoing Responsibility for Medicals (ORM) - When and What to Report

Information regarding an RRE's reporting for the assumption of ongoing responsibility for medicals (ORM) has been presented in other sections of this guide. The section provides additional information and clarity on the topic.

First, it's important to understand the reference to "ongoing" is not related to "ongoing reporting" or repeated reporting of claims under Section 111 but rather the RRE's responsibility to pay on an ongoing basis for the injured party's (Medicare beneficiary's) medicals associated with the claim. This typically only applies to no-fault and workers' compensation claims.

Ongoing responsibility for medicals (including a termination date, where applicable) is to be reported without regard to whether there has also been a separate settlement, judgment, award, or other payment outside of the payment responsibility for ongoing medicals. Reporting for ORM is not a guarantee by the RRE that ongoing medicals will be paid indefinitely or through a particular date; it is simply a report reflecting the responsibility currently assumed.

For claims where the injured party is a Medicare beneficiary and there has been a settlement, judgment, award, or other payment, and the RRE has not assumed ORM, only **one** Section 111 claim report is required after the TPOC Date. The TPOC is defined as the Total Payment Obligation to the Claimant without regard to ongoing medical services. The TPOC Date is the date the obligation was established. Please see the description of these fields in the Claim Input File detail record layout. The RRE provides the TPOC Date (as defined in Field 100 of the Claim Input File Detail Record) and the TPOC Amount (as defined in Field 101 of the Claim Input File Detail Record) when such a settlement, judgment, award, or other payment occurs. The field descriptions in the record layout explain how to calculate the TPOC Date and TPOC Amount.

For claims where there is no settlement, judgment, award, or other payment TPOC (which is essentially a single payment obligation, regardless of how the actual payout is structured) but the insurer (including self-insured) or workers' compensation has assumed ongoing responsibility for medicals associated with the claim (ORM) for the injured party, **two** reports under Section 111 are required. The first report is when the no-fault insurance, liability insurance (including self-insurance) or workers' compensation assumes the ORM and the second is when ORM terminates. The RRE provides basic information about the claim in the first report including a 'Y' in the ORM indicator and the no-fault insurance policy limit (if applicable). On the second report, the RRE provides the ORM termination date (date when ongoing responsibility for medicals ended) and, if a no-fault case, the date the no-fault policy limit was exhausted (if applicable). The first report will be an add record and the second report will be an update record. The second report will have a 'Y' in the ORM Indicator too. The RRE does not provide a TPOC Date and TPOC Amount on either report of ongoing responsibility for medicals unless there was a settlement, judgment, award, or other payment TPOC amount in addition to the termination of the ORM. If ORM is started and ended within the same calendar quarter or prior to the current reporting quarter before the initial report of ORM was made, all of this information may be reported on one record. For example, suppose a workers' compensation claim is opened for an employee/injured party who is a Medicare beneficiary in January and the injury is relatively minor such that ORM terminates in February. Depending upon its specific quarterly submission date, the RRE may end up only needing to report the claim once if the claim is closed and ORM has ended. This record would include a "Y" in the ORM Indicator and an ORM Termination Date. A TPOC Date and Amount would also be included in this single report if there was also a separate settlement, judgment, award, or other payment outside of the termination of the ORM.

For claims with ORM, the RRE is NOT to report each time they pay for a medical service for the injured party. In addition, they are NOT to report the same claim information each quarter. Once they make the first report and get a positive response that the record was accepted they do not report again until the ORM has terminated.

The only exception to two claim reports for ORM (as described above) will be when assumption and termination of ORM are reported in the same record or when the RRE needs to update or delete previously submitted information and correct records due to a change in important information sent on the prior record. Please refer to the Event Table to determine what would trigger an additional update or delete. One example may be that the RRE reported an incorrect diagnosis or description of injury. Since this could have a material effect on Medicare's claims processing, the RRE will likely have to submit an update record to change that field. A delete transaction would be sent only if

the original record was sent entirely in error and the information previously submitted needs to be removed from Medicare databases/systems.

With respect to ongoing responsibility for medicals, a determination that a case is "closed" or otherwise inactive does not automatically equate to a report terminating the ORM. If the ORM is subject to reopening or otherwise subject to a further request for payment, the record submitted for ORM should remain open. (Medicare beneficiaries have a continuing obligation to apply for all no-fault or workers' compensation benefits to which they are entitled.) Similarly, if a file is "closed" due to a "return to work" and no additional anticipated medicals, a report terminating the ORM should not be submitted as long as the ORM is subject to reopening or otherwise subject to an additional request for payment. For certain states which require a workers' compensation claim be left open for ORM indefinitely, the second report may never be submitted.

Note: "Special Exception" regarding reporting termination of ORM:

- Assumption of ORM typically occurs with respect to no-fault insurance (as defined by CMS – see Record Layout descriptor for CMS' definition) or workers' compensation. Because this may involve all levels of injury, the above rule could result in the continuation of open ORM records even where, as a practical matter, there is no possibility of associated future treatment. An example might be a relatively minor fully healed flesh wound in a State where workers' compensation requires life-time medicals. To address this situation, RREs may submit a termination date for ORM if they have a signed statement from the injured individual's treating physician that he/she will require no further medical items or services associated with the claim/claimed injuries, regardless of the fact that the claim may be subject to reopening or a claim for further payment.

- If, in fact, there is a subsequent reopening of the claim and further ORM, the RRE must report this as an update record with zeroes in the ORM Termination Date (Field 99).

CMS uses information regarding ongoing responsibility for both claims processing and potential recoveries. Providers, physicians, and other suppliers are to bill primary payers such as liability insurance (including self-insurance), no–fault insurance, and workers' compensation prior to billing Medicare although Medicare may pay conditionally if "prompt payment' as defined by CMS rules is not made by the liability insurance (including self-insurance), no-fault insurance, or workers' compensation. Conditional payments are subject to recovery if primary payment responsibility is subsequently established.

If the individual was not a Medicare beneficiary at the time ongoing responsibility for medicals was assumed, the RRE must monitor the status of that individual and report when that individual becomes a Medicare beneficiary unless responsibility for ongoing medicals has terminated before the individual becomes a Medicare beneficiary. (However, monitoring of such individuals may cease before they become a Medicare beneficiary if the standard for ORM termination set forth in "Special Exception" regarding reporting termination of ORM" above is met.)

Where payment is made pending investigation, the RRE must report this as an assumption of ongoing responsibility for medicals. If ORM terminates upon completion of the investigation, the termination of ORM must be reported.

11.7 Special Reporting Extension for ORM and Special Qualified Reporting Exception for ORM Assumed Prior to July 1, 2009 Where Such ORM Continues as of July 1, 2009.

EXTENSION -- Where ORM was assumed prior to July 1, 2009, and continues as of July 1, 2009, the RRE must report this individual. As RREs may not have collected the necessary data elements for individuals (such as the SSN) for whom responsibility was assumed prior to July 1, 2009, CMS is permitting RREs to delay reporting for these individuals until the RRE's assigned submission in the third calendar quarter (July – October) of **2010**. The extension is intended to allow RREs time to go back and determine the Medicare status of individuals for whom there is pre-existing ORM which continues as of July 1, 2009. This extension does not apply to claims which are addressed/resolved (partially addressed/resolved) on or after July 1, 2009. The extension applies only to claims where the RRE has accepted ongoing responsibility, for medicals with the claim potentially subject to further payment for items or services with dates of services on or after July 1, 2009, but the original resolution (partial resolution) date is prior to July 1, 2009. If an RRE has the information that such a claimant is a Medicare beneficiary and the RRE has the SSN or HICN, it is to send the record with its initial production file. If the RRE does not have this information, it may delay reporting on these claims until its third calendar quarter 2010 file submission.

QUALIFIED EXCEPTION -- The general rule is that aside from the "'Special Exception' regarding reporting termination of ORM" discussed above, a report terminating the ORM should not be submitted as long as the ORM is subject to reopening or otherwise subject to an additional request for payment. However, for ORM assumed prior to July 1, 2009, if the claim was actively closed or removed from current claims records prior to January 1, 2009, the RRE is not required to identify and report that ORM under the requirement for reporting ORM assumed prior to July 1, 2009. If such a claim is later subject to reopening with further ORM, it must be reported with full information, including the original DOI (as defined by CMS).

11.8 Additional Requirements

11.8.1 Technical Requirements

- Claim Input Files must include properly formatted header, detail and trailer records as defined in the file layouts provided.
- Claim Input Files must be submitted on a quarterly basis, four times a year.

- Files must be submitted within an assigned, 7-day submission period each quarter. File submission timeframes will be assigned after successful registration for Section 111 reporting.

- Claim Input Files submitted within 14 calendar days before the start of a submission period are considered early submissions for that quarter. The file will be held until the start of the submission period.

- RREs must register on the COB Secure Web site (COBSW) from May 1, 2009 through June 30, 2009, and complete testing prior to submission of production files. After the registration has been processed by the COBC, the RRE will receive an e-mail with a profile report. The profile report will contain information submitted during registration for verification purposes, the assigned 7-day file submission timeframe, and the assigned Section 111 Reporter ID (RRE ID). The last page of the profile report must be signed by the RRE's Authorized Representative and returned to the COBC before testing can begin.

    - NOTE: Entities who are RREs for purposes of the Section 111 liability insurance (including self-insurance), no-fault insurance, or workers' compensation are not required to register if they will have nothing to report. For example, if an entity is self-insured (as defined by CMS) solely for the deductible portion of a liability insurance policy but it always pays any such deductible to its insurer, who then pays the claim, it may not have anything to report. However, those who do not register initially because they have no expectation of having claims to report, **must** register in time to allow a full quarter for testing if they have future situations where they have a reasonable expectation of having to report.

- RREs will be assigned a Section 111 RRE ID during registration which is to be used on all submitted files.

- Section 111 liability insurance (including self-insurance), no-fault insurance, and workers' compensation RREs must submit their initial production Section 111 Claim Input File during the fourth calendar quarter (October - December) of 2009 during their assigned submission timeframe.

- Group Health Plan (GHP) file submissions for Section 111 may not be mixed with liability, no-fault, and workers' compensation Claim Input File submissions.

- An agent may not mix data for multiple RRE IDs (multiple RRE IDs for a single client or RRE IDs for separate clients) in the agent's file submission. Section 111 files must be submitted by RRE ID.

- All reporting is to be through electronic file exchanges as described in this guide.

- Files may be submitted via the COBSW using Hypertext Transfer Protocol over Secure Socket Layer (HTTPS) or Secure File Transfer Protocol (SFTP). As an alternative, RREs with large amounts of data may submit via Connect:Direct (formerly known as NDM) via the AT&T Global Network System (AGNS). See Section 15 for details.

- RREs must implement a procedure in their claims review process to determine whether an injured party is a Medicare beneficiary. RREs must submit either the Social Security Number (SSN) or Medicare Health Insurance Claim Number (HICN) for the injured party on all Claim Input File detail records. RREs are to report only with respect to Medicare beneficiaries (including a deceased beneficiary if the individual was deceased at the time of the settlement, judgment, award or other payment). If a reported individual cannot be identified as a Medicare beneficiary based upon the information submitted, CMS will reject the record for that individual. The Applied Disposition Code (Field 25) on the corresponding Claim Response File detail record will indicate the reason for rejection. It is not acceptable for an RRE to send information on every claim record without regard to the injured party's Medicare status. CMS will monitor ongoing Claim Input File submissions to make sure that RREs have implemented a procedure to reasonably identify an injured party as a Medicare beneficiary rather than dumping their entire set of claims to satisfy Section 111 reporting requirements.

- CMS recommends that RREs send an injured party's HICN on Claim Input File records whenever it is available instead of the SSN. The HICN is CMS' Medicare identifier for Medicare beneficiaries and is the preferred data element for matching purposes. RREs are encouraged to obtain HICNs from injured parties who are Medicare beneficiaries and to use the HICNs passed back to them by the COBC on Claim and Query Response Files.

- A TIN Reference File must be submitted with the initial Claim Input File containing records for each plan TIN submitted in Field 72 of Claim Input File detail records. All combinations of Plan TIN and Office Code/Site ID submitted in Fields 72 and 73 of the Claim Input File detail records must have a corresponding TIN/Office Code combination on the TIN Reference File. Subsequent Claim Input Files do not need to be accompanied by a TIN Reference File unless changes to previously submitted TIN/Office Code information must be submitted or new TIN/Office Code combinations have been added.

- Quarterly Claim Input Files must include records for any new claims, where the injured party is a Medicare beneficiary, reflecting settlement, judgment, award, or other payment since the last file submission. However, if the settlement, judgment, award or other payment is within 45 days prior to the start of the 7-day file submission timeframe, then an RRE may submit that claim on the next quarterly file. This grace period allows the RRE time to process the newly addressed/resolved (partially addressed/resolved) claim information internally prior to submission for Section 111. For example, if there is a TPOC date of May 1, 2010, and the file submission period for the second calendar quarter of 2010 is June 1-7, 2010, then the RRE may delay reporting that claim until the third calendar quarter file submission during September 1-7, 2010. However, if the TPOC date is April 1, 2010, then the RRE must include this claim on the second calendar quarter file submission during June 1-7, 2010. Records not received timely will be processed but marked as late and used for subsequent compliance tracking. A code indicating a late submission was received will be placed in the

first available Compliance Flag (Fields 36 – 45) of the corresponding Claim Response File Detail record.

- Subsequent quarterly update files must include pertinent updates/corrections/deletions to any previously submitted records.

- Quarterly update files must contain resubmission of any records found in error on the previous file with corrections made. No interim file submissions will be accepted.

- If you have no new information to supply on a quarterly update file, you **must** submit an "empty" Claim Input File with a header record, no detail records, and a trailer record that indicates a zero detail record count.

- E-mail notifications will be sent to the RRE's Account Manager after a file has been initially processed and when a response file has been transmitted or is available for download.

- Each detail record on the Claim Input File must contain a unique Document Control Number (DCN) generated by the RRE. This DCN is required so that response records can be matched and issues with files more easily identified and resolved. It can be any format of the RREs choosing as long as it is not more than 15 alpha-numeric characters as defined in the record layout. Most of CMS' current data exchange partners use some form of a Julian date and a counter as their DCN.

- The COBC will return response files to the RRE within 45 days of the receipt date posted for the input file.

11.8.2 What Claims Are Reportable/When Are Such Claims Reportable?

- RREs' initial file submissions must report on all claims, where the injured party is/was a Medicare beneficiary, that are addressed/resolved (or partially addressed/resolved) through a settlement, judgment, award or other payment on or after July 1, 2009, regardless of the assigned date for a particular RREs first submission. This includes through a single payment obligation (regardless of whether the payment obligation is executed through a single payment, a structured settlement, or an annuity) as well as those situations where ongoing responsibility for medicals exists.

- RREs must report on claims for which the RRE still has an ongoing responsibility for medicals as of July 1, 2009, and the ongoing responsibility for medicals pre-dates July 1, 2009. (See also, Sections 11.6 and 11.7 for special exceptions/extension for reporting ongoing responsibility for medicals.)

- RREs are to report once there has been a settlement, judgment, award or other payment.

- Notice to CMS of a pending claim or other pending action by an RRE or any other individual or entity does not satisfy an RRE's reporting obligations with respect to 42 U.S.C. 1395y(b)(8).

- Notice to CMS by the RRE of a settlement, judgment, award or other payment by any other means than the established Section 111 reporting process does not satisfy an RRE's reporting obligations with respect to 42 U.S.C. 1395y(b)(8).

- Notice to CMS of a settlement, judgment, award, or other payment by an individual or entity other than the applicable RRE does not satisfy an RRE's reporting obligations with respect to 42 U.S.C. 1395y(b)(8).

- Records are submitted on a beneficiary-by-beneficiary basis, by type of insurance, by policy number, by RRE, etc. Consequently, it is possible that an RRE will submit more than one record for a particular individual in a particular quarter's submission window. For example, if there is an automobile accident with both drivers insured by the same company and both drivers' policies are making a payment with respect to a particular Medicare beneficiary, there would be a record with respect to each policy. There could also be two records with respect to a single policy if the policy were reporting a med pay (considered to be no-fault) assumption of ongoing responsibility for medicals and/or exhaustion/termination amount as well as a liability settlement/judgment/award/other payment in the same quarter.

  - Joint settlements, judgments, awards, or other payments – Each RRE reports its ongoing medical responsibility and/or settlement/judgment/award/other payment responsibility without regard to ongoing medicals. Each RRE would also report any responsibility it has for ongoing medicals on a policy-by-policy basis. Again, depending on the number of policies at issue for an RRE and or the type of insurance or workers' compensation involved, an RRE may be submitting multiple records for the same individual.

  - Multiple settlements involving the same individual -- Each RRE must report appropriately. There will be multiple records submitted for the same individual but they will be cumulative rather than duplicative. Additionally, if more than one RRE has assumed responsibility for ongoing medicals, Medicare would be secondary to each such entity.

- Re-insurance, stop loss insurance, excess insurance, umbrella insurance guaranty funds, patient compensation funds which have responsibility beyond a certain limit, etc. -- The key in determining whether or not reporting for 42 U.S.C. 1395y(b)(8) is required for these situations is whether or not the payment is to the injured claimant/representative of the injured claimant vs. payment being made to self-insured entity to reimburse the self-insured entity. Where payment is being made to reimburse the self-insured entity, the self-insured entity is the RRE for purposes of the payment made to the injured individual and no reporting is required by the insurer reimbursing the self-insured entity.

- One time payment for defense evaluation - A payment made specifically for this purpose directly to the provider or other physician furnishing this service does not trigger the requirement to report.

- Where there is a settlement, judgment, award or other payment with no establishment/acceptance of responsibility for ongoing medicals, the RRE is not required to report for purposes of 42 U.S.C. 1395y(b)(8) (Section 111 reporting for liability insurance (including self-insurance), no-fault insurance, or workers' compensation) if the individual is <u>not</u> a Medicare beneficiary <u>as of the date which must be reported for the settlement, judgment, award, or other payment (the TPOC date)</u>.

- RREs must report settlements, judgments, awards, or other payments **<u>regardless of whether or not there is an admission or determination of liability</u>**. Reports are required with either partial or full resolution of a claim.

    - For purpose of the required reporting for 42 U.S.C. 1395y(b)(8), the RRE does not make a determination of what portion of any settlement, judgment, award, or other payment is for medicals and what portion is not. The RRE reports responsibility for ongoing medicals separately from any other payment obligation but does not separate medical vs. non medical issues if medicals have been claimed and/or released or the settlement, judgment, award, or other payment otherwise has the effect of releasing medicals.

    - "No medicals" – If medicals are claimed and/or released, the settlement, judgment, award or other payment must be reported regardless of any allocation made by the parties or a determination by the court.

        - The CMS is not bound by any allocation made by the parties even where a court has approved such an allocation. The CMS does normally defer to an allocation made through a jury verdict or after a hearing on the merits. However, this issue is relevant to whether or not CMS has a recovery claim with respect to a particular settlement, judgment, award, or other payment and does not affect the RRE's obligation to report.

        - RREs are not required to report liability insurance (including self-insurance) settlements, judgments, awards or other payments for "property damage only" claims which did not claim and/or release medicals or have the effect of releasing medicals.

    - RREs must report the full amount of any settlement, judgment, award or other payment amount (the TPOC amount) without regard to any amount separately obligated to be paid as a result of the assumption/establishment of responsibility for ongoing medicals.

- The date of incident does not affect the RRE's reporting responsibilities for workers' compensation.

- RREs are not required to report liability insurance (including self-insurance) or no-fault insurance settlements, judgments, awards or other payments where the date of incident (DOI) **as defined by CMS** was prior to December 5, 1980.

    - For claims involving "exposure", this means that there was no exposure on or after December 5, 1980, alleged, established, and/or released. If any exposure for December 5, 1980 or a subsequent date was claimed and/or released, then Medicare has a potential recovery claim and the RRE must report for Section 111 purposes.

        - For example, if the date of 1st exposure is prior to December 5, 1980, but that exposure continues on or after December 5, 1980; Medicare has a potential recovery claim.

        - Additionally, please note that application of the December 5, 1980, is specific to a particular claim/defendant. For example, if an individual is pursuing a liability insurance (including self-insurance) claim against "X", "Y" and "Z" for asbestos exposure and exposure for "X" ended prior to December 5, 1980, but exposure for "Y" and "Z" did not; a settlement, judgment, award or other payment with respect to "X" would not be reported.

    - The liability insurance (including self-insurance) and no-fault insurance MSP provisions were effective December 5, 1980. CMS has determined as a matter of policy that it will not recover under the MSP provisions with respect to liability insurance (including self-insurance) or no-fault insurance settlements, judgments, awards or other payments where the DOI **as defined by CMS** was prior to December 5, 1980.

- Policies or self-insurance which allege that they are "supplemental" to Medicare -- By statute, Medicare is secondary to liability insurance (including self-insurance), no-fault insurance, and workers' compensation. An insurer or self-insured entity cannot, by contract or otherwise supersede federal law.

- There is no Medicare beneficiary age threshold for reporting for Section 111 liability insurance (including self-insurance), no-fault insurance, and workers' compensation.

- The geographic location of the incident, illness, injury is not determinative of the RRE's reporting responsibility as Medicare beneficiaries who are injured or become ill outside of the United States often return to the U.S. for medical care.

- Where there is no settlement, judgment award or other payment, including no assumption of responsibility for ongoing medicals, there is no Section 111 report required. As indicated earlier, the fact that there is no admission or determination of liability does not exempt an RRE from reporting.

- If there are multiple TPOCs for the same individual for the same claim, each new TPOC must be reported as a separate settlement, judgment, award, or other payment. This applies to liability insurance (including self-insurance), no-fault

insurance, and workers' compensation. Remember that a single payment obligation is reported only once regardless of whether it is funded through a single payment, an annuity or a structured settlement.

- When to report claims involving appeals --

  - If there is an assumption of ORM due to a judgment or award but the liability insurance (including self-insurance), no-fault insurance, or workers' compensation is appealing this judgment or award:

    - If payment is being made, pending results of the appeal, the ORM must be reported.
    - If payment is not being made pending results of the appeals, the ORM is not reported until the appeal is resolved.

  - If there is a TPOC date/amount due to a judgment, award, or other payment but the liability insurance (including self-insurance)/no-fault insurance/workers' compensation or claimant is appealing or further negotiating the judgment/award/other payment:

    - If payment is being made, pending results of the appeal/negotiation, the TPOC must be reported.
    - If payment is not being made pending results of the appeals/negotiation, the TPOC is not reported until the appeal/negotiation is resolved.

12 Claim Response File

For every Claim Input File you send to the COBC for Section 111 reporting the COBC will send you a Claim Response File in return. The Claim Response File specifications are in Appendix C. The response file will be transmitted back to you within 45 days of receipt of your input file in the same manner you used to send your input file (HTTPS, SFTP, or Connect:Direct). The response file contains a header record, followed by detail records for each record you submitted on your input file, followed by a trailer record that contains a count of the detail records supplied. This count does not include the header and trailer records. The detail response record contains “supplied” data elements which are what the RRE submitted on the corresponding input record. It also contains “applied” data elements which reflect values for certain data elements according to information on Medicare’s files and some derived fields that pertain to Medicare’s secondary payment status.

If the COBC can match the submitted injured party to a Medicare beneficiary based upon the information submitted on the input record, then the response record will always contain the Medicare HICN for that individual. You should save the HICN returned for Medicare beneficiaries and submit it on any subsequent Claim Input File records for that injured party/beneficiary. This is CMS’ official identifier for the beneficiary and is the preferred data element for matching records to Medicare beneficiaries.

The Claim Response File detail records contain:

- The same DCN submitted on the corresponding Claim Input File record for matching purposes (Submitted DCN Field 2)

- The information the RRE supplied on the input record for the injured party and RRE TIN/Office Code:
    - Submitted Action Type (Field 3)
    - Injured Party HICN (Field 4)
    - Submitted Injured Party SSN (Field 5)
    - Submitted Injured Party Last Name (Field 6)
    - Submitted Injured Party First Name (Field 7)
    - Submitted Injured Party Middle Initial (Field 8)
    - Submitted Injured Party Gender (Field 9)
    - Submitted Injured Party DOB (Field 10)
    - Submitted Plan TIN (Field 11)
    - Submitted Plan Office Code/Site ID (Field 12)

- Applied information for the injured party, if identified as a Medicare beneficiary based upon the information submitted, and fields that indicate when and why Medicare is secondary to the other insurance reported on the input record (disposition of ‘01’, ‘02’, and ‘03’):
    - Applied Injured Party HICN (Field 14)
    - Applied Injured Party Last Name (Field 16)
    - Applied Injured Party First Name (Field 17)
    - Applied Injured Party Middle Initial (Field 18)

- Applied Injured Party Gender (Field 19)
- Applied Injured Party DOB (Field 20)
- Applied MSP Effective Date (Field 21)
- Applied MSP Termination Date (Field 22)
- Applied MSP Type Indicator (Field 23)

You may (but are not required to) use the Applied Injured Party Name, Gender and DOB fields to update your internal system and submit these values on any subsequent transactions for that injured party/Medicare beneficiary.

- An Applied Disposition Code (Field 25) that indicates the results of processing

- Error codes indicating why the record was rejected for errors (Fields 26 – 35)

- Compliance Flags (Fields 36 – 45) indicating that there were fields that were not reported according to Section 111 requirements or the record was not submitted timely.

You must develop processing to react to the response file. Disposition, error and compliance flag codes are shown in Appendix E.

12.1 Disposition Codes

The Applied Disposition Code is Field 25 on the Claim Response File detail record. Disposition code values are listed in Appendix E of this guide along with the actions the RRE must take upon receipt of each disposition code, if any.

Every Claim Input File record will receive a disposition code on the corresponding Claim Response File record. Records rejected due to errors receive an ‘SP’ disposition code and must be resubmitted. Records accepted for Section 111 reporting because the injured party was identified as a Medicare beneficiary based upon the information submitted receive an ‘01’, ’02, or ‘03’ disposition code and only need to be resubmitted under certain circumstances as specified below. Records with an injured party who was not identified as a Medicare beneficiary based upon the information submitted receive a ‘51’ disposition code. In rare cases, records that have not finished processing by the time the response file is generated will be returned with a disposition code of ’50’ and these must be resubmitted on the next quarterly file submission.

RREs must take the following actions:

- ‘**SP’ Disposition Code – Record in Error**
  Records returned with an ‘SP’ disposition code failed the COBC edits with errors and **must be corrected and resent on your next quarterly submission**. No interim Claim Input File submissions will be accepted. Associated error codes will be placed in Fields 26 – 35. Edits performed and associated error codes are documented in Appendix E.

- **‘51’ Disposition Code – Injured Party Not Identified as a Medicare Beneficiary**

Records returned with a ’51’ disposition code were not matched to a Medicare beneficiary.

- As long as the injured party information you submitted was completely correct and the claim does NOT represent ongoing responsibility for medicals, you do not have to submit this claim again for Section 111 reporting.
- ***If the claim represents ongoing responsibility for medicals, you must continue to monitor the status of the injured party*** as long as the claim remains open in order to determine if/when the injured party becomes entitled to Medicare. (Your monitoring process might include communication with the injured party and/or use of the Section 111 Query process described in Section 13.) When the RRE determines the injured party becomes entitled to Medicare, then the record must be resubmitted on the next submission of the Claim Input File. However, monitoring of such individuals may cease before they become a Medicare beneficiary if the ORM is not subject to reopening or otherwise subject to further request for payment **or** if the standard for ORM termination set forth in “Special Exception” of Section 11.6 regarding reporting termination of ORM is met.

- **’01 Disposition Code – Record Accepted for Individual Identified as a Medicare Beneficiary and ORM**
  Records accepted with an ‘01’ disposition code were accepted by the COBC as claims where the **RRE has indicated ongoing responsibility for medicals**. The claim record does not need to be reported again until the ongoing responsibility for medicals ends or updates are needed for material fields as described in previous sections (see the Event Table) or a resubmission is needed to correct the TIN due to a compliance flag (see Section 12.4) The response record will be returned with:
  - Applied MSP Effective and Termination Dates and MSP Type Indicator
  - Applied Injured Party HICN, Name, DOB, Gender
  - No error codes
  - Applicable compliance flags.

- **‘02’ Disposition Code – Record Accepted for Individual Identified as a Medicare Beneficiary and No ORM**
  Records accepted with an ‘02’ disposition code were accepted by the COBC as claims where the injured party is a Medicare beneficiary during the time between the CMS Date of Incident and TPOC Date and the **RRE has indicated NO ongoing responsibility for medicals**. The claim record does not need to be reported again unless updates are needed for material fields as described in previous sections (see the Event Table) or a resubmission is needed to correct the TIN due to a compliance flag (see Section 12.4). The response record will be returned with:
  - Applied Injured Party HICN, Name, DOB, Gender
  - No error codes
  - Applicable compliance flags.

- **‘03’ Disposition Code – Record Accepted for Individual Identified as a Medicare Beneficiary but Outside Entitlement Period**

Records accepted with an '03' disposition code were accepted by the COBC as claims where the injured party is a Medicare beneficiary, but the beneficiary's entitlement is outside the time period between the date of incident and TPOC Date or the date ORM ended, as applicable. The response record will be returned with:

- Applied Injured Party HICN, Name, DOB, Gender
- No error codes
- No compliance flags.

As long as the injured party information you submitted was completely correct and the claim does NOT represent ongoing responsibility for medicals, you do not have to submit a claim record again after receiving an '03' disposition code.

If the claim represents ongoing responsibility for medicals, you must continue to monitor the status of the injured party as long as the claim remains open in order to determine if/when the injured party becomes entitled to Medicare. (Your monitoring process might include, for example, communication with the injured party and/or use of the Section 111 Query process described in Section 13.) When the RRE determines the injured party becomes entitled to Medicare, then the record must be resubmitted on the next submission of the Claim Input File. However, monitoring of such individuals may cease before they become a Medicare beneficiary if the ORM is not subject to reopening or otherwise subject to further request for payment **or** if the standard for ORM termination set forth in "Special Exception" of Section 11.6 regarding reporting termination of ORM is met.

- **All Other Disposition Codes**
  Records that are rejected with any other disposition code **must be resubmitted on your next quarterly update file**. As a rule, you should check these records for accuracy, update the information previously sent, as applicable, and resubmit. At this time, the only disposition code that can occur is a '50' which indicates that the COBC did not finish processing the record in time to produce a response record within the required 45-day turnaround.

12.2 Error Codes

In Appendix E, all possible error codes and the edits performed on Claim Input Files are listed for reference.

Some error codes received on your Claim Response File may be due to errors on your TIN Reference File. If there is an error in a TIN or an insurer name or address submitted on a TIN Reference File, you will see the associated error codes posted on your corresponding Claim Response File records. In order to correct these errors, you will need to resubmit an updated TIN Reference File with your next quarterly Claim Input File submission.

12.3 File Level and Threshold Errors

12.3.1 Severe Errors

Files with any of the following severe errors will be suspended from processing. The RRE Account Manager will receive an e-mail notification of severe errors. You must contact your EDI Rep (see Section 18.1) to resolve the situation. Files with severe errors will be deleted by your EDI Rep and you must resend a corrected file.

- File does not contain a header record
- Header record not properly formatted (refer to file layout)
- Header record does not contain a valid Section 111 RRE ID
- Header record must be at the beginning of a file
- File does not contain a trailer record
- Trailer record not properly formatted (refer to file layout)
- Trailer record must have a corresponding header record
- RRE ID on the trailer record must match the RRE ID of the header record
- Record count on the trailer record must equal the number of detail records submitted
- File must start with a header record and end with a trailer record.

12.3.2 Threshold Errors

After completion of data quality edits, the COBC will check your Claim Input File to ensure it does not exceed any threshold restrictions. The file threshold checks include:

- 10% or more of the total records are delete transactions
- 20% or more of the total records failed with a disposition code of ‘SP’ due to errors
- More than one Claim Input File was submitted during your defined quarter.

A file that exceeds the threshold checks will be suspended from further processing until the suspension is overridden by your COBC EDI Rep. An e-mail will be sent to your Account Manager to inform him/her of this suspension. You must contact your assigned EDI Rep to discuss and resolve file threshold errors. Your file may be released for processing or, if sent in error, deleted by your EDI Rep in which case you must resend a corrected file as instructed by your EDI Rep.

12.4 Compliance Flags

The Claim Response File contains ten 2-byte Compliance Flags in Fields 36-45 which are indicators that provide information on issues related to reporting requirements compliance. The possible values that could be posted in these flags are documented in the Compliance Flag Code table in Appendix E. If no compliance issue is found with the record, all the Compliance Flags on the response file record will be blank. If only one issue is found, then the corresponding code will be placed in the first flag. If additional issues are found with the same record, then the corresponding compliance flag code will be placed in the second and subsequent

flags (the first available flag field). Compliance flags will only be set for records receiving an ‘01’ or ‘02’ Applied Disposition Code.

These flags are different from error codes. Unlike an error code, a record will **not** be rejected if one of the conditions to set the flags is found on the record. Instead, the record is processed. However the COBC will set the flags, track this information, and include it on compliance reports. The flags provide the RRE notice that the submitted record was not in compliance with Section 111 reporting requirements. You must review these flags, apply corrections to your internal system or data used for Section 111 reporting, and resubmit records with corrections as update records on your next quarterly Claim Input File submission, when applicable.

The first such flag has a value of ‘01’ which indicates that the submitted record containing a TPOC Date was not sent timely. It is put in the first available Compliance Flag field when the TPOC Date on the claim is more than 45 calendar days older than the start of the RRE’s prior quarter submission timeframe. If the TPOC Date is within 45 days prior to the start of your 7-day file submission timeframe, then you may submit that information on your next quarterly file. This grace period allows you time to process the new claim information internally prior to submission for Section 111. Another way to look at it is that any record received on a quarterly file submission will be marked as late if the TPOC Date is more than 135 days older than the start date of that same file submission period.

For example, suppose your second quarter file submission timeframe is June 1-7 and your third quarter file submission timeframe is September 1-7. The start date of your second quarter file submission is then June 1 and the start date of your third quarter file submission is September 1. A record with a TPOC Date of April 1 MUST be submitted on your second quarter file submission since April 1 is more than 45 days prior to June 1. If it is received in your third quarter file submission in September (or later), it will be considered late, and the corresponding response record will have an ‘01’ in the first available Compliance Flag. However, a record with a TPOC Date of May 1, if received in your third quarter file submission, will not be marked as late since it is not more than 45 days older than June 1. The record with a TPOC Date of May 1 may be submitted with your second quarter file submission in June if you have the information available in your system at that time. If not submitted in June, it MUST be submitted in your third quarter file submission in September.

The second compliance flag value is an ‘02’ which reflects the submission of a TIN that cannot be validated by the COBC. For example, if a Claim Input File record is submitted with an RRE/Plan TIN in Field 72 that matches a TIN submitted on the TIN Reference File but it is not found to be a valid, IRS-assigned TIN, then the record will be processed, but the corresponding Claim Response File record will contain a value of ‘02’ in the first available Compliance Flag. When a value of ‘02’ is received back in a Compliance Flag on a response record, you must obtain the valid TIN and resubmit the record as an update transaction on your next quarterly file submission. At the same time, the valid TIN and any associated Office Code must also be submitted on an updated TIN Reference File record.

The third possible flag has a value of ‘03’ which indicates that the submitted record containing an ORM Termination Date was not sent timely. It is put in the first

available Compliance Flag field when the ORM Termination Date on the claim record is more than 45 calendar days older than the start of the RRE's prior quarter submission timeframe. If the ORM Termination Date is within 45 days prior to the start of your 7-day file submission timeframe, then you may submit that information on your next quarterly file. This grace period allows you time to process the new claim information internally prior to submission for Section 111. Another way to look at it is that any record received on a quarterly file submission will be marked as late if the ORM Termination Date is more than 135 days older than the start date of that same file submission period.

Establishment/assumption of ongoing responsibility for medicals can take place at various times during a claim review. RREs will not receive a compliance flag regarding possible late submission of a 'Y' value for the ORM Indicator (Field 98 on the Claim Input File Detail Record). However, CMS reserves the right to audit an RRE and/or their agent(s) with respect to this issue (or any other Section 111 reporting issue). The RRE must have a record of when ongoing responsibility for medicals was assumed/terminated on a reported claim and when such ongoing responsibility for medicals was reported to the COBC under Section 111 in order to establish timely reporting.

13 Query Files

13.1 Query Process

RREs must implement a procedure in their claims resolution process to determine whether an injured party is a Medicare beneficiary. RREs must submit either the Social Security Number (SSN) or Medicare Health Insurance Claim Number (HICN) for the injured party on all Claim Input File detail records. RREs are to report only with respect to Medicare beneficiaries (including a deceased beneficiary if the individual was deceased at the time of the settlement, judgment, award or other payment). If a reported individual is not identified as a Medicare beneficiary based upon the submitted information, the COBC will reject the record for that individual.

The Query Input File is a dataset transmitted from a Section 111 RRE to request information regarding whether a particular injured party is a Medicare beneficiary (is or was entitled and enrolled in Medicare) prior to submitting the claim. Use of the Query Input and Response Files is optional under Section 111 reporting. You may use the query process to help you determine whether a particular claim must be reported under Section 111 due to the injured party being a Medicare beneficiary. Query Input File records must be submitted with the SSN or HICN, name, date of birth and gender of the injured party. The query process is to be used only for Section 111 reporting purposes. Please review the data use agreement in a later section of this guide for restrictions on the use of data exchanged for Section 111.

To determine whether an injured party is a Medicare beneficiary, the COBC must match your data to Medicare's. For matching an individual to determine if they are a Medicare beneficiary the COBC uses:

- HICN or SSN
- First initial of the first name
- First 6 characters of the last name
- Date of birth (DOB)
- Gender

First the COBC must find an exact match on the SSN or HICN. Then at least three out of the four remaining criteria must be matched exactly. If a match is found, you will always be returned the correct HICN. You should store this HICN on your internal files and use it on future transactions. This is CMS' official identifier for the beneficiary and will be used by the COBC when matching claim records to Medicare beneficiaries when submitted. The COBC will also supply updated values for the name, date of birth and gender in the applicable fields of the Query Response File records based on the information stored for that beneficiary on Medicare's files. The SSN returned on the response record will always be the SSN submitted on the query input record by the RRE for matching the response to the original query input record. Other than the HICN, the updated fields returned on the response record are simply for informational purposes.

After the COBC has processed the Query Input File it will return the Query Response File with a determination as to whether the queried injured party can be identified as a Medicare beneficiary based upon the information submitted. Note that due to privacy concerns, this file does not provide the actual dates of Medicare entitlement and enrollment or the reason for entitlement. The Query Response File records contain a Disposition Code in Field 8. A value of '01' indicates that the injured party submitted on the input record is/was a Medicare beneficiary and the record will contain the updated HICN, name, DOB and gender according to Medicare's information. A value of '51' indicates that the information supplied on the query record could not be matched to a Medicare beneficiary.

The Query Input and Response Files are transmitted using the ANSI X12 270/271 Entitlement Query transaction set (version 4010A1). However, the COBC will supply software (the HIPAA Eligibility Wrapper or HEW software) to translate flat files to and from the X12 270/271 format. The file layouts that serve as input and output for the HEW software are documented in Appendix D of this guide.

Note: Where you have information that the injured individual is/was a Medicare beneficiary early in your claim review process, you know that you will be reporting for that person if there is a settlement, judgment, award or other payment (TPOC and/or ORM). However, for an individual who is not Medicare beneficiary at the time he/she files a claim or whom you are initially unable to identify as a beneficiary, you **must** also determine beneficiary status as of the date of the settlement, judgment, award, or other payment (TPOC and/or ORM) if there is a TPOC and/or ORM.

13.2 HEW Software

The Query Files must be transmitted in the HIPAA-compliant ANSI X12 270/271 transaction set. You may use your own translator software, or the HIPAA Eligibility Wrapper (HEW) software (provided by the COBC) to submit a Query Input File and process the Query Response File.

During registration for Section 111 reporting, you will be asked to indicate whether you wish to use the HEW software. If you choose that option, you must request a copy of the HEW software from your EDI Representative. It is available in mainframe and PC/server versions.

If you choose to use your own ANSI X12 translator to create the ANSI X12 270 files for the Section 111 Query File and process the X12 271 response, please contact your EDI Representative for the necessary mapping documents.

To use the HEW software, you first will create an input file according to the specifications in Appendix D. This flat file is then used as input to the HEW software. You will install and run the HEW software in your data center. The HEW software produces the X12 270 eligibility query file format which you then transmit to the COBC. The COBC will send back your response file in the X12 271. You will feed that into the HEW software to produce the Query Response File according to the specifications in Appendix D. This flat file containing Medicare information for the individuals identified as Medicare beneficiaries based upon the information submitted can then be used in your internal

systems to assist with Claim Input File creation. Note that the Query Response File that is output from the HEW software does not contain any header or trailer records.

Query Only Input and Response File specifications for the flat files that are the input and output of the HEW software can be found in Appendix D.

13.3 Query File Requirements

- Query Files must be transmitted in the HIPAA-compliant ANSI X12 270/271 transaction set.
- Query Input Files may be submitted up to once per calendar month per RRE ID. These files do not have to be submitted during a specific submission timeframe.
- Query Response Files will be returned to you within 14 days.
- The following edits will be applied to the Query Input File. Any failure of these edits will result in the file being placed in a severe error status. You will receive an e-mail notification and are to contact your EDI Rep to address the identified errors. Files failing for these errors must be corrected before they can be processed.
    - File does not contain a header record
    - Header record does not contain a valid Section 111 Reporter ID
    - File does not contain a trailer record.
- E-mail notifications will be sent to your Account Manager after the file has been received and when a response file has been transmitted or is available for download.
- Query Response Files will be returned with NO header and trailer records.
- Each Query Response File record will contain a disposition code that indicates the results of matching the input record information to Medicare's file of beneficiary information. An exact match must be found on either the SSN or HICN supplied. Then three out of four of the remaining fields (first initial, first 6 characters of the last name, date of birth, and/or gender) must match in order for the record to be considered a match to a Medicare beneficiary. A value of '01' in the disposition code on the response record indicates that the injured party submitted on the input record is/was a Medicare beneficiary. A value of '51' indicates that the individual could not be identified as a Medicare beneficiary based upon the information submitted.
- If a match is found, the response record will also contain the HICN for the Medicare beneficiary as well as updates to the name, date of birth and gender as they are stored on Medicare's files.
- The SSN returned on the response record will always be the SSN submitted on the query input record by the RRE for matching the response to the original query input record

14 Testing the Section 111 Reporting Process

14.1 Testing Overview

RREs must pass a testing process for each file submission type prior to sending production files for Section 111. The testing process will ensure that the RRE has developed an adequate system internally to capture and report data to the COBC as well as process the corresponding response files. A series of test files will be submitted to the COBC in order to verify that the RRE can transmit files successfully in the correct format, accept and process response files, and properly submit add, update, and delete records. If the RRE is using an agent to test, the agent must submit and pass the testing process on behalf of the RRE. Testing must be completed for each RRE ID registered.

RREs will submit test files in the same manner as the method they choose for submitting production files (HTTPS, SFTP or Connect:Direct). All RREs will be able to monitor the status of the testing process on the COBSW no matter what method is chosen.

The results of the Claim Input File testing will trigger the transition of an RRE from a testing status to a production status. However, testing of the Query Files is highly recommended.

Your COBC EDI Representative will be your main point of contact to assist you throughout the testing process.

14.2 Claim File Testing

Claim Input File testing requirements:

- RREs must complete the registration and account setup process and return the signed profile report to the COBC before testing may begin.
- The RRE must transmit test files to the COBC in the same transmission method as that chosen for production files.
- The COBC will maintain a test environment that contains a mirror image of the COB Beneficiary Master Database containing all beneficiary information the COBC has in production and programs that will mimic the way the files would be processed in production, with the exception of actually updating other Medicare systems and databases.
- Test Medicare beneficiaries will be provided for RRE use, as these submitters may not yet know of real Medicare beneficiaries.
- RREs will send actual production claim information using the test Medicare beneficiary identifiers for the injured party on some test records in order to test getting a match to a Medicare beneficiary. On other test records, injured party information that does not match the test Medicare beneficiary identifiers should be sent to test conditions where the injured party is not a Medicare beneficiary.
- Test files **must** be limited to no more than 100 records. Only the first 100 records will be processed if the submitted file exceeds 100 records.

- The system will apply the same file error threshold checks to test files as those applied to production files. The full file must be processed for threshold and severe error checks to be completed.
- RREs must submit at least the following test files:
    - One initial Claim Input File with at least 25 add records.
    - A second Claim Input File with at least 5 updates and 5 deletes for previously submitted records.
    - A TIN Reference File with information for at least one TIN/Office Code combination. The Office Code may be left blank if not used.
- RREs must process at least the following test response files sent back by the COBC:
    - Two (2) corresponding Claim Response Files.
- The COBC will return test Claim Response Files within one week of submission of the test Claim Input File.
- RREs must successfully perform the following to pass the testing process:
    - Post at least 25 new claims with add records in *one* file submission. These records must receive either an '01', '02', or '03 disposition code on corresponding response file records.
    - Complete at least 5 updates to previously posted records in *one* file submission.
    - Complete at least 5 deletes to previously posted records in *one* file submission.

  Additional test files must be submitted until these requirements are met.
- RREs choosing the COBSW to transmit files will receive a test mailbox (directory) separate from their production mailbox. RREs choosing Connect:Direct will send test files to a different destination dataset name than production files.

The COBC will track the progress made with test files, display results on the COBSW and put the RRE in a "production" status after the testing requirements have been successfully completed. In the Section 111 application on the COBSW, users will be able to see what test files were submitted and processed, the number of records accepted and rejected and whether the testing requirements have been fulfilled. The RRE may continue to test with additional test file submissions after being placed in a production status. Subsequent test files received will be processed by the COBC, response files produced and results displayed on the COBSW.

Testing progress and completion dates will be tracked and reported in the system by the COBC. The COBSW will provide a Testing Results page to show the status of test file processing. Information regarding the attainment of test requirements will be available there for review. All Users associated with the RRE's account on the COBSW will be able to monitor the status of the testing process on the COBSW. If testing is not completed by an RRE by the production file submission date, an e-mail notification will be sent to the Account Manager. RRE accounts that have been in a "testing" status for more than 30 calendar days will receive an e-mail indicating that the account may be at risk of failing Section 111 Mandatory Reporting compliancy.

Once Claim Input File testing has been completed and the RRE has moved to a production status, an e-mail will be sent to the RRE's Authorized Representative and

Account Manager to notify them of the change in status and that production files may now be submitted.

14.3 Query File Testing

Since the use of the query process is optional, the RRE testing status is only driven off testing results from the Claim Input File. The Query Input and Response File testing requirements are less stringent. As described previously, you may use the HEW software to produce your test Query Input Files and process your test Query Response Files or use your own X12 translator software. Your EDI Rep will supply you with the HEW software if you request it during account setup. If you are using your own translator, contact your EDI Rep for the necessary mapping documentation.

Test Query Input Files **must** be limited to 100 records. RREs will submit test files in the same manner as the method they choose for submitting production files (HTTPS, SFTP or Connect:Direct). You may use the information for test Medicare beneficiaries provided for Claim Input File testing to test for positive responses. You may provide a test Query Input File to the COBC after the COBC has received your signed profile report.

After processing the test Query Input File, the COBC will provide you a test Query Response File identifying those individuals identified as a Medicare beneficiary and those individuals who could not be identified as a Medicare beneficiary based upon the information submitted as prescribed by the file record layouts in Appendix D. The COBC will return a Query Response File to you within a week of receipt of test file submission. The COBC will request that you submit another Query Input Test File if errors are found with the test submission. After you are satisfied with the results of the testing, you may begin submitting regular production Query Input Files on a monthly basis.

Testing for the query process may be completed before, during or after your testing of the Claim Input File. Testing for the query process may be completed after the RRE has been set to a production status. **RREs should make the Claim Input File testing the first priority.**

Query File testing requirements:

- RREs must complete the registration and account setup process and return the signed profile report to the COBC before testing may begin.
- The RRE must transmit test files to the COBC in the same transmission method as that chosen for production files.
- The COBC will maintain a test environment that contains a mirror image of the COB Beneficiary Master Database containing all beneficiary information the COBC has in production and programs that will mimic the way the files would be processed in production.
- Test Medicare beneficiaries will be provided for RRE use, as these submitters may not know of Medicare beneficiaries.

- RREs should send actual injured party information on some records in the test files in order to test realistic situations. Some query records should be submitted with test Medicare beneficiary information and some with actual information for injured parties as they appear in production to test the condition where a match to a Medicare beneficiary is found and where it is not.
- Test files **must** be limited to no more than 100 records. Only the first 100 records will be processed if the submitted file exceeds 100 records.
- RREs should submit at least the following test files:
    - One Query Input File with at least one detail record.
    - Additional Query Input Files as needed until the input and response files are processed successfully.
- RREs should process at least the following test response files sent back by the COBC:
    - One (1) corresponding Query Response File.
    - Additional response files as needed.
- The COBC will return test Query Response Files within one week of submission of the test Query Input File.
- RREs choosing the COBSW to transmit files will receive a test mailbox separate from their production mailbox. RREs choosing Connect:Direct send test files to a different destination dataset name than production files.

15 Electronic Data Exchange

15.1 Overview

There are three separate methods of data transmission that Section 111 RREs may utilize. As part of your registration for Section 111 on the COBSW, you will indicate the method you will use and submit the applicable transmission information. Each file type (Claim Input or Query Input) can be set up with the same file transmission method or you may select a different file transmission method for each. However, whatever method is selected for the file type will be used to transmit the corresponding response file back to the RRE.

Generally speaking, if you expect to be transmitting files with more than 24,000 records in one file submission on a regular basis, it is suggested that you use either the Connect:Direct or SFTP methods described below. HTTPS is more suitable for use with smaller files due to the time it may take to upload and download files during an active user session using that method.

15.2 Connect:Direct (NDM via the AT&T Global Network System (AGNS))

For responsible reporting entities with very large transmission volume the preferred method of electronic transmission is Connect:Direct (formerly known as Network Data Mover [NDM]) via the AT&T Global Network System (AGNS). AGNS is capable of transporting multiple protocol data streams to its clients world-wide, and uses triple DES as its encryption default. Use of either SNA or TCP/IP is available to submitters connected to the AGNS network.

Using this method, responsible reporting entities must first establish an AGNS account in order to send files directly to the COBC over AGNS. Section 111 responsible reporting entities that currently do not have an existing AGNS account and plan to send and receive information using this telecommunications link should contact AT&T or one of the well-established resellers of AT&T services to obtain a dedicated or a dial-up access line to the AGNS VAN. ***You are encouraged to do this as soon as possible since this setup can take a significant amount of time.***

During COBSW account setup, you will provide the AGNS account and connectivity information needed for this file transfer method as well as the dataset names you want the COBC to use when sending back response files. After your registration has been processed, the COBC will e-mail a profile report with the COBC VTAM information and your Section 111 destination dataset names to which you will send your input files. The dataset naming convention you will use to transmit files to the COBC under this method is:

Production Files

For Claim Input/TIN Reference Files:	PCOB.BA.MRNGHPCL.Rxxxxxxx(+1)
For Query Input Files:	PCOB.BA.MRNGHPQO.Rxxxxxxx(+1)

Test Files

For Claim Input/TIN Reference Files: TCOB.BA.MRNGHPCL.Rxxxxxxx(+1)
For Query Input Files: TCOB.BA.MRNGHPQO.Rxxxxxxx(+1)

Where xxxxxxx – is the last 7 digits of your Section 111 Reporter ID (RRE ID) assigned to you after registration as shown on your profile report.

Files transmitted directly to the COBC via AGNS using Connect:Direct will be automatically converted to EBCDIC.

The information your Account Manager must provide, *for each file type*, during Section 111 COBSW account setup is as follows:

- AGNS Account ID
- Node ID, Net ID and Appl ID for SNA connections or IP Address and Port Address for IP connections
- Test and production destination dataset names to which you want the COBC to send your response files
- Optional special instructions such as file triggers you want the COBC to use.

Note: Your Account Manager must have the file transmission information listed above on hand when completing account setup on the COBSW. If this information cannot be provided, the account setup step cannot be completed, other account information entered during that step will not be saved and your Account Manager will have to return to perform account setup from the beginning at a later time.

15.3 Secure File Transfer Protocol (SFTP)

RREs who select the SFTP method will transmit files over the Internet to and from the COBC for Section 111 using directories (mailboxes) created on the COBC Secure Web site (COBSW). Separate directories are set up for each RRE ID. Subdirectories are set up for test input, production input, test response files and production response files (see below). The directories/mailboxes are automatically created when your Account Manager selects SFTP as the file transmission method during COBSW account setup.

A Login ID and Password are required for the SFTP file transmission method. Any Login ID/Password assigned to a user of the Section 111 application on the COBSW associated with the RRE account may be used. During initial account setup on the COBSW, the RRE's Account Manager will create a Login ID and Password (or use his previously defined Login ID when performing setup for multiple RRE IDs). The Account Manager may then log in to the site and invite other users to be become Account Designees associated with the RRE. Each Account Designee will obtain his own Login ID and Password. These same Login IDs and Passwords are to be used for SFTP transmission. Each user of the COBSW will have one Login ID and Password. That same Login ID and Password can be used for multiple RRE SFTP transmissions. For example, an agent may be an Account Manager or Account Designee for many RREs. That agent may use his one COBSW Login ID and

Password to transmit files for all his RRE clients via SFTP. The agent may also use this Login ID to log in to the COBSW application and monitor file processing.

Note: Passwords for the COBSW must be changed every 60 days. You must sign on to the Section 111 Application on the COBSW in order to change your password. Failure to maintain a current password will result in an unsuccessful SFTP file transfer. The COBC recommends that you login to the COBSW and perform the Change Password function once a month to avoid password expiration.

For this transmission method, CMS has extensive experience using the Sterling Connect:Enterprise Secure Client. The cost to you to acquire this software is nominal. However, you may use other software as long as it is SSH v2 capable.

The following table contains the information you will need to configure your SFTP client software to transmit Section 111 files:

Type of Server	Standard SSH Server
Host IP Address of Server	sftp.section111.cms.hhs.gov
Port Number of Server	10022
Credentials (User ID and Password)	Individual COBSW Login ID and Password assigned to an Account Manager or Account Designee associated with the RRE ID account.

Each RRE mailbox will be defined with the following directory/subdirectories (where RREID is the 9-digit Section 111 Reporter ID or RRE ID.) Subdirectory names are in lower case. These are the directories to which you will send files for upload to the COBSW and from which you will pull files for download. The COBC will not actually transmit response files back to the RRE or its agent. You must pull/download response files from the COBSW.

Input Files (upload):

RREID/submission/test

RREID/submission/prod

Response Files (download):

RREID/response/test/claim

RREID/response/test/query-only

RREID/response/prod/claim
RREID/response/prod/query-only

There is no specific naming convention needed for uploaded input files.

The COBC will name response files according to the following convention and place them in the corresponding subdirectories for download by the RRE or its agent:

Claim Response: PCOB.BA.MR.NGHPCLM.RESP.Dccyymmdd.Thhmmssmm.TXT
Query Response: PCOB.BA.MR.NGHPQRY.RESP.Dccyymmdd.Thhmmssmm.TXT

Where 'Dccyymmdd' is 'D' followed by date century/year/month/day and 'Thhmmssmm' is 'T' followed by hours/minutes/seconds/milliseconds.

Files successfully transmitted via SFTP to the COBSW are not subsequently accessible by users of the COBSW. A user cannot not view or delete a file on the COBSW once sent. If a file is transmitted in error, you should contact your EDI Rep for assistance.

Response files will remain available for downloading for two calendar quarters (180 days). Response files can be downloaded more than once as needed. COBSW users cannot delete response files from the COBSW. The COBC will remove these files automatically after 180 days.

Files submitted via SFTP to the COBSW should utilize an ASCII format. Fields within the records are length delimited and all records are fixed length.

15.4 Hypertext Transfer Protocol over Secure Socket Layer (HTTPS)

Files uploaded via HTTPS are sent over the Internet to the COB Secure Web site (COBSW). There is no additional cost associated with using this method as long as a standard Internet browser is used. However, because this method requires a user to be logged in to the COBSW with an active session, use of HTTPS is only recommended for entities with a relatively small amount of data to submit (less than 24,000 records on a regular basis).

During account setup on the COBSW, your Account Manager can select this method for file transfer. The account setup process is described in a previous section of the guide. The RRE's Account Manager obtains a COBSW Login ID and Password during the account setup process. After that, the Account Manager can sign onto the COBSW and invite other users to obtain Login IDs and be associated with the RRE's account as Account Designees. All users associated with the RRE's account will have the ability to upload input files and download response files.

COBSW users associated with the RRE's account will logon to the Section 111 application on the COBSW at www.Section111.cms.hhs.gov and use the application interface to upload and download files. Instructions are provided in the Section 111 COBSW User Guide available on the site and associated Help pages. Users must

maintain an active session on the Section 111 application on the COBSW when uploading or downloading files via the HTTPS file transfer method.

Files uploaded successfully to the COBSW are not subsequently accessible by users of the COBSW. A user cannot not view or delete a file once uploaded. If a file is uploaded in error, you should contact your EDI Rep for assistance.

Response files will remain available for downloading for two calendar quarters (180 days). Response files can be downloaded more than once as needed. COBSW users cannot delete response files from the COBSW. The COBC will remove these files automatically after 180 days.

There is no specific naming convention needed for uploaded input files.

The COBC will name response files according to the following convention. A list of files available for download will be presented to users of the COBSW when selecting the download option in the Section 111 COBSW application.

Claim Response: PCOB.BA.MR.NGHPCLM.RESP.Dccyymmdd.Thhmmssmm.TXT
Query Response: PCOB.BA.MR.NGHPQRY.RESP.Dccyymmdd.Thhmmssmm.TXT

> Where 'Dccyymmdd' is 'D' followed by date century/year/month/day and 'Thhmmssmm' is 'T' followed by hours/minutes/seconds/milliseconds.

Files submitted via HTTPS to the COBSW should utilize an ASCII format. Fields within the records are length delimited and all records are fixed length.

16 Data Use Agreement

As part of the Section 111 registration process, the Authorized Representative for each Section 111 RRE will be asked to sign a copy of the following data use agreement. It will be included on the profile report sent to the Authorized Representative after Section 111 COBSW registration and account setup. The Authorized Representative must sign and return the last page of the profile report to the COBC. In addition, all users must agree to similar language each time they log on to the Section 111 application of the COBSW. Data exchanged for Section 111 is to be used solely for the purposes of coordinating health care benefits for Medicare beneficiaries between Medicare and Section 111 RREs. Measures must be taken by all involved parties to secure all data exchanged and ensure it is used properly.

SAFEGUARDING & LIMITING ACCESS TO EXCHANGED DATA

I, the undersigned Authorized Representative of the Responsible Reporting Entity (RRE) defined above, certify that the information contained in this Registration is true, accurate and complete to the best of my knowledge and belief, and I authorize CMS to verify this information. I agree to establish and implement proper safeguards against unauthorized use and disclosure of the data exchanged for the purposes of complying with the Medicare Secondary Payer Mandatory Reporting Provisions in Section 111 of the Medicare, Medicaid and SCHIP Extension Act (MMSEA) of 2007. Proper safeguards shall include the adoption of policies and procedures to ensure that the data obtained shall be used solely in accordance with Section 1106 of the Social Security Act [42 U.S.C. § 1306], Section 1874(b) of the Social Security Act [42 U.S.C. § 1395k(b)], Section 1862(b) of the Social Security Act [42 U.S.C. § 1395y(b)], and the Privacy Act of 1974, as amended [5 U.S.C. § 552a]. The Responsible Reporting Entity and its duly authorized agent for this Section 111 reporting, if any, shall establish appropriate administrative, technical, procedural, and physical safeguards to protect the confidentiality of the data and to prevent unauthorized access to the data provided by CMS. I agree that the only entities authorized to have access to the data are CMS, the RRE or its authorized agent for Mandatory Reporting. RREs must ensure that agents reporting on behalf of multiple RREs will segregate data reported on behalf of each unique RRE to limit access to only the RRE and CMS and the agent. Further, RREs must ensure that access by the agent is limited to instances where it is acting solely on behalf of the unique RRE on whose behalf the data was obtained. I agree that the authorized representatives of CMS shall be granted access to premises where the Medicare data is being kept for the purpose of inspecting security arrangements confirming whether the RRE and its duly authorized agent, if any, is in compliance with the security requirements specified above. Access to the records matched and to any records created by the matching process shall be restricted to authorized CMS and RRE employees, agents and officials who require access to perform their official duties in accordance with the uses of the information as authorized under Section 111 of the MMSEA of 2007. Such personnel shall be advised of (1) the confidential nature of the information; (2) safeguards required to protect the information, and (3) the administrative, civil and criminal penalties for noncompliance contained in applicable Federal laws.

17 COB Secure Web Site

The COBC will maintain a new application on the Medicare COB Secure Web site (COBSW) to support Section 111 reporting. Section 111 Liability, No-Fault, and Workers' Compensation RREs will register and set up accounts on the COBSW starting May 1, 2009. The COBSW URL is www.Section111.cms.hhs.gov.

On the COBSW, Section 111 reporters will be able to:

- Complete the registration process. All information will be collected through an interactive Web application.
- Obtain Login IDs and assign users for Section 111 RRE ID COBSW accounts.
- Exchange files via HTTPS or SFTP directly with the COBC.
- View and update Section 111 reporting account profile information such as contacts and company information.
- View the status of current file processing such as when a file was marked as received and whether a response file has been created.
- View statistics related to previous file submission and processing.
- View statistics related to compliance with Section 111 reporting requirements such as whether files and records have been submitted on a timely basis.

The registration and account setup process were described in a previous section of this guide. Additional information can be found on the homepage under the "How To…" menu option. Once users are logged into the site, they will have access to a detailed user guide and Help pages associated with each function.

18 Customer Service and Reporting Assistance for Section 111

Please be sure to visit the Section 111 page on the CMS Web site www.cms.hhs.gov/MandatoryInsRep frequently for updated information on Section 111 reporting requirements including updates to this guide. In order to be notified via e-mail of updates to this page, click on the "For e-mail updates and notifications" link and add your e-mail address to the distribution list for these updates.

18.1 EDI Representative

After you register for Section 111 reporting, you will be assigned a COBC EDI Rep to be your main contact for Section 111 file transmission and reporting issues. Contact information for your EDI Rep will be provided on your profile report.

If you have not yet been assigned an EDI Representative, please call the COBC EDI Department number at 646-458-6740 for assistance.

18.2 Contact Protocol for the Section 111 Data Exchange

In all complex electronic data management programs there is the potential for an occasional breakdown in information exchange. If you have a program or technical problem involving your Section 111 data exchange, the first person to contact is your own EDI Representative at the COBC. Your EDI Rep should always be sought out first to help you find solutions for any questions, issues or problems you have.

If you have not yet been assigned an EDI Representative, please call the COBC EDI Department number at 646-458-6740 for assistance.

If after working with your EDI Rep, you think your problem could benefit from help at a higher level, please contact Jeremy Farquhar, at 646-458-6614. His email address is JFarquhar@ghimedicare.com.

If you feel further escalation is necessary, contact the COBC EDI Manager, Bill Ford, at 646-458-6613. Mr. Ford's e-mail address is WFord@ghimedicare.com.

The COBC Project Director, with overall responsibility for the COBC EDI Department, is Jim Brady. Mr. Brady can be reached at 646-458-6682. His e-mail address is JBrady@ghimedicare.com.

19 Training and Education

Various forms of training and educational materials will be available to help you with Section 111 in addition to this guide.

- The Section 111 CMS Web page at www.cms.hhs.gov/MandatoryInsRep will contain links to all CMS publications regarding the MSP Mandatory Reporting Requirements under Section 111 of the MMSEA of 2007. In order to be notified via e-mail of updates to this page, click on the "For e-mail updates and notifications" link and add your e-mail address to the distribution list for these updates.
- During implementation of the Section 111 reporting, CMS is conducting a series of teleconferences to provide information regarding Section 111 reporting requirements. The schedule for these calls is posted (and updated as new calls are scheduled) on the Section 111 Web page at www.cms.hhs.gov/MandatoryInsRep.
- CMS will make available a curriculum of computer-based training (CBT) courses to Section 111 RREs. These courses will provide overviews of Medicare and MSP in addition to in-depth training on Section 111 reporting requirements, file transmission, file formats, and file processing. Instructions on how to sign up for these courses is posted on www.cms.hhs.gov/MandatoryInsRep. Those who sign up before the courses are available will be notified once the courses are available.

Note: The Section 111 User Guides and instructions do not and are not intended to cover all aspects of the MSP program. Although these materials may provide high level

overviews of MSP in general, any individual/entity which has responsibility as a primary payer to Medicare is responsible for his/her/its obligations under the law. The statutory provisions for MSP can be found at 42 U.S.C. 1395y(b); the applicable regulations can be found at 42 C.F.R. Part 411. Supplemental guidance regarding the MSP provisions can be found at the following web pages: www.cms.hhs.gov/COBGeneralInformation, www.msprc.info, and www.cms.hhs.gov/WorkersCompAgencyServices.

20 Checklist - Summary of Steps to Register, Test and Submit Production Files

In summary, the following are the high-level steps you need to follow to set up your reporting process for Section 111:

- Determine individuals that will be the RRE's Authorized Representative, Account Manager and Account Designees.
- Determine whether reporting agents will be used.
- Determine how claim files will be submitted – one file for the RRE or separate files based on line of business, agent, subsidiaries, etc. which will require more than one RRE ID.
- Determine which file transmission method you will use. If you choose SFTP/HTTPS, you will transmit files via the COBSW. If you choose Connect:Direct (AGNS) establish a connection to AGNS, if you don't have one yet, and create transmission jobs and datasets.
- Complete your registration for each RRE ID needed, including file transmission information on the COB Secure Web site (COBSW) between May 1, 2009 and June 30, 2009.
- Receive your profile report via e-mail indicating your registration and account setup were accepted by the COBC.
- Verify, sign and return your profile report to the COBC.
- Review file specifications, develop software to produce Section 111 files, and schedule your internal quarterly submission process.
- Test each Section 111 file type you will be exchanging with the COBC.
- Submit your initial Claim Input File by your assigned production live date.
- Submit your Query File as needed but no more than monthly ongoing.
- Submit your quarterly Claim Input File ongoing during your assigned submission periods.

Appendix A – Claim Input File Layout

MMSEA Section 111 Mandatory Reporting - Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation

Claim Input File Layout

Claim File Header Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Header Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGCH'. **Required.**
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111 Reporter ID #. **Required.**
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Must be 'NGHPCLM'. **Required.**
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the COBC. Format: CCYYMMDD **Required.**
5	Reserved for Future Use	2192	29	2220	Alpha-numeric	Fill with spaces.

Claim File Detail Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Injured Party/Medicare Beneficiary Information (The injured party is/was a Medicare beneficiary.)						
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGCD'. **Required.**
2	DCN	15	5	19	Alpha-numeric	Document Control Number; assigned by the Section 111 RRE. Each record shall have a unique DCN within the file submitted. The DCN only needs to be unique within the current file being submitted. DCN will be supplied back by COBC on corresponding response file records for tracking purposes. **Required.**
3	Action Type	1	20	20	Numeric	Action to be performed. Valid values: 0 = Add 1 = Delete 2 = Update/Change 3 = Update for additional, separate TPOC Report Note: For changes/corrections to the initial TPOC report use "2." Some settlements, judgments, or awards provide for additional awards/payment if certain criteria are met. This would be an example of a situation where "3" would be used. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
4	Injured Party HICN	12	21	32	Alpha-numeric	Medicare Health Insurance Claim Number Fill with spaces if unknown and SSN provided. **Required if SSN not provided.**
5	Injured Party SSN	9	33	41	Alpha-numeric	Social Security Number Fill with spaces if unknown and HICN provided. **Required if HICN not provided.**
6	Injured Party Last Name	40	42	81	Alpha-betic	Surname of Injured Party **Required.**
7	Injured Party First Name	30	82	111	Alpha-betic	Given or first name of Injured Party. **Required.**
8	Injured Party Middle Init	1	112	112	Alpha-betic	First letter of Injured Party middle name. Fill with space if unknown.
9	Injured Party Gender	1	113	113	Numeric	Code to reflect the sex of the injured party. Valid values: 1 = Male 2 = Female 0 = Unknown Default to 0, if unknown. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
10	Injured Party DOB	8	114	121	Numeric Date	Date of Birth of Injured Party Format: CCYYMMDD **Required.**
11	Reserved for Future Use	20	122	141	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
***Injury/Incident/Illness* Information**						
12	**CMS** Date of Incident (DOI): *DOI as defined by CMS*	8	142	149	Numeric Date	Date of Incident (DOI) ***as defined by CMS*:** For an automobile wreck or other accident, the date of incident is the date of the accident. For claims involving exposure (including, for example, occupational disease and any associated cumulative injury) the DOI is the ***date of first exposure*.** For claims involving ingestion (for example, a recalled drug), it is the ***date of first ingestion*.** For claims involving implants, it is the ***date of the implant (or date of the first implant if there are multiple implants)***. Note: CMS' definition of DOI generally differs from the definition routinely used by the insurance/workers' compensation industry (Field 13) only for claims involving exposure, ingestion, or implants. Format: CCYYMMDD **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
13	**Industry** Date of Incident (DOI): *DOI routinely used by the insurance/workers' compensation industry*	8	150	157	Numeric Date	Date of Incident (DOI) *used by the insurance/workers' compensation industry*: For an automobile wreck or other accident, the date of incident is the date of the accident. For claims involving exposure, ingestion, or implantation, the date of incident is the date of ***last*** exposure, ingestion, or implantation. Note: The definition of DOI routinely used by the insurance/workers' compensation industry DOI generally differs from the definition which CMS must use (Field 12) only for claims involving exposure, ingestion, or implants. Format: CCYYMMDD **Optional.**
14	Reserved for Future Use	1	158	158	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Codes.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
15	Alleged Cause of Injury, Incident, or Illness	5	159	163	Alpha-numeric	ICD-9-CM (International Classification of Diseases, Ninth Revision, Clinical Modification) External Cause of Injury Code "E Code" describing the alleged cause of injury/illness (E800-E999). Left justify. Do not include decimal. Refer to http://www.cdc.gov/nchs/datawh/ftpserv/ftpicd9/icdguide08.pdf and http://www.cdc.gov/nchs/datawh/ftpserv/ftpicd9/ftpicd9.htm. **Required for New Claim Records Submitted on or after January 1, 2011. See Field 57 for interim requirement.**
16	Reserved for Future use	2	164	165	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Codes.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
17	State of Venue	2	166	167	Alpha-betic	US postal abbreviation corresponding to the US State whose state law controls resolution of the claim. Insert "US" where the claim is a Federal Tort Claims Act liability insurance matter or a Federal workers' compensation claim. If the state of venue is in dispute at the time an RRE reports acceptance on ongoing responsibility for medicals, the RRE should use its best judgment regarding the state of venue and submit updated information, if applicable, when the ongoing responsibility is terminated or further reporting is required because of a settlement, judgment, award or payment other than payment made under the ongoing responsibility for medicals. **Required.**
18	Reserved for Future Use	1	168	168	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
19	ICD-9 Diagnosis Code 1	5	169	173	Alpha-numeric	ICD-9-CM (International Classification of Diseases, Ninth Revision, Clinical Modification) Diagnosis Code describing the alleged injury/illness. Left justify. Do not include decimal. Refer to http://www.cdc.gov/nchs/datawh/ftpserv/ftpicd9/icdguide08.pdf and http://www.cdc.gov/nchs/datawh/ftpserv/ftpicd9/ftpicd9.htm. At least one ICD-9 Diagnosis Code (001 – V8909) is required. **Required for new claim records submitted on or after January 1, 2011. See Field 57 for interim requirement.**
20	Reserved for Future Use	2	174	175	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
21	ICD-9 Diagnosis Code 2	5	176	180	Alpha-numeric	See explanation for Field 19. May include additional ICD-9 Diagnosis Code or ICD-9 External Cause of Injury Codes "E Code" (E800-E999) if applicable. **Required when multiple body parts are affected.** Provide if available/applicable.
22	Reserved for Future Use	2	181	182	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
23	ICD-9 Diagnosis Code 3	5	183	187	Alpha-numeric	See explanation for Field 19 and 21. **Required when 3 or more body parts are affected.** Provide if available/applicable.
24	Reserved for Future Use	2	188	189	Alpha-numeric	Fill with spaces.
25	ICD-9 Diagnosis Code 4	5	190	194	Alpha-numeric	See explanation for Field 19 and 21. **Required when 4 or more body parts are affected.** Provide if available/applicable.
26	Reserved for Future Use	2	195	196	Alpha-numeric	Fill with spaces.
27	ICD-9 Diagnosis Code 5	5	197	201	Alpha-numeric	See explanation for Field 19 and 21. **Required when 5 or more body parts are affected.** Provide if available/applicable.
28	Reserved for Future Use	2	202	203	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
29	ICD-9 Diagnosis Code 6	5	204	208	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
30	Reserved for Future Use	2	209	210	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
31	ICD-9 Diagnosis Code 7	5	211	215	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
32	Reserved for Future Use	2	216	217	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
33	ICD-9 Diagnosis Code 8	5	218	222	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
34	Reserved for Future Use	2	223	224	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
35	ICD-9 Diagnosis Code 9	5	225	229	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
36	Reserved for Future Use	2	230	231	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
37	ICD-9 Diagnosis Code 10	5	232	236	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
38	Reserved for Future Use	2	237	238	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
39	ICD-9 Diagnosis Code 11	5	239	243	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
40	Reserved for Future Use	2	244	245	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
41	ICD-9 Diagnosis Code 12	5	246	250	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
42	Reserved for Future Use	2	251	252	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
43	ICD-9 Diagnosis Code 13	5	253	257	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
44	Reserved for Future Use	2	258	259	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
45	ICD-9 Diagnosis Code 14	5	260	264	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
46	Reserved for Future Use	2	265	266	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
47	ICD-9 Diagnosis Code 15	5	267	271	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
48	Reserved for Future Use	2	272	273	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
49	ICD-9 Diagnosis Code 16	5	274	278	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
50	Reserved for Future Use	2	279	280	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
51	ICD-9 Diagnosis Code 17	5	281	285	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
52	Reserved for Future Use	2	286	287	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
53	ICD-9 Diagnosis Code 18	5	288	292	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
54	Reserved for Future Use	2	293	294	Alpha-numeric	Fill with spaces. For future expansion to ICD-10 Diagnosis Codes.
55	ICD-9 Diagnosis Code 19	5	295	299	Alpha-numeric	See explanation for Field 19 and 21. Provide if available/applicable.
56	Reserved for Future Use	59	300	358	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
57	Description of Illness/Injury	50	359	408	Alpha-numeric	Free-form text description of illness or injury. Include description of major body part injured (e.g. head, arm, leg, etc.) and cause of illness/injury. **Required through December 31, 2010, if no Alleged Cause of Illness/Injury Code (Field 15) <u>or</u> no ICD-9 Diagnosis Code 1 (Field 19) provided.** **Prior to January 1, 2011, RREs must provide either:** **1) both the Alleged Cause of Injury, Incident, or Illness (Field 15) and at least one diagnosis code in the ICD-9 Diagnosis Code 1 (Field 19); or** **2) the Description of Illness/Injury (Field 57).** **New claim records submitted on or after January 1, 2011 must contain both the Alleged Cause of Injury, Incident, or Illness (Field 15) and the ICD-9 Diagnosis Code 1 (Field 19).** **NOTE: This field will be changed to "Reserved for Future Use" and must be filled with spaces for new claim records submitted on or after January 1, 2011.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
58	Product Liability Indicator	1	409	409	Alpha-numeric	Indicates whether injury, illness or incident was allegedly caused by/contributed to by a particular product. Some product liability situations involve a product which allegedly results in situations involving falls or other accidents. Others may involve exposure to, implantation of, or ingestion of a particular product. Valid values: 1 = No 2 = Yes, but not a mass tort situation. 3 = Yes, and is a mass tort situation. ***Required.***
59	Product Generic Name	40	410	449	Alpha-numeric	Generic name of product alleged to be cause of injury, illness or incident. If no generic name applicable, supply brand name. **Required if Product Liability Indicator (Field 58) is 3 (mass tort).** **Required for new claim records submitted on or after January 1, 2011, if Product Liability Indicator (Field 58) is either 2 or 3.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
60	Product Brand Name	40	450	489	Alpha-numeric	Brand name of product alleged to be cause of injury, illness or incident. **Required if Product Liability Indicator (Field 58) is 3.** **Required for new claim records submitted on or after January 1, 2011, if Product Liability Indicator (Field 58) is either 2 or 3.**
61	Product Manufacturer	40	490	529	Alpha-numeric	Maker of product named in Fields 59 and/or 60 above. **Required if Product Liability Indicator (Field 58) is 3.** **Required for new claim records submitted on or after January 1, 2011, if Product Liability Indicator (Field 58) is either 2 or 3.**
62	Product Alleged Harm	200	530	729	Alpha-numeric	Free-form description of harm allegedly caused by product named in Fields 59 and/or 60 above. **Required if Product Liability Indicator (Field 58) is 3.** **Required for new claim records submitted on or after January 1, 2011, if Product Liability Indicator (Field 58) is either 2 or 3.**
63	Reserved for Future Use	20	730	749	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Self-Insurance Information – Information required to: 1) indicate if the reportable event involves "self-insurance" as defined by CMS; and 2) if yes, specific information regarding the self-insured individual or entity.						
64	Self Insured Indicator	1	750	750	Alpha-numeric	Indication of whether the reportable event involves self-insurance as defined by CMS. Valid values: Y = Yes N = No Self-insurance is defined in "Attachment A – Definitions and Reporting Responsibilities" to the Supporting Statement for the FR PRA Notice (CMS-10265) for this mandatory reporting and is available in Appendix H of this User Guide. You **must** use this definition of self-insurance for purposes of this reporting. ***Required if Plan Insurance Type (Field 71) is E or L (Workers' Compensation or Liability).***
65	Self-Insured Type	1	751	751	Alpha-numeric	Identifies whether the self-insured is an organization or individual. Valid values: I = Individual O = Other than Individual (e.g. business, corporation, organization, company, etc.) ***Required if Self Insured Indicator (Field 64) is Y.***

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
66	Policyholder Last Name	40	752	791	Alpha-betic	Surname of policyholder. **Required if Self-Insured Type (Field 65) = I.**
67	Policyholder First Name	30	792	821	Alpha-betic	Given/First name of policyholder. **Required if Self-Insured Type (Field 65) = I.**
68	DBA Name	70	822	891	Alpha-numeric	"Doing Business As" Name of self-insured organization/business. DBA Name or Legal Name is required for Self-Insured Type = O. **Required if Self-Insured Type (Field 65) = O and Legal Name (Field 69) not provided.**
69	Legal Name	70	892	961	Alpha-numeric	Legal Name of self-insured organization/business. DBA Name or Legal Name is required for Self-Insured Type = O. **Required if Self-Insured Type (Field 65) = O and DBA Name (Field 68) not provided.**
70	Reserved for Future Use	20	962	981	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Plan Information						
71	Plan Insurance Type	1	982	982	Alpha-numeric	Type of insurance coverage or line of business provided by the plan policy or self-insurance. Valid values: D = No-Fault E = Workers' Compensation L = Liability ***Required.*** *Note: When selecting "no-fault" as the type of insurance, you* ***must*** *use the CMS definition of no-fault insurance found at 42 CFR 411.50. This definition is different from the industry definition which is generally limited to certain automobile insurance.* "No fault insurance means insurance that pays for medical expenses for injuries sustained on the property or premises of the insured, or in the use, occupancy, or operation of an automobile, regardless of who may have been responsible for causing the accident. This insurance includes but is not limited to automobile, homeowners, and commercial plans. It is sometimes called 'medical payments coverage', 'personal injury protection', or 'medical expense coverage.' See 42 CFR 411.50"

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
72	TIN	9	983	991	Numeric	Federal Tax Identification Number of the "applicable plan," whether liability insurance (including self-insurance), no-fault insurance or a workers' compensation law or plan. Must have a corresponding entry with associated Office Code/Site ID on the TIN Reference File. ***Required.***
73	Office Code/Site ID	9	992	1000	Alpha-Numeric	RRE-defined code to uniquely identify variations in insurer addresses/claim offices/Plan Contact Addresses. Defined by RRE. Used to uniquely specify different addresses associated with one TIN. If only one address will be used per reported TIN, leave blank. Must have a corresponding entry with associated TIN on the TIN Reference File. A record must be submitted on the TIN Reference File for each unique TIN/Office Code combination. ***Optional.***

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
74	Policy Number	30	1001	1030	Alpha-numeric	The unique identifier for the policy under which the underlying claim was filed. RRE defined. If liability self-insurance or workers' compensation self-insurance, fill with 0's if you do not have or maintain a specific number reference. ***Required.***
75	Claim Number	30	1031	1060	Alpha-numeric	The unique claim identifier by which the primary plan identifies the claim. If liability self-insurance or workers' compensation self-insurance, fill with 0's if you do not have or maintain a claim number reference. ***Required.***
76	Plan Contact Department Name	70	1061	1130	Alpha-numeric	Name of department for the Plan Contact to which claim-related communication and correspondence should be sent. ***Optional.***
77	Plan Contact Last Name	40	1131	1170	Alpha-numeric	Surname of individual that should be contacted at the Plan for claim-related communication and correspondence. ***Optional.***
78	Plan Contact First Name	30	1171	1200	Alpha-numeric	Given or first name of individual that should be contacted at the Plan for claim-related communication and correspondence. ***Optional.***

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
79	Plan Contact Phone	10	1201	1210	Numeric	Telephone number of individual that should be contacted at the Plan for claim-related communication. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). ***Optional.***
80	Plan Contact Phone Extension	5	1211	1215	Alpha-numeric	Telephone extension number of individual that should be contacted at the Plan for claim-related communication. Fill with all spaces if unknown or not applicable. ***Optional***
81	No-Fault Insurance Limit	11	1216	1226	Numeric	Dollar amount of limit on no-fault insurance. Specify dollars and cents with implied decimal. No formatting (no $ or , or .) For example, a limit of $10,500.00 should be coded as 00001050000. Fill with all 9's if there is no dollar limit. Fill with all 0's if Plan Insurance Type (Field 71) is E (Workers' Compensation) or L (Liability Insurance (including Self-Insurance)). **Required if Plan Insurance Type (Field 71) is D (No-Fault).**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
82	Exhaust Date for Dollar Limit for No-Fault Insurance	8	1227	1234	Numeric Date	Date on which limit was reached or benefits exhausted for No-Fault Insurance Limit (Field 81). Format: CCYYMMDD Fill with zeros if No-Fault limit has not been reached/exhausted or Plan Insurance Type (Field 71) is E (Workers' Compensation) or L (Liability Insurance (including Self-Insurance)). **Required if Plan Insurance Type (Field 71) is D (No-Fault) and benefit limit reached/exhausted.**
83	Reserved for Future Use	20	1235	1254	Alpha-numeric	Fill with spaces
Injured Party's Attorney or Other Representative Information						
Attorney/Representative information required only if injured party has a representative.						
84	Injured Party Representative Indicator	1	1255	1255	Alpha-numeric	Code indicating the type of Attorney/Other Representative information provided. Valid values: A = Attorney G = Guardian/Conservator P = Power of Attorney O = Other Space = None **Required if Injured Party has a representative.**
85	Representative Last Name	40	1256	1295	Alpha-betic	Surname of representative. **Required if Injured Party has a representative.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
86	Representative First Name	30	1296	1325	Alpha-betic	Given or first name of representative. **Required if Injured Party has a representative.**
87	Representative Firm Name	70	1326	1395	Alpha-numeric	Representative's firm name. **Required on reports submitted on or after January 1, 2011, if Representative is associated with or a member of a firm.**
88	Representative TIN	9	1396	1404	Numeric	Representative's Federal Tax Identification Number (TIN). If representative is part of a firm, supply the firm's Employer Identification Number (EIN), otherwise supply the representative's Social Security Number (SSN). **Required if Injured Party has a representative.**
89	Representative Mailing Address Line 1	50	1405	1454	Alpha-numeric	First line of the mailing address for the representative named above. **Required if Injured Party has a representative.**
90	Representative Mailing Address Line 2	50	1455	1504	Alpha-numeric	Second line of the mailing address of the representative named above.
91	Representative City	30	1505	1534	Alpha-numeric	Mailing address city for the representative named above. **Required if Injured Party has a representative.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
92	Representative State	2	1535	1536	Alpha-numeric	US Postal abbreviation state code for the representative named above. **Required if Injured Party has a representative.**
93	Representative Mail Zip Code	5	1537	1541	Numeric	5-digit Zip Code for the representative named above. **Required if Injured Party has a representative.**
94	Representative Mail Zip+4	4	1542	1545	Numeric	4-digit Zip+4 code for the representative named above. If not applicable or unknown, fill with zeroes (0000).
95	Representative Phone	10	1546	1555	Numeric	Telephone number of the representative named above. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). **Required if Injured Party has a representative.**
96	Representative Phone Extension	5	1556	1560	Alpha-numeric	Telephone extension number of representative named above. Fill with all spaces if unknown or not applicable.
97	Reserved for Future Use	20	1561	1580	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Settlement, Judgment, Award or Other Payment Information						
98	ORM Indicator	1	1581	1581	Alpha-numeric	Indication of whether there is on-going responsibility for medicals (ORM). Fill with Y if there is ongoing responsibility for medicals. Valid values: Y - Yes N – No **The Y value remains in this field even when an ORM Termination Date (Field 99) is submitted in this same record or a subsequent record.** **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
99	ORM Termination Date	8	1582	1589	Numeric Date	Date ongoing responsibility for medicals ended, where applicable. Only applies to records previously submitted (or submitted in this record where ongoing responsibility for medicals and termination of such responsibility are reported in this same submission) with ORM Indicator = Y. ORM Termination Date is not applicable if claimant retains the ability to submit/apply for payment for additional medicals related to the claim. See Sections 11.6 and 11.7 of the User Guide for information concerning extensions/exceptions regarding reporting ORM When an ORM termination date is submitted, the ORM indicator in Field 98 **must remain as Y.** Format: CCYYMMDD Fill with zeroes if not applicable.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
100	TPOC Date	8	1590	1597	Numeric Date	Initial date of Total Payment Obligation to the Claimant (TPOC) without regard to **ongoing** responsibility for medicals (ORM). Date payment obligation was established. This is the date the obligation is signed if there is a written agreement unless court approval is required. If court approval is required it is the later of the date the obligation is signed or the date of court approval. If there is no written agreement it is the date the payment (or first payment if there will be multiple payments) is issued. Format: CCYYMMDD **Not required for the initial report of a claim reflecting ongoing responsibility for medicals. If there is a TPOC amount/date reportable at the same time ORM termination is being reported, report the TPOC date on the second (final) report for the ongoing responsibility for medicals. Fill with all zeroes if there is no TPOC to report.** **Required for all other claim reports.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
101	TPOC Amount	11	1598	1608	Numeric	Total Payment Obligation to the Claimant (TPOC) amount: Dollar amount of the total payment obligation to the claimant. If there is a structured settlement, the amount is the total payout amount. If a settlement provides for the purchase of an annuity, it is the total payout from the annuity. For annuities base the total amount upon the time period used in calculating the purchase price of the annuity or the minimum payout amount (if there is a minimum payout), whichever calculation results in the larger amount. When this record includes information reflecting ongoing responsibility for medicals (either current or terminated), fill with zeroes unless there is a TPOC date/amount for a settlement, judgment, award, or other payment in addition to/apart from the information which must be reported with respect to responsibility for ongoing medicals. Specify dollars and cents with implied decimal. No formatting (no $, .) For example, an amount of $10,500.55 should be coded as 00001050055. Note: Remember to use the proper Action Code (Field 3) to distinguish an initial TPOC report from the report of additional, separate TPOC. amounts, where applicable. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
102	Funding Delayed Beyond TPOC Start Date	8	1609	1616	Numeric Date	If funding for the Total Payment Obligation to Claimant is delayed, provide actual or estimated date of funding. Format: CCYYMMDD Fill with zeroes if not applicable.
103	Reserved for Future Use	20	1617	1636	Alpha-numeric	Fill with spaces
Claimant Information 1						
This section is only required if the Claimant is not the Injured Party/Medicare Beneficiary. The claimant may be the beneficiary's estate, or other claimant in the case of wrongful death or survivor action. Additional claimants must be listed on the Auxiliary Record. Fill the entire section (Fields 104-117) with spaces if not supplying Claimant 1 information. (This section is **not** used when the injured party/Medicare beneficiary is alive and an individual is pursuing a claim on behalf of the beneficiary. See the section for Injured Party's Attorney or Other Representative Information.)						
104	Claimant 1 Relationship	1	1637	1637	Alpha-numeric	Relationship of the claimant to the injured party/Medicare beneficiary. Valid values: E = Estate F = Family O = Other Space = Not applicable (rest of the section will be ignored) Optional July 1, 2009 – March 31, 2010. **Required April 1, 2010 and subsequent if claimant is not the injured party.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
105	Claimant 1 TIN	9	1638	1646	Numeric	Federal Tax Identification Number (TIN), Employer Identification Number (EIN) or Social Security Number (SSN) of Claimant 1. Must not match injured party named above or other claimant(s) listed on the Auxiliary Record. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
106	Claimant 1 Last Name	40	1647	1686	Alpha-betic	Surname of Claimant 1. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
107	Claimant 1 First Name	30	1687	1716	Alpha-betic	Given/First name of Claimant 1. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
108	Claimant 1 Middle Initial	1	1717	1717	Alpha-betic	First letter of Claimant 1's middle name.
109	Claimant 1 Mailing Address Line 1	50	1718	1767	Alpha-numeric	First line of the mailing address for the claimant named above. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
110	Claimant 1 Mailing Address Line 2	50	1768	1817	Alpha-numeric	Second line of the mailing address of the claimant named above.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
111	Claimant 1City	30	1818	1847	Alpha-betic	Mailing address city for the claimant named above. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
112	Claimant 1 State	2	1848	1849	Alpha-betic	US Postal abbreviation state code for the claimant named above. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
113	Claimant 1 Zip	5	1850	1854	Numeric	5-digit Zip Code for the claimant named above. **Required April 1, 2010 and subsequent if claimant is not the injured party.**
114	Claimant 1 Zip+4	4	1855	1858	Numeric	4-digit Zip+4 code for the claimant named above. If not applicable or unknown, fill with zeroes (0000).
115	Claimant 1 Phone	10	1859	1868	Numeric	Telephone number of the claimant named above. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). **Required April 1, 2010 and subsequent if claimant is not the injured party.**
116	Claimant 1 Phone Extension	5	1869	1873	Alpha-numeric	Telephone extension number of the claimant named above. Fill with all spaces if unknown or not applicable.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
117	Reserved for Future Use	20	1874	1893	Alpha-numeric	Fill with spaces.
Claimant 1 Attorney/Other Representative Information						
This section is only required if Claimant 1 has a representative. Fill the entire section (Fields 118-130) with spaces if not supplying Claimant 1 representative information.						
118	Claimant 1 (C1) Representative Indicator	1	1894	1894	Alpha-numeric	Code indicating the type of Attorney/Other Representative information provided for Claimant 1. Valid values: A = Attorney G = Guardian/Conservator P = Power of Attorney O = Other Space = Not applicable (rest of the section will be ignored) **Required if Claimant 1 has a representative.**
119	C1 Representative Last Name	40	1895	1934	Alpha-betic	Surname of C1 representative. **Required if Claimant 1 has a representative.**
120	C1 Representative First Name	30	1935	1964	Alpha-betic	Given/First name of C1 representative. **Required if Claimant 1 has a representative.**
121	C1 Representative Firm Name	70	1965	2034	Alpha-numeric	Representative's firm name. **Required on reports submitted on or after January 1, 2011, if representative is associated with or a member of a firm.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
122	C1 Representative TIN	9	2035	2043	Numeric	C1 representative's Federal Tax Identification Number (TIN). If representative is part of a firm, supply the firm's Employer Identification Number (EIN), otherwise supply the representative's Social Security Number (SSN). **Required.**
123	C1 Representative Mail Address 1	50	2044	2093	Alpha-numeric	First line of the mailing address for the C1 representative named above. **Required if Claimant 1 has a representative.**
124	C1 Representative Mailing Address 2	50	2094	2143	Alpha-numeric	Second line of the mailing address of the C1 representative named above.
125	C1 Representative Mailing City	30	2144	2173	Alpha-betic	Mailing address city for the C1 representative named above. **Required if Claimant 1 has a representative.**
126	C1 Representative State	2	2174	2175	Alpha-betic	US Postal abbreviation state code for the C1 representative named above. **Required if Claimant 1 has a representative.**
127	C1 Representative Zip	5	2176	2180	Numeric	5-digit Zip Code for the C1 representative named above. **Required if Claimant 1 has a representative.**
128	C1 Representative Zip+4	4	2181	2184	Numeric	4-digit Zip+4 code for the C1 representative named above. If not applicable or unknown, fill with zeroes (0000).

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation Claim Input File Detail Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
129	C1 Representative Phone	10	2185	2194	Numeric	Telephone number of the C1 representative named above. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). **Required if Claimant 1 has a representative.**
130	C1 Representative Phone Extension	5	2195	2199	Alpha-numeric	Telephone extension number of the C1 representative named above. Fill with all spaces if unknown or not applicable.
131	Reserved for Future Use	21	2200	2220	Alpha-numeric	Fill with spaces.

Claim File Auxiliary Record

This record is only required if there are additional claimants to report for the associated Detail Claim Record. Do not include this record for the claim if there are no additional claimants to report. Claimant 1 on the Detail Claim Record must be completed in order for information concerning additional claimants to be accepted.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGCE'. **Required.**
2	DCN	15	5	19	Alpha-numeric	Document Control Number (DCN) assigned by the Section 111 RRE. Must match the DCN on the corresponding Detail Claim Record (Record Identifier NGCD). **Required.**
3	Injured Party HICN	12	20	31	Alpha-numeric	Must match the value in this field on the Detail Claim Record. **Required.**
4	Injured Party SSN	9	32	40	Numeric	Must match the value in this field on the Detail Claim Record. **Required.**
5	Injured Party Last Name	40	41	80	Alpha-betic	Must match the value in this field on the Detail Claim Record. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
6	Injured Party First Name	30	81	110	Alpha-betic	Must match the value in this field on the Detail Claim Record. **Required.**
Claimant 2 Information						
7	Claimant 2 Relationship	1	111	111	Alpha-numeric	Relationship of the claimant to the injured party/Medicare beneficiary. Valid values: E = Estate F = Family O = Other Space = Not applicable (rest of the section will be ignored) **Required on reports April 1, 2010 and subsequent.**
8	Claimant 2 TIN	9	112	120	Numeric	Federal Tax Identification Number (TIN), Employer Identification Number (EIN) or Social Security Number (SSN) of Claimant 2. Must not match injured party named above or other claimant(s) listed on the Auxiliary Record. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
9	Claimant 2 Last Name	40	121	160	Alpha-betic	Surname of Claimant 2. **Required.**
10	Claimant 2 First Name	30	161	190	Alpha-betic	Given/First name of Claimant 2. **Required.**
11	Claimant 2 Middle Initial	1	191	191	Alpha-betic	First letter of Claimant 2's middle name.
12	Claimant 2 Mailing Address Line 1	50	192	241	Alpha-numeric	First line of the mailing address for Claimant 2 named above. **Required.**
13	Claimant 2 Mailing Address Line 2	50	242	291	Alpha-betic	Second line of the mailing address for Claimant 2 named above.
14	Claimant 2 City	30	292	321	Alpha-betic	Mailing address city for Claimant 2 named above. **Required.**
15	Claimant 2 State	2	322	323	Alpha-betic	US Postal abbreviation state code for Claimant 2 named above. **Required.**
16	Claimant 2 Zip	5	324	328	Numeric	5-digit Zip Code for Claimant 2 named above. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
17	Claimant 2 Zip+4	4	329	332	Numeric	4-digit Zip+4 code for Claimant 2 named above. If not applicable or unknown, fill with zeroes (0000).
18	Claimant 2 Phone	10	333	342	Numeric	Telephone number of Claimant 2 named above. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). **Required.**
19	Claimant 2 Phone Extension	5	343	347	Alpha-numeric	Telephone extension number of Claimant 2 named above. Fill with all spaces if unknown or not applicable.
20	Reserved for Future Use	20	348	367	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Claimant 2 Attorney/Other Representative Information						
This section is only required if Claimant 2 has a representative. Fill the entire section (Field 21-34) with spaces if not supplying Claimant 2 representative information.						
21	Claimant 2 (C2) Representative Indicator	1	368	368	Alpha-numeric	Code indicating the type of Attorney/Other Representative information provided for Claimant 2 (C2). Valid values: A = Attorney G = Guardian/Conservator P = Power of Attorney O = Other Space = Not applicable (rest of the section will be ignored) **Required if Claimant 2 has a representative.**
22	C2 Representative Last Name	40	369	408	Alpha-betic	Surname of C2 attorney or representative. **Required if Claimant 2 has a representative.**
23	C2 Representative First Name	30	409	438	Alpha-betic	Given/First name of C2 attorney or representative. **Required if Claimant 2 has a representative.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
24	C2 Representative Firm Name	70	439	508	Alpha-numeric	Representative's firm name. **Required on reports submitted on or after January 1, 2011, if representative is associated with or a member of a firm.**
25	C2 Representative TIN	9	509	517	Numeric	C2 representative's Federal Tax Identification Number (TIN). If representative is part of a firm, supply the firm's Employer Identification Number (EIN), otherwise supply the representative's Social Security Number (SSN). **Required.**
26	C2 Representative Mailing Address Line 1	50	518	567	Alpha-numeric	First line of the mailing address for the C2 representative named above. **Required if Claimant 2 has a representative.**
27	C2 Representative Mailing Address Line 2	50	568	617	Alpha-numeric	Second line of the mailing address of the C2 representative named above.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
28	C2 Representative City	30	618	647	Alpha-betic	Mailing address city for the C2 representative named above. **Required if Claimant 2 has a representative.**
29	C2 Representative State	2	648	649	Alpha-betic	US Postal abbreviation state code for the C2 representative named above. **Required if Claimant 2 has a representative.**
30	C2 Representative Zip	5	650	654	Numeric	5-digit Zip Code for the C2 representative named above. **Required if Claimant 2 has a representative.**
31	C2 Representative Zip+4	4	655	658	Numeric	4-digit Zip+4 code for the C2 representative named above. If not applicable or unknown, fill with zeroes (0000).

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
32	C2 Representative Phone	10	659	668	Numeric	Telephone number of the C2 representative named above. Format with 3-digit area code followed by 7-digit phone number with no dashes or other punctuation (e.g. 1112223333). **Required if Claimant 2 has a representative.**
33	C2 Representative Phone Extension	5	669	673	Alpha-numeric	Telephone extension number of the C2 representative named above. Fill with all spaces if unknown or not applicable.
34	Reserved for Future Use	20	674	693	Alpha-numeric	Fill with spaces.
Claimant 3 Information						
Fill entire section with spaces if not applicable. ***See Claimant 2 Information section above for individual field specifications***.						
35	Claimant 3 Relationship	1	694	694	Alpha-numeric	Relationship of the claimant to the injured party/Medicare beneficiary. Valid values: E = Estate F = Family O = Other Space = Not applicable (rest of the section will be ignored)

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
36	Claimant 3 TIN	9	695	703	Numeric	
37	Claimant 3 Last Name	40	704	743	Alpha-betic	
38	Claimant 3 First Name	30	744	773	Alpha-betic	
39	Claimant 3 Middle Initial	1	774	774	Alpha-betic	
40	Claimant 3 Mailing Address Line 1	50	775	824	Alpha-numeric	
41	Claimant 3 Mailing Address Line 2	50	825	874	Alpha-numeric	
42	Claimant 3 City	30	875	904	Alpha-betic	
43	Claimant 3 State	2	905	906	Alpha-betic	
44	Claimant 3 Zip	5	907	911	Numeric	
45	Claimant 3 Zip+4	4	912	915	Numeric	
46	Claimant 3 Phone	10	916	925	Numeric	
47	Claimant 3 Phone Extension	5	926	930	Alpha-numeric	
48	Reserved for Future Use	20	931	950	Alpha-numeric	Fill with spaces.
Claimant 3 Attorney/Representative Information						
This section is only required if Claimant 3 has a representative. Fill the entire section (Field 49-62) with spaces if not supplying Claimant 3 representative information. ***See corresponding Claimant 2 Attorney/Representative Information section for individual field specifications.***						
49	Claimant 3 (C3) Representative Indicator	1	951	951	Alpha-numeric	
50	C3 Representative Last Name	40	952	991	Alpha-betic	

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
51	C3 Representative First Name	30	992	1021	Alpha-betic	
52	C3 Representative Firm Name	70	1022	1091	Alpha-numeric	
53	C3 Representative TIN	9	1092	1100	Numeric	
54	C3 Representative Mailing Address Line 1	50	1101	1150	Alpha-numeric	
55	C3 Representative Mailing Address Line 2	50	1151	1200	Alpha-numeric	
56	C3 Representative City	30	1201	1230	Alpha-betic	
57	C3 Representative State	2	1231	1232	Alpha-betic	
58	C3 Representative Zip	5	1233	1237	Numeric	
59	C3 Representative Zip+4	4	1238	1241	Numeric	
60	C3 Representative Phone	10	1242	1251	Numeric	
61	C3 Representative Phone Extension	5	1252	1256	Alpha-numeric	
62	Reserved for Future Use	20	1257	1276	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Claimant 4 Information						
Fill entire section with spaces if not applicable. ***See Claimant 2 Information section above for individual field specifications***.						
63	Claimant 4 Relationship	1	1277	1277	Alpha-numeric	
64	Claimant 4 TIN	9	1278	1286	Numeric	
65	Claimant 4 Last Name	40	1287	1326	Alpha-betic	
66	Claimant 4 First Name	30	1327	1356	Alpha-betic	
67	Claimant 4 Middle Initial	1	1357	1357	Alpha-betic	
68	Claimant 4 Mailing Address Line 1	50	1358	1407	Alpha-numeric	
69	Claimant 4 Mailing Address Line 2	50	1408	1457	Alpha-numeric	
70	Claimant 4 City	30	1458	1487	Alpha-betic	
71	Claimant 4 State	2	1488	1489	Alpha-betic	
72	Claimant 4 Zip	5	1490	1494	Numeric	
73	Claimant 4 Zip+4	4	1495	1498	Numeric	
74	Claimant 4 Phone	10	1499	1508	Numeric	
75	Claimant 4 Phone Extension	5	1509	1513	Alpha-numeric	
76	Reserved for Future Use	20	1514	1533	Alpha-numeric	Fill with spaces.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
Claimant 4 Attorney/Representative Information						
This section is only required if Claimant 4 has a representative. Fill the entire section (Field 77-90) with spaces if not supplying Claimant 4 representative information. ***See corresponding Claimant 2 Attorney/Representative Information section for individual field specifications.***						
77	Claimant 4 (C4) Representative Indicator	1	1534	1534	Alpha-betic	
78	C4 Representative Last Name	40	1535	1574	Alpha-betic	
79	C4 Representative First Name	30	1575	1604	Alpha-betic	
80	C4 Representative Firm Name	70	1605	1674	Alpha-numeric	
81	C4 Representative TIN	9	1675	1683	Numeric	
82	C4 Representative Mailing Address Line 1	50	1684	1733	Alpha-numeric	
83	C4 Representative Mailing Address Line 2	50	1734	1783	Alpha-numeric	
84	C4 Representative City	30	1784	1813	Alpha-betic	
85	C4 Representative State	2	1814	1815	Alpha-betic	
86	C4 Representative Zip	5	1816	1820	Numeric	
87	C4 Representative Zip+4	4	1821	1824	Numeric	

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Auxiliary Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
88	C4 Representative Phone	10	1825	1834	Numeric	
89	C4 Representative Phone Extension	5	1835	1839	Alpha-numeric	
90	Reserved for Future Use	381	1840	2220	Alpha-numeric	Fill with spaces.

Claim File Trailer Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Input File Trailer Record – 2220 bytes						
Field No.	**Name**	**Len**	**Start Pos.**	**End Pos.**	**Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGCT' **Required.**
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111 Reporter ID #. **Required.**
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Must be 'NGHPCLM' **Required.**
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the COBC. Format: CCYYMMDD **Required.**
5	File Record Count	7	29	35	Numeric	Number of records contained within file (do not include header or trailer records in the count.) **Required.**
6	Reserved for Future Use	2185	36	2220	Alpha-numeric	Fill with spaces.

Appendix B - TIN Reference File Layout

MMSEA Section 111 Mandatory Reporting - Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation

TIN Reference File Layout – to be submitted with the Claim Input File

TIN Reference Header Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation TIN Reference File Header Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGTH' **Required.**
2	Section 111 Reporter ID	9	5	13	Alpha-numeric	COBC assigned Section 111Reporter ID #. **Required.**
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Must be 'NGHPTIN' **Required.**
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the COBC. Format: CCYYMMDD **Required.**
5	Reserved for Future Use	2192	29	2220	Alpha-numeric	Fill with spaces.

TIN Reference Detail Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGTD' **Required.**
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111Reporter ID #. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
3	TIN	9	14	22	Numeric	Federal Tax Identification Number of the insurer, applicable plan (s), workers' compensation law/plan (s), or self-insured entities reported in Field 50 of each Detail Claim Record. Used in conjunction with the Site ID reported in Field 51 of the Detail Claim Record. Also known as the Employer Identification Number (EIN). Each TIN/Office Code combination reported in Fields 50 and 51 of the Detail Claim Records must have a corresponding record reported on the TIN Reference File. A record must be submitted on the TIN Reference File for each unique TIN/Office Code combination. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
4	Office Code/Site ID	9	23	31	Alpha-Numeric	RRE-defined code to uniquely identify variations in insurer addresses/claim offices/Plan Contact Addresses as reported in Field 51 of each Detail Claim Record. Used in conjunction with the TIN reported in Field 50 of the Detail Claim record to uniquely specify different addresses associated with one TIN. If only one address will be used per reported TIN, leave blank. Each TIN/Office Code combination reported in Fields 50 and 51 of the Detail Claim Records must have a corresponding record reported on the TIN Reference File. A record must be submitted on the TIN Reference File for each unique TIN/Office Code combination. ***Required.***
5	TIN/Office Code Mailing Name	70	32	101	Alpha-numeric	Name associated with the RRE reflected by the unique TIN/Office Code combination. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
6	TIN/Office Code Mailing Address Line 1	50	102	151	Alpha-numeric	First line of the address associated with the unique TIN/Office Code combination reflected on this record. This mailing address should reflect where the RRE wishes to have all correspondence (including correspondence associated with recoveries, if applicable) directed for the TIN/Office Code combination. **Required.**
7	TIN/Office Code Mailing Address Line 2	50	152	201	Alpha-numeric	Second line of the address associated with the unique TIN/Office Code combination reflected on this record. This mailing address should reflect where the RRE wishes to have the recoveries and other associated correspondence directed for the TIN/Office Code combination.

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
8	TIN/Office Code City	30	202	231	Alpha-numeric	City of the address associated with the unique TIN/Office Code combination reflected on this record. This mailing address should reflect where the RRE wishes to have the recoveries and other associated correspondence directed for the TIN/Office Code combination. **Required.**
9	TIN/Office Code State	2	232	233	Alpha-numeric	US Postal state abbreviation of the address associated with the unique TIN/Office Code combination reflected on this record. This mailing address should reflect where the RRE wishes to have the recoveries and other associated correspondence directed for the TIN/Office Code combination. **Required.**

MMSEA Section 111 Liability Insurance (Including Self-Insurance) No-Fault Insurance, Workers' Compensation TIN Reference File Detail TIN/Office Code Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
10	TIN/Office Code Zip	5	234	238	Numeric	5-digit Zip Code of the address associated with the unique TIN/Office Code combination reflected on this record. **Required.**
11	TIN/Office Code Zip+4	4	239	242	Numeric	4-digit Zip+4 code of the address associated with the unique TIN/Office Code combination reflected on this record. If not applicable fill with zeroes (0000).
12	Reserved for Future Use	1978	243	2220	Alpha-numeric	Fill with spaces.

TIN Reference Trailer Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation TIN Reference File Trailer Record – 2220 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Date Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Must be 'NGTT' **Required.**
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111 Reporter ID #. **Required.**
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Must be 'NGHPTIN' **Required.**
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the COBC. Format: CCYYMMDD **Required.**
5	File Record Count	7	29	35	Numeric	Number of records contained within this TIN Reference File (do not include header or trailer records in count.) **Required.**
6	Reserved for Future Use	2185	36	2220	Alpha-numeric	Fill with spaces.

Appendix C - Claim Response File Layout

Claim Response Header Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Header Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Contains value of 'NGRH' COBC supplied.
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111 Reporter ID #. As supplied by RRE input record.
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Contains value of 'NGHPRSP' COBC supplied.
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the RRE. Format: CCYYMMDD COBC supplied.
5	Reserved for Future Use	372	29	400	Alpha-numeric	Contains all spaces.

Claim Response Detail Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Contains value of 'NGRD' COBC supplied.
2	Submitted DCN	15	5	19	Alpha-numeric	Document Control Number (DCN) submitted by RRE on input record. Used for matching input records with response records. As supplied by RRE on input record.
3	Submitted Action Type	1	20	20	Numeric	Action to be performed. As supplied by RRE on input record.
4	Injured Party HICN	12	21	32	Alpha-numeric	Health Insurance Claim Number (HICN) of Injured Party. As supplied by RRE on input record.
5	Submitted Injured Party SSN	9	33	41	Numeric	Social Security Number of Injured Party. As supplied by RRE on input record.
6	Submitted Injured Party Last Name	40	42	81	Alpha-betic	As supplied by RRE on input record.
7	Submitted Injured Party First Name	30	82	111	Alpha-betic	As supplied by RRE on input record.
8	Submitted Injured Party Middle Init	1	112	112	Alpha-betic	As supplied by RRE on input record.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
9	Submitted Injured Party Gender	1	113	113	Numeric	As supplied by RRE on input record.
10	Submitted Injured Party DOB	8	114	121	Numeric Date	As supplied by RRE on input record.
11	Submitted Plan TIN	9	122	130	Numeric	As supplied by RRE on input record.
12	Submitted Plan Office Code/Site ID	9	131	139	Alpha-Numeric	As supplied by RRE on input record.
13	Reserved for Future Use	20	140	159	Alpha-numeric	Filled with spaces.
14	Applied Injured Party HICN	12	160	171	Alpha-numeric	Current Medicare Health Insurance Claim Number (HICN) of Injured Party if identified as a Medicare beneficiary based upon the information submitted. COBC supplied.
15	Reserved for Future Use	9	172	180	Alpha-numeric	Filled with spaces.
16	Applied Injured Party Last Name	40	181	220	Alpha-betic	Injured Party Last Name, as stored on Medicare's files, if identified as a Medicare beneficiary based upon the information submitted. COBC supplied.
17	Applied Injured Party First Name	30	221	250	Alpha-betic	Injured Party First Name, as stored on Medicare's files, if identified as a Medicare beneficiary based upon the information submitted. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
18	Applied Injured Party Middle Initial	1	251	251	Alpha-betic	Injured Party Middle Initial, as stored on Medicare's files, if identified as a Medicare beneficiary based upon the information submitted. COBC supplied.
19	Applied Injured Party Gender	1	252	252	Numeric	Sex of Injured Party, as stored on Medicare's files, if identified as a Medicare beneficiary based upon the information submitted. COBC supplied. 1 - Male 2 - Female
20	Applied Injured Party DOB	8	253	260	Numeric Date	Date of birth (DOB) of Injured Party, as stored on Medicare's files, if identified as a Medicare beneficiary based upon the information submitted. Format: CCYYMMDD COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
21	Applied MSP Effective Date	8	261	268	Numeric Date	Applied Medicare Secondary Payer (MSP) effective date. If injured party is identified as a Medicare beneficiary based upon the information submitted, and the submitted claim information reflects ORM, the start date of Medicare's secondary payment status for the incident, illness or injury. Will be the later of the beneficiary's Medicare entitlement/eligibility start date or the CMS Date of Incident (DOI). This is the effective date of the MSP occurrence posted to the internal Medicare systems which are used in Medicare claim payment determinations. Will contain all zeroes if not applicable. Format: CCYYMMDD COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
22	Applied MSP Termination Date	8	269	276	Numeric Date	Applied Medicare Secondary Payment (MSP) Termination Date. If injured party is a Medicare beneficiary based upon the information submitted, the date posted to internal Medicare systems for the termination of responsibility for ongoing medicals as reported by the RRE. Format: CCYYMMDD Will contain all zeroes if open-ended or not applicable. COBC supplied.
23	Applied MSP Type Indicator	1	277	277	Alpha-numeric	Applied Medicare Secondary Payer (MSP) Type. D = No-Fault E = Workers' Compensation L = Liability COBC supplied.
24	Reserved for Future Use	20	278	297	Alpha-numeric	Filled with spaces.
25	Applied Disposition Code	2	298	299	Alpha-numeric	2-digit code indicating how the record was processed. See Disposition Code Table for values. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
The following Error Code fields indicate an error was found on the submitted claim record. The submitted claim record was **rejected and not processed**. The RRE must correct these errors and resubmit the record on the next quarterly file submission.						
26	Applied Error Code 1	5	300	304	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error. See Error Code Table for values. COBC supplied.
27	Applied Error Code 2	5	305	309	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 2 errors were found. See Error Code Table for values. COBC supplied.
28	Applied Error Code 3	5	310	314	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 3 errors were found. See Error Code Table for values. COBC supplied.
29	Applied Error Code 4	5	315	319	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 4 errors were found. See Error Code Table for values. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
30	Applied Error Code 5	5	320	324	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 5 errors were found. See Error Code Table for values. COBC supplied.
31	Applied Error Code 6	5	325	329	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 6 errors were found. See Error Code Table for values. COBC supplied.
32	Applied Error Code 7	5	330	334	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 7 errors were found. See Error Code Table for values. COBC supplied.
33	Applied Error Code 8	5	335	339	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 8 errors were found. See Error Code Table for values. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
34	Applied Error Code 9	5	340	344	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 9 errors were found. See Error Code Table for values. COBC supplied.
35	Applied Error Code 10	5	345	349	Alpha-numeric	Code associated with an error found by the COBC in the submitted record. Provided only if disposition code denotes error and at least 10 errors were found. See Error Code Table for values. COBC supplied.
The following Compliance Flag fields provide information on issues related to reporting requirement compliance. **Records will *not* be rejected for these issues.** The disposition code in Field 25 will indicate how the record was processed by the COBC. The RRE must review and correct compliance issues as applicable and resubmit the record as an update transaction on the next quarterly file submission.						
36	Applied Compliance Flag 1	2	350	351	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. See Compliance Flag Code Table for values. COBC supplied.
37	Applied Compliance Flag 2	2	352	353	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 2 issues were found. See Compliance Flag Code Table for values. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
38	Applied Compliance Flag 3	2	354	355	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 3 issues were found. See Compliance Flag Code Table for values. COBC supplied.
39	Applied Compliance Flag 4	2	356	357	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 4 issues were found. See Compliance Flag Code Table for values. COBC supplied.
40	Applied Compliance Flag 5	2	358	359	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 5 issues were found. See Compliance Flag Code Table for values. COBC supplied.
41	Applied Compliance Flag 6	2	360	361	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 6 issues were found. See Compliance Flag Code Table for values. COBC supplied.

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Detail Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
42	Applied Compliance Flag 7	2	362	363	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 7 issues were found. See Compliance Flag Code Table for values. COBC supplied.
43	Applied Compliance Flag 8	2	364	365	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 8 issues were found. See Compliance Flag Code Table for values. COBC supplied.
44	Applied Compliance Flag 9	2	366	367	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if at least 9 issues were found. See Compliance Flag Code Table for values. COBC supplied.
45	Applied Compliance Flag 10	2	368	369	Alpha-numeric	Alphanumeric code indicating compliance issue found with record. Populated if 10 issues were found. See Compliance Flag Code Table for values. COBC supplied.
46	Reserved for Future Use	31	370	400	Alpha-numeric	Filled with spaces.

Claim Response Trailer Record

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, Workers' Compensation Claim Response File Trailer Record – 400 bytes						
Field No.	**Name**	**Size**	**Start Pos.**	**End Pos.**	**Data Type**	**Description**
1	Record Identifier	4	1	4	Alpha-numeric	Contains value of 'NGRT' COBC supplied.
2	Section 111 Reporter ID	9	5	13	Numeric	COBC assigned Section 111 Reporter ID #. As supplied by RRE input record.
3	Section 111 Reporting File Type	7	14	20	Alpha-numeric	Contains value of 'NGHPRSP' COBC supplied.
4	File Submission Date	8	21	28	Numeric Date	Date file was transmitted to the RRE. Format: CCYYMMDD COBC supplied.
5	File Record Count	7	29	35	Numeric	Number of detail response records contained within file (does not include header or trailer records). COBC supplied.
6	Reserved for Future Use	365	36	400	Alpha-numeric	Filled with spaces.

Appendix D – Query File Input and Response File Layouts

Section 111 Query Input File (ANSI X12 270/271 Entitlement Query HEW Flat File Input/Output Format)

Note: These file layouts are for use with the HIPAA Eligibility Wrapper (HEW) software supplied by the COBC to process the X12 270/271. They reflect the flat file input and output for the HEW software. If you are using your own ANSI X12 translator, please contact your assigned COBC EDI Representative for the necessary mapping documentation.

Query Input Header Record

Section 111 Query Input File Header Record – 38 Bytes				
Field	**Name**	**Size**	**Displacement**	**Description**
1.	Header Indicator	2	1-2	Must be: 'H0' Alphanumeric. **Required.**
2.	RRE ID	9	3-11	'000010001', '000010002', etc. RRE ID number assigned by COBC. Numeric. **Required.**
3.	File Type	4	12-15	'NGHQ' – NGHP Query. Alphanumeric. **Required.**
4.	Cycle Date	8	16-23	File date (CCYYMMDD). Numeric Date. **Required.**
5.	Filler	15	24-38	Unused Field. Fill with spaces.

Query Input Detail Record

Section 111 Query Input File Detail Record – 38 Bytes				
Field	**Name**	**Size**	**Displacement**	**Description**
1.	HIC Number	12	1-12	Medicare Health Insurance Claim Number. Alphanumeric. Optional.
2.	Last Name	6	13-18	Surname of Individual/Injured Party. Alphabetic. **Required.**
3.	First Initial	1	19-19	First Initial of Individual/Injured Party. Alphabetic. **Required.**
4.	DOB	8	20-27	Individual's Date of Birth (CCYYMMDD). Numeric Date. **Required.**
5.	Sex Code	1	28-28	Individual's Gender: 0 = Unknown 1 = Male 2 = Female Numeric. **Required.**
6.	SSN	9	29-37	Social Security Number of the Individual/Injured Party. Numeric. **Required if HICN not provided.**
7.	Filler	1	38	Unused. Fill with spaces.

Query Input Trailer Record

Section 111 Query Input File Trailer Record – 38 Bytes				
Field	**Name**	**Size**	**Displacement**	**Description**
1.	Trailer Indicator	2	1-2	Must be: 'T0' Alphanumeric. **Required.**
2.	RRE ID	9	3-11	'000010001', '000010002', etc. RRE ID number assigned by COBC. Numeric. **Required.**
3.	File Type	4	12-15	Must be 'NGHQ' – NGHP Query. Required.
4.	Cycle Date	8	16-23	File date (CCYYMMDD). Numeric Date. **Required.**
5.	Record Count	9	24-32	Number of individual query records in this file. Do not include the Header and Trailer Records in the Record Count. Numeric. **Required.**
6.	Filler	6	33-38	Unused Field. Fill with spaces.

Query Response Record

Note: The Query Only Response File does not have a header or trailer record.

Section 111 Query Response File Record – 116 Bytes				
Field	**Name**	**Size**	**Displacement**	**Description**
1.	HIC Number (HICN)	12	1-12	Medicare Health Insurance Claim Number. Medicare's unique identifier associated with the individual. Filled with spaces if the individual is not identified as a Medicare beneficiary based upon the information submitted. COBC supplied.
2.	Last Name	6	13-18	Surname of Individual/Injured Party. Updated with Medicare information if the individual is identified as a Medicare beneficiary based upon the information submitted.
3.	First Initial	1	19-19	First Initial of Individual/Injured Party. Updated with Medicare information if the individual is identified as a Medicare beneficiary based upon the information submitted.
4.	DOB	8	20-27	Individual's Date of Birth (CCYYMMDD). Updated with Medicare information if the individual is identified as a Medicare beneficiary based upon the information submitted.

Section 111 Query Response File Record – 116 Bytes				
Field	**Name**	**Size**	**Displacement**	**Description**
5.	Sex Code	1	28-28	Covered Individual's Gender: 0 = Unknown 1 = Male 2 = Female Updated with Medicare information if the individual is identified as a Medicare beneficiary based upon the information submitted.
6.	SSN	9	29-37	Social Security Number of the Individual as submitted by the RRE on the input record. Note: If both a HICN and an SSN were submitted on the input file and CMS matched on the HICN, CMS takes no action to validate the SSN.
7.	Filler	62	38-99	Future Use
8.	Disposition Code	2	100-101	01 = Individual was identified as a Medicare beneficiary based upon the information submitted. 51 = Individual was not identified as a Medicare beneficiary based upon the information submitted. COBC supplied.
9.	CMS Document Control Number	15	102-116	Unique ID assigned to response record for tracking by the COBC. COBC supplied.

Appendix E – Disposition, Error and Compliance Flag Codes

Response File Disposition Codes

Disposition Codes	Description
01	Record accepted by the COBC as an “Add”, “Delete” or “Update” record. For Claim Input records, RRE has indicated ongoing responsibility for medicals. For queries, the individual was identified as a Medicare beneficiary based upon the information submitted.
02	Record accepted by the COBC as an “Add”, “Delete” or “Update” record. For Claim records, RRE has indicated **no** ongoing responsibility for medicals.
03	Record accepted by the COBC. The injured party was identified as a Medicare beneficiary based upon the information submitted, but the beneficiary did not have Medicare coverage during the reported time period. For claims **with no** ongoing responsibility for medicals (no ORM), record does not need to be resubmitted. For claims **with** ongoing responsibility for medicals (ORM), RRE must continue to check the injured party’s Medicare entitlement and report when entitled to Medicare until the ongoing responsibility ends. Monitoring of such individuals may cease before they become a Medicare beneficiary if the standard for ORM termination set forth in “Special Exception” of Section 11.6 regarding reporting termination of ORM is met.

Disposition Codes	Description
SP	Record not accepted by the COBC due to errors in the data reported. Record returned with at least one error code (specific edits and associated error codes are described below). ***Record must be corrected and resubmitted on the next quarterly file submission.*** Note: RREs will receive this disposition code if neither the HICN nor SSN is submitted on the input record. In this case the RRE must obtain a valid HICN or SSN and resubmit the record on the next file submission.
50	Record still being processed by CMS. Internal CMS use only. ***Record must be resubmitted on the next quarterly file submission.***
51	Individual was not identified as a Medicare Beneficiary. For claims **with no** ongoing responsibility for medicals (no ORM), record does not need to be resubmitted if all information submitted was correct. For claims **with** ongoing responsibility for medicals (ORM), RRE must continue to check the injured party's Medicare entitlement and report when entitled to Medicare until the ongoing responsibility ends. Monitoring of such individuals may cease before they become a Medicare beneficiary if the ORM is not subject to reopening or otherwise subject to an additional request for payment **or** if the standard for ORM termination set forth in "Special Exception" of Section 11.6 regarding reporting termination of ORM is met. For queries, the individual was **not** identified as a Medicare beneficiary based upon the information submitted.

Response File Compliance Flag Codes

Compliance Code	Description
01	Late Submission of TPOC. Record was not reported timely. TPOC Date more than 135 days older than the start date of the current file submission period.
02	An invalid RRE TIN [Federal Tax Identification Number of the "applicable plan," whether liability insurance (including self-insurance), no-fault insurance or a workers' compensation law or plan] was supplied in the Claim Input Detail Record. The corresponding TIN on the TIN Reference File could not be validated by the COBC. The record was processed without the TIN. Refer to the disposition code for results. ***Claim and TIN Reference File records must be resubmitted with the correct RRE TIN in the next quarterly Claim Input File submission.***
03	Late Submission of ORM Termination Date. Record was not reported timely. ORM Termination Date more than 135 days older than the start date of the current file submission period.

Response File Error Codes

Error Code	Field	DESCRIPTION
CB01	Transaction Record Type	Required. Must be equal to NGHD or NGHE. NGHE must always follow an NGHD record. If NGHE record submitted, DCN/HICN/SSN/Injured Party First Name/Injured Party Last Name must match values on the NGHD record.
CB02	DCN	Required. Field must contain value greater than spaces.
CB03	Action Type	Required. Field must contain numeric characters. Field cannot be blank, contain alpha characters or spaces. Acceptable numeric characters include the following: 0 = Add Record 1 = Delete Record 2 = Update Record 3 = Update Record for Additional TPOC Report
CB04	Injured Party HICN	Field must contain spaces or alphanumeric characters.
CB05	Injured Party SSN	Field must contain spaces or numeric values.
CB06	Injured Party HICN/SSN	A valid Injured Party HICN or Injured Party SSN must be provided.
CB07	Injured Party Surname	Required. Must start with alpha. At least 2 consecutive alpha characters must be provided. Field cannot contain all spaces, numeric characters or special characters with the exception of an apostrophe.
CB08	Injured Party First Name	Required. Field must contain alpha characters.
CB09	Injured Party Middle Initial	Optional. Field must contain alpha characters or space. Field cannot be numeric characters, or punctuation marks.
CB10	Injured Party Gender Code	Required. Field must contain numeric characters. Field cannot be spaces or alpha characters. Acceptable numeric characters include the following: 0 = Unknown 1 = Male 2 = Female
CB11	Injured Party DOB	Required. Field must be numeric and contain a valid date prior to the current date. Formatted as CCYYMMDD
CI01	CMS Date of Incident	Required. Field must be numeric and a valid date prior to or equal to the current date. Formatted as CCYYMMDD. Field must contain numeric characters Field cannot contain spaces, alpha characters or all zeros.
CI02	Industry Date of Incident	Optional. Edit bypassed if field equal to spaces. Field must be numeric and contain a valid date prior to the current date or equal to zeroes. Formatted as CCYYMMDD.
CI03	Alleged Cause of Injury	Required as of 01/01/2011. If field is equal to spaces prior to 01/01/2011 edit bypassed. Field must contain a valid ICD-9-CM E Code (E800-E999) or equal to spaces.

Error Code	Field	DESCRIPTION
CI04	State of Venue	Required. Must be a valid US Postal state abbreviation or value of US.
CI05	ICD-9 Diagnosis Code 1	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909)
CI06	ICD-9 Diagnosis Code 2	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI07	ICD-9 Diagnosis Code 3	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI08	ICD-9 Diagnosis Code 4	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI09	ICD-9 Diagnosis Code 5	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI10	ICD-9 Diagnosis Code 6	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI11	ICD-9 Diagnosis Code 7	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI12	ICD-9 Diagnosis Code 8	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI13	ICD-9 Diagnosis Code 9	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI14	ICD-9 Diagnosis Code 10	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI15	ICD-9 Diagnosis Code 11	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI16	ICD-9 Diagnosis Code 12	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI17	ICD-9 Diagnosis Code 13	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI18	ICD-9 Diagnosis Code 14	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI19	ICD-9 Diagnosis Code 15	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)

Error Code	Field	DESCRIPTION
CI20	ICD-9 Diagnosis Code 16	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI21	ICD-9 Diagnosis Code 17	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI22	ICD-9 Diagnosis Code 18	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI23	ICD-9 Diagnosis Code 19	Must contain a valid ICD-9-CM or equal to spaces. (001 – V8909 or E800-E999)
CI24	Description of Illness/Injury	Required if ICD-9-CM Diagnosis Code 1 and Alleged Cause of Injury not provided and prior to 01/01/2011. If required must contain alphanumeric characters and not equal to spaces.
CI25	ICD-9 Diagnosis and Alleged Cause of Injury	Prior to 01/01/2011, at least a valid ICD-9 Diagnosis Code 1 and Alleged Cause of Injury must be provided or Description of Illness/Injury must be provided. After 12/31/2010, at least a valid ICD-9 Diagnosis Code and Alleged Cause of Injury must be provided.
CI26	Product Liability Indicator	Required. Field must contain numeric character. Field cannot be spaces or alpha characters. Acceptable numeric characters include the following: 1 = No 2 = Yes, not a mass tort situation 3 = Yes, mass tort situation
CI27	Product Generic Name	Required if Product Liability Indicator equal to 3 and prior to 01/01/2011. Required if Product Liability Indicator equal to 2 or 3 and after 12/31/2010. If required must contain alphanumeric characters and not equal to spaces.
CI28	Product Brand Name	Required if Product Liability Indicator equal to 3 and prior to 01/01/2011. Required if Product Liability Indicator equal to 2 or 3 and after 12/31/2010. If required must contain alphanumeric characters and not equal to spaces.
CI29	Product Manufacturer	Required if Product Liability Indicator equal to 3 and prior to 01/01/2011. Required if Product Liability Indicator equal to 2 or 3 and after 12/31/2010. If required must contain alphanumeric characters and not equal to spaces.
CI30	Product Alleged Harm	Required if Product Liability Indicator equal to 3 and prior to 01/01/2011. Required if Product Liability Indicator equal to 2 or 3 and after 12/31/2010. If required must contain alphanumeric characters and not equal to spaces.
CS01	Self Insured Indicator	Required if Plan Insurance Type equal to E or L. If required, value must be equal to Y or N. If not required space is acceptable.
CS02	Self Insured Type	Required if Self Insured Indicator equal to Y. If required, value must equal to I or O. If not required space is acceptable.
CS03	Policyholder Surname	Required when Self Insured Type equal to I. If required must contain at least 2 alpha characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must be equal to spaces if Self Insured type equal to O

Error Code	Field	DESCRIPTION
CS04	Policyholder First Name	Required when Self Insured Type equal to I. If required must contain at least 2 alpha characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must be equal to spaces if Self Insured Type is equal to O
CS05	DBA Name	Field must be equal to spaces if Self Insured Type is equal to I. If greater than spaces, field must contain at least 2 alphanumeric characters.
CS06	Legal Name	Field must be equal to spaces if Self Insured Type is equal to I. If greater than spaces, field must contain at least 2 alphanumeric characters.
CS07	DBA/Legal Name	DBA or Legal name must be provided if Self Insured Type is equal to O
CP01	Plan Insurance Type	Required. Must contain one of the following alpha characters: D = No-Fault E = Workers' Compensation L = Liability
CP02	Plan TIN	Required. Must contain a valid 9-digit IRS-assigned Federal Tax Identification Number. A corresponding TIN record must have been submitted on the TIN Reference File.
CP03	Office Code/Site ID	Must be equal to spaces or must be contain a 9-digit numeric code. A corresponding Site ID must have been submitted on the TIN Reference File.
CP04	Policy Number	Required. Must be at least 3 characters in length. Acceptable characters (alpha, numeric, space, comma, & - ' . @ # / ; or :). Cannot be equal to all spaces.
CP05	Claim Number	Required. Must contain alphanumeric values and cannot be equal to spaces.
CP06	Plan Contact Department Name	Field may contain alphanumeric characters. If field is not used, field must contain spaces.
CP07	Plan Contact Surname	If greater than spaces, field must contain alpha characters or a hyphen. Field must contain at least 2 alpha characters.
CP08	Plan Contact First Name	If greater than spaces, field must contain alpha characters or a hyphen. Field must contain at least 2 alpha characters.
CP09	Plan Contact Phone Number	Must contain 10-digit numeric value or spaces if not provided.
CP10	Plan Contact Phone Extension	Must contain numeric values or spaces if not provided.
CP11	No-Fault Insurance Limit	Must contain a numeric value or zeroes. If Plan insurance Type is equal to D, a value greater than zeroes must be provided.
CP12	Exhaust Date of No-Fault Insurance Limit	Must contain zeroes or a valid date. If Plan Insurance Type is equal to an E or L, must contain zeroes.

Error Code	Field	DESCRIPTION
CP13	Insurance Plan Name	Field must contain at least 2 alphanumeric characters. If the Insurers plan name is equal to SUPPLEMENT, SUPPLEMENTAL, INSURER, MISCELLANEOUS, CMS, ATTORNEY, UNKNOWN, NONE, N/A, UN, MISC, NO, BC, BX, BS, BCBX, BLUE CROSS, BLUE SHIELD, or MEDICARE the CP13 error will be applied. Extracted from TIN Reference file.
CP14	Insurance Plan Mailing Address Line 1	Field must contain alphanumeric characters. Field cannot be blank or equal to all spaces. Field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . Extracted from TIN Reference file.
CP15	Insurance Plan Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . Extracted from TIN Reference file.
CP16	Insurance Plan Mailing City	Embedded spaces are allowed for multi-city word name. Field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . Extracted from TIN Reference file.
CP17	Insurance Plan Mailing State	Field must contain US Postal Abbreviation Code. Extracted from TIN Reference file.
CP18	Insurance Plan Mailing Zip Code	Field must contain 5-digit numeric value. Extracted from TIN Reference file.
CP19	Insurance Plan Mailing Zip+4	Field must contain 4-digit numeric value, zeroes or spaces. Extracted from TIN Reference file.
CR01	Injured Party Representative Indicator	Must be an alpha value of: A – Attorney G – Guardian P – Power of Attorney O – Other Space – Not Applicable.
CR02	Representative Surname	If Representative Indicator equal to spaces, field must be equal to spaces. If present field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - ' . @ # / : ; .
CR03	Representative First Name	If Representative Indicator equal to spaces, field must be equal to spaces. If present field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - ' . @ # / : ; .
CR04	Representative Attorney Firm Name	If field not used, field must contain spaces. Field may contain alpha and/or numeric characters, spaces, commas, & - ' . @ # / : ; . Field must contain at least 2 alphanumeric characters.
CR05	Representative TIN	If Representative Indicator is not equal to spaces, field must contain numeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.

Error Code	Field	DESCRIPTION
CR06	Representative Mailing Address Line 1	If Representative Indicator is not equal to spaces, field must contain alphanumeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR07	Representative Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters
CR08	Representative Mailing City	If Representative Indicator is not equal to spaces, field must not contain all spaces. If Representative Indicator equal to spaces, field must be equal to spaces. Spaces are allowed for multi-city word name. Field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; .
CR09	Representative Mailing State	If Representative Indicator is not equal to spaces, field must contain US Postal Abbreviation Code. If Representative Indicator equal to spaces, field must be equal to spaces.
CR10	Representative Mailing Zip Code	If Representative Indicator is not equal to spaces, field must contain 5-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR11	Representative Mailing Zip+4	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR12	Representative Phone	If Representative Indicator is not equal to spaces, field must contain 10-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR13	Representative Phone Extension	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Representative Indicator equal to spaces, field must be equal to spaces.
CJ01	ORM Indicator	Required. Must contain a value of Y or N
CJ02	ORM Termination Date	Must contain a valid date or zeroes.
CJ03	TPOC Date	Must contain a valid date or zeroes.
CJ04	TPOC Amount	Must contain a numeric value or zeroes
CJ05	Funding Delayed	Must contain a valid date or zeroes.
CC01	Claimant 1 Relationship	Must be an alpha value of: E – Estate F – Family O – Other Space – Not Applicable.
CC02	Claimant 1 TIN	If Claimant 1 Relationship is not equal to spaces, field must contain a 9-digit numeric value.
CC03	Claimant 1 Surname	If Claimant 1 Relationship equal to spaces, field must be equal to spaces. If Claimant 1 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .

Error Code	Field	DESCRIPTION
CC04	Claimant 1 First Name	If Claimant 1 Relationship equal to spaces, field must be equal to spaces. If Claimant 1 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .
CC05	Claimant 1 Middle Initial	Field must be equal to space or an alpha character. If Claimant 1 Relationship equal to space, field must be equal to space.
CC06	Claimant 1 Mailing Address Line 1	If Claimant 1 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; . If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC07	Claimant 1 Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; .
CC08	Claimant 1 Mailing City	If Claimant 1 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC09	Claimant 1 Mailing State	If Claimant 1 Relationship is not equal to spaces, field must contain US Postal Abbreviation Code. If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC10	Claimant 1 Mailing Zip Code	If Claimant 1 Relationship is not equal to spaces, field must contain 5-digit numeric value. If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC11	Claimant 1 Mailing Zip+4	If Claimant 1 Relationship is not equal to spaces, field must contain 4-digit numeric value. If Claimant 1 Relationship equal to spaces, field must be equal to zeroes or spaces.
CC12	Claimant 1 Phone	If Claimant 1 Relationship is not equal to spaces, field must contain 10-digit numeric value. If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC13	Claimant 1 Phone Extension	If Claimant 1 Relationship is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC21	Claimant 2 Relationship	Must be an alpha value of: E – Estate F – Family O – Other Space – Not Applicable.
CC22	Claimant 2 TIN	If Claimant 2 Relationship is not equal to spaces, field must contain a 9-digit numeric value.
CC23	Claimant 2 Surname	If Claimant 2 Relationship equal to spaces, field must be equal to spaces. If Claimant 2 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .

Error Code	Field	DESCRIPTION
CC24	Claimant 2 First Name	If Claimant 2 Relationship equal to spaces, field must be equal to spaces. If Claimant 2 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .
CC25	Claimant 2 Middle Initial	Field must be equal to space or an alpha character. If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC26	Claimant 2 Mailing Address Line 1	If Claimant 2 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; . If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC27	Claimant 2 Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; .
CC28	Claimant 2 Mailing City	If Claimant 2 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC29	Claimant 2 Mailing State	If Claimant 2 Relationship is not equal to spaces, field must contain US Postal Abbreviation Code. If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC30	Claimant 2 Mailing Zip Code	If Claimant 2 Relationship is not equal to spaces, field must contain 5-digit numeric value. If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC31	Claimant 2 Mailing Zip+4	If Claimant 2 Relationship is not equal to spaces, field must contain 4-digit numeric value. If Claimant 2 Relationship equal to spaces, field must be equal to zeroes or spaces.
CC32	Claimant 2 Phone	If Claimant 2 Relationship is not equal to spaces, field must contain 10-digit numeric value. If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC33	Claimant 2 Phone Extension	If Claimant 2 Relationship is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Claimant 2 Relationship equal to spaces, field must be equal to spaces.
CC41	Claimant 3 Relationship	Must be an alpha value of: E – Estate F – Family O – Other Space – Not Applicable.
CC42	Claimant 3 TIN	If Claimant 3 Relationship is not equal to spaces, field must contain a 9-digit numeric value.
CC43	Claimant 3 Surname	If Claimant 3 Relationship equal to spaces, field must be equal to spaces. If Claimant 3 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .

Error Code	Field	DESCRIPTION
CC44	Claimant 3 First Name	If Claimant 3 Relationship equal to spaces, field must be equal to spaces. If Claimant 3 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .
CC45	Claimant 3 Middle Initial	Field must be equal to space or an alpha character. If Claimant 3 Relationship equal to space, field must be equal to space.
CC46	Claimant 3 Mailing Address Line 1	If Claimant 1 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; . If Claimant 1 Relationship equal to spaces, field must be equal to spaces.
CC47	Claimant 3 Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; .
CC48	Claimant 3 Mailing City	If Claimant 3 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . If Claimant 3 Relationship equal to spaces, field must be equal to spaces.
CC49	Claimant 3 Mailing State	If Claimant 3 Relationship is not equal to spaces, field must contain US Postal Abbreviation Code. If Claimant 3 Relationship equal to spaces, field must be equal to spaces.
CC50	Claimant 3 Mailing Zip Code	If Claimant 3 Relationship is not equal to spaces, field must contain 5-digit numeric value. If Claimant 3 Relationship equal to spaces, field must be equal to spaces.
CC51	Claimant 3 Mailing Zip+4	If Claimant 3 Relationship is not equal to spaces, field must contain 4-digit numeric value. If Claimant 3 Relationship equal to spaces, field must be equal to zeroes or spaces.
CC52	Claimant 3 Phone	If Claimant 3 Relationship is not equal to spaces, field must contain 10-digit numeric value. If Claimant 3 Relationship equal to spaces, field must be equal to spaces.
CC53	Claimant 3 Phone Extension	If Claimant 3 Relationship is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Claimant 3 Relationship equal to spaces, field must be equal to spaces.
CC61	Claimant 4 Relationship	Must be an alpha value of: E – Estate F – Family O – Other Space – Not Applicable.
CC62	Claimant 4 TIN	If Claimant 4 Relationship is not equal to spaces, field must contain a 9-digit numeric value.
CC63	Claimant 4 Surname	If Claimant 4 Relationship equal to spaces, field must be equal to spaces. If Claimant 4 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .

Error Code	Field	DESCRIPTION
CC64	Claimant 4 First Name	If Claimant 4 Relationship equal to spaces, field must be equal to spaces. If Claimant 4 Relationship is not equal to spaces, field must start with alpha. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; .
CC65	Claimant 4 Middle Initial	Field must be equal to space or an alpha character. If Claimant 4 Relationship equal to space, field must be equal to space.
CC66	Claimant 4 Mailing Address Line 1	If Claimant 4 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; . If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CC67	Claimant 4 Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters plus the following special characters commas, & - '. @ # / : ; .
CC68	Claimant 4 Mailing City	If Claimant 4 Relationship is not equal to spaces, field may contain alpha and/or numeric characters plus the following special characters commas, & - ' . @ # / : ; . If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CC69	Claimant 4 Mailing State	If Claimant 4 Relationship is not equal to spaces, field must contain US Postal Abbreviation Code. If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CC70	Claimant 4 Mailing Zip Code	If Claimant 4 Relationship is not equal to spaces, field must contain 5-digit numeric value. If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CC71	Claimant 4 Mailing Zip+4	If Claimant 4 Relationship is not equal to spaces, field must contain 4-digit numeric value. If Claimant 4 Relationship equal to spaces, field must be equal to zeroes or spaces.
CC72	Claimant 4 Phone	If Claimant 4 Relationship is not equal to spaces, field must contain 10-digit numeric value. If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CC73	Claimant 4 Phone Extension	If Claimant 4 Relationship is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Claimant 4 Relationship equal to spaces, field must be equal to spaces.
CR21	Claimant 1 Representative Indicator	Must be an alpha value of: A – Attorney G – Guardian P – Power of Attorney O – Other Space – Not Applicable.
CR22	Claimant 1 Representative Surname	If Representative Indicator is not equal to spaces, field must start with alpha character. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.

Error Code	Field	DESCRIPTION
CR23	Claimant 1 Representative First Name	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must contain at least 2 alpha characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR24	Claimant 1 Representative Attorney Firm Name	Field must be equal to spaces or contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ;
CR25	Claimant 1 Representative TIN	If Representative Indicator is not equal to spaces, field must contain numeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR26	Claimant 1 Representative Mailing Address Line 1	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR27	Claimant 1 Representative Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters.
CR28	Claimant 1 Representative Mailing City	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR29	Claimant 1 Representative Mailing State	If Representative Indicator is not equal to spaces, field must contain US Postal Abbreviation Code. If Representative Indicator equal to spaces, field must be equal to spaces.
CR30	Claimant 1 Representative Mailing Zip Code	If Representative Indicator is not equal to spaces, field must contain 5-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR31	Claimant 1 Representative Mailing Zip+4	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value. If Representative Indicator equal to spaces, field must be equal to zeroes or spaces.
CR32	Claimant 1 Representative Phone	If Representative Indicator is not equal to spaces, field must contain 10-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR33	Claimant 1 Representative Phone Extension	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Representative Indicator equal to spaces, field must be equal to spaces.
CR41	Claimant 2 Representative Indicator	Must be an alpha value of: A – Attorney G – Guardian P – Power of Attorney O – Other Space – Not Applicable.

Error Code	Field	DESCRIPTION
CR42	Claimant 2 Representative Surname	If Representative Indicator is not equal to spaces, field must start with alpha character. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR43	Claimant 2 Representative First Name	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must contain at least 2 alpha characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR44	Claimant 2 Representative Attorney Firm Name	Field must be equal to spaces or contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ;
CR45	Claimant 2 Representative TIN	If Representative Indicator is not equal to spaces, field must contain numeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR46	Claimant 2 Representative Mailing Address Line 1	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR47	Claimant 2 Representative Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters.
CR48	Claimant 2 Representative Mailing City	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR49	Claimant 2 Representative Mailing State	If Representative Indicator is not equal to spaces, field must contain US Postal Abbreviation Code. If Representative Indicator equal to spaces, field must be equal to spaces.
CR50	Claimant 2 Representative Mailing Zip Code	If Representative Indicator is not equal to spaces, field must contain 5-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR51	Claimant 2 Representative Mailing Zip+4	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value. If Representative Indicator equal to spaces, field must be equal to zeroes or spaces.
CR52	Claimant 2 Representative Phone	If Representative Indicator is not equal to spaces, field must contain 10-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR53	Claimant 2 Representative Phone Extension	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Representative Indicator equal to spaces, field must be equal to spaces.

Error Code	Field	DESCRIPTION
CR61	Claimant 3 Representative Indicator	Must be an alpha value of: A – Attorney G – Guardian P – Power of Attorney O – Other Space – Not Applicable.
CR62	Claimant 3 Representative Surname	If Representative Indicator is not equal to spaces, field must start with alpha character. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR63	Claimant 3 Representative First Name	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must contain at least 2 alpha characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR64	Claimant 3 Representative Attorney Firm Name	Field must be equal to spaces or contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ;
CR65	Claimant 3 Representative TIN	If Representative Indicator is not equal to spaces, field must contain numeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR66	Claimant 3 Representative Mailing Address Line 1	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR67	Claimant 3 Representative Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters.
CR68	Claimant 3 Representative Mailing City	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR69	Claimant 3 Representative Mailing State	If Representative Indicator is not equal to spaces, field must contain US Postal Abbreviation Code. If Representative Indicator equal to spaces, field must be equal to spaces.
CR70	Claimant 3 Representative Mailing Zip Code	If Representative Indicator is not equal to spaces, field must contain 5-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR71	Claimant 3 Representative Mailing Zip+4	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value. If Representative Indicator equal to spaces, field must be equal to zeroes or spaces.
CR72	Claimant 3 Representative Phone	If Representative Indicator is not equal to spaces, field must contain 10-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.

Error Code	Field	DESCRIPTION
CR73	Claimant 3 Representative Phone Extension	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Representative Indicator equal to spaces, field must be equal to spaces.
CR81	Claimant 4 Representative Indicator	Must be an alpha value of: A – Attorney G – Guardian P – Power of Attorney O – Other Space – Not Applicable.
CR82	Claimant 4 Representative Surname	If Representative Indicator is not equal to spaces, field must start with alpha character. At least 2 consecutive alpha characters must be provided. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR83	Claimant 4 Representative First Name	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . Field must contain at least 2 alpha characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR84	Claimant 4 Representative Attorney Firm Name	Field must be equal to spaces or contain at least 2 alphanumeric characters. Field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ;
CR85	Claimant 4 Representative TIN	If Representative Indicator is not equal to spaces, field must contain numeric characters. If Representative Indicator equal to spaces, field must be equal to spaces.
CR86	Claimant 4 Representative Mailing Address Line 1	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR87	Claimant 4 Representative Mailing Address Line 2	If field greater than spaces, field must contain at least 2 alphanumeric characters.
CR88	Claimant 4 Representative Mailing City	If Representative Indicator is not equal to spaces, field may contain alpha and/or numeric characters, spaces, commas, & - '. @ # / : ; . If Representative Indicator equal to spaces, field must be equal to spaces.
CR89	Claimant 4 Representative Mailing State	If Representative Indicator is not equal to spaces, field must contain US Postal Abbreviation Code. If Representative Indicator equal to spaces, field must be equal to spaces.
CR90	Claimant 4 Representative Mailing Zip Code	If Representative Indicator is not equal to spaces, field must contain 5-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.

Error Code	Field	DESCRIPTION
CR91	Claimant 4 Representative Mailing Zip+4	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value. If Representative Indicator equal to spaces, field must be equal to zeroes or spaces.
CR92	Claimant 4 Representative Phone	If Representative Indicator is not equal to spaces, field must contain 10-digit numeric value. If Representative Indicator equal to spaces, field must be equal to spaces.
CR93	Claimant 4 Representative Phone Extension	If Representative Indicator is not equal to spaces, field must contain 4-digit numeric value or zeroes. If Representative Indicator equal to spaces, field must be equal to spaces.

Appendix F – MMSEA Section 111 Statutory Language

The Medicare Secondary Payor Mandatory Reporting Provisions
Of Section 111 of the Medicare, Medicaid, and SCHIP Extension Act of 2007
(See 42 U.S.C. 1395y(b)(7)&(b)(8))

SECTION 111 – MEDICARE SECONDARY PAYOR

(a) In General - Section 1862(b) of the Social Security Act (42 U.S.C. 1395y(b)) is amended by adding at the end the following new paragraphs:

(7) REQUIRED SUBMISSION OF INFORMATION BY GROUP HEALTH PLANS-

(A) REQUIREMENT- On and after the first day of the first calendar quarter beginning after the date that is 1 year after the date of the enactment of this paragraph, an entity serving as an insurer or third party administrator for a group health plan, as defined in paragraph (1)(A)(v), and, in the case of a group health plan that is self-insured and self-administered, a plan administrator or fiduciary, shall--

(i) secure from the plan sponsor and plan participants such information as the Secretary shall specify for the purpose of identifying situations where the group health plan is or has been a primary plan to the program under this title; and

(ii) submit such information to the Secretary in a form and manner (including frequency) specified by the Secretary.

(B) ENFORCEMENT-

(i) IN GENERAL- An entity, a plan administrator, or a fiduciary described in subparagraph (A) that fails to comply with the requirements under such subparagraph shall be subject to a civil money penalty of $1,000 for each day of noncompliance for each individual for which the information under such subparagraph should have been submitted. The provisions of subsections (e) and (k) of section 1128A shall apply to a civil money penalty under the previous sentence in the same manner as such provisions apply to a penalty or proceeding under section 1128A(a). A civil money penalty under this clause shall be in addition to any other penalties prescribed by law and in addition to any Medicare secondary payer claim under this title with respect to an individual.

(ii) DEPOSIT OF AMOUNTS COLLECTED- Any amounts collected pursuant to clause (i) shall be deposited in the Federal Hospital Insurance Trust Fund under section 1817.

(C) SHARING OF INFORMATION- Notwithstanding any other provision of law, under terms and conditions established by the Secretary, the Secretary--

(i) shall share information on entitlement under Part A and enrollment under Part B under this title with entities, plan

administrators, and fiduciaries described in subparagraph (A);

(ii) may share the entitlement and enrollment information described in clause (i) with entities and persons not described in such clause; and

(iii) may share information collected under this paragraph as necessary for purposes of the proper coordination of benefits.

(D) IMPLEMENTATION- Notwithstanding any other provision of law, the Secretary may implement this paragraph by program instruction or otherwise.

(8) REQUIRED SUBMISSION OF INFORMATION BY OR ON BEHALF OF LIABILITY INSURANCE (INCLUDING SELF-INSURANCE), NO FAULT INSURANCE, AND WORKERS' COMPENSATION LAWS AND PLANS-

(A) REQUIREMENT- On and after the first day of the first calendar quarter beginning after the date that is 18 months after the date of the enactment of this paragraph, an applicable plan shall--

(i) determine whether a claimant (including an individual whose claim is unresolved) is entitled to benefits under the program under this title on any basis; and

(ii) if the claimant is determined to be so entitled, submit the information described in subparagraph (B) with respect to the claimant to the Secretary in a form and manner (including frequency) specified by the Secretary.

(B) REQUIRED INFORMATION- The information described in this subparagraph is--

(i) the identity of the claimant for which the determination under subparagraph (A) was made; and

(ii) such other information as the Secretary shall specify in order to enable the Secretary to make an appropriate determination concerning coordination of benefits, including any applicable recovery claim.

(C) TIMING- Information shall be submitted under subparagraph (A)(ii) within a time specified by the Secretary after the claim is resolved through a settlement, judgment, award, or other payment (regardless of whether or not there is a determination or admission of liability).

(D) CLAIMANT- For purposes of subparagraph (A), the term 'claimant' includes--

(i) an individual filing a claim directly against the applicable plan; and

(ii) an individual filing a claim against an individual or entity insured or covered by the applicable plan.

(E) ENFORCEMENT-

(i) IN GENERAL- An applicable plan that fails to comply with the requirements under subparagraph (A) with respect to any claimant shall be subject to a civil money penalty of $1,000 for each day of noncompliance with respect to each claimant. The provisions of subsections (e) and (k) of section 1128A shall apply to a civil money penalty under

the previous sentence in the same manner as such provisions apply to a penalty or proceeding under section 1128A(a). A civil money penalty under this clause shall be in addition to any other penalties prescribed by law and in addition to any Medicare secondary payer claim under this title with respect to an individual.

(ii) DEPOSIT OF AMOUNTS COLLECTED- Any amounts collected pursuant to clause (i) shall be deposited in the Federal Hospital Insurance Trust Fund.

(F) APPLICABLE PLAN- In this paragraph, the term `applicable plan' means the following laws, plans, or other arrangements, including the fiduciary or administrator for such law, plan, or arrangement:

(i) Liability insurance (including self-insurance).

(ii) No fault insurance.

(iii) Workers' compensation laws or plans.

(G) SHARING OF INFORMATION- The Secretary may share information collected under this paragraph as necessary for purposes of the proper coordination of benefits.

(H) IMPLEMENTATION- Notwithstanding any other provision of law, the Secretary may implement this paragraph by program instruction or otherwise.

(b) Rule of Construction- Nothing in the amendments made by this section shall be construed to limit the authority of the Secretary of Health and Human Services to collect information to carry out Medicare secondary payer provisions under title XVIII of the Social Security Act, including under parts C and D of such title.

(c) Implementation- For purposes of implementing paragraphs (7) and (8) of section 1862(b) of the Social Security Act, as added by subsection (a), to ensure appropriate payments under title XVIII of such Act, the Secretary of Health and Human Services shall provide for the transfer, from the Federal Hospital Insurance Trust Fund established under section 1817 of the Social Security Act (42 U.S.C. 1395i) and the Federal Supplementary Medical Insurance Trust Fund established under section 1841 of such Act (42 U.S.C. 1395t), in such proportions as the Secretary determines appropriate, of $35,000,000 to the Centers for Medicare & Medicaid Services Program Management Account for the period of fiscal years 2008, 2009, and 2010.

Appendix G – MMSEA Section 111 Definitions and Reporting Responsibilities

Attachment A – Definitions and Reporting Responsibilities

(Attachment A to the Supporting Statement for the MMSEA Section 111 Paperwork Reduction Act (PRA) Federal Register (FR) Notice published February 13, 2009.)

SUPPORTING DOCUMENT FOR PRA PACKAGE FOR MEDICARE SECONDARY PAYER REPORTING RESPONSIBILITIES FOR SECTION 111 OF THE MEDICARE, MEDICAID, AND SCHIP EXTENSION ACT OF 2007

Note: The second paragraph under Liability Self-Insurance was revised subsequent to the initial publication of this Attachment on August 1, 2008.

DEFINITIONS AND REPORTING RESPONSIBILITIES

GROUP HEALTH PLAN (GHP) ARRANGEMENTS (42 U.S.C. 1395y(b)(7)) --

INSURER
For purposes of the reporting requirements at 42 U.S.C.1395y(b)(7), an insurer is an entity that, in return for the receipt of a premium, assumes the obligation to pay claims described in the insurance contract and assumes the financial risk associated with such payments. In instances where an insurer does not process GHP claims but has a third party administrator (TPA) that does, the TPA has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(7).

THIRD PARTY ADMINISTRATOR (TPA)
For purposes of the reporting requirements at 42 U.S.C.1395y(b)(7), a TPA is an entity that pays and/or adjudicates claims and may perform other administrative services on behalf of GHPs (as defined at 42 U.S.C. 1395y(b)(1)(A)(v)), the plan sponsor(s) or the plan insurer. A TPA may perform these services for, amongst other entities, self-insured employers, unions, associations, and insurers/underwriters of such GHPs. If a GHP is self-funded and self-administered for certain purposes but also has a TPA as defined in this paragraph, the TPA has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(7).

USE OF AGENTS FOR PURPOSES OF THE REPORTING REQUIREMENTS AT 42 U.S.C. 1395y(b)(7):
For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(7), agents may submit reports on behalf of :

- Insurers for GHPs
- TPAs for GHPs

- Employers with self-insured and self-administered GHPs

Accountability for submitting the reports in the manner and form stipulated by the Secretary and the accuracy of the submitted information continues to rest with each of the above-named entities.

The CMS will provide information on the format and method of identifying agents for reporting purposes.

LIABILITY INSURANCE (INCLUDING SELF-INSURANCE), NO-FAULT INSURANCE, AND WORKERS' COMPENSATION (42 U.S.C. 1395y(b)(8) **--**

INSURER
For purposes of the reporting requirements for 42 U.S.C. 1395y**(**b)(8), a liability insurer (except for self-insurance) or a no-fault insurer is an entity that, in return for the receipt of a premium, assumes the obligation to pay claims described in the insurance contract and assumes the financial risk associated with such payments. The insurer may or may not assume responsibility for claims processing; however, the insurer has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8) regardless of whether it uses another entity for claim processing.

CLAIMANT:
For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8), "claimant" includes: 1) an individual filing a claim directly against the applicable plan, 2) an individual filing a claim against an individual or entity insured or covered by the applicable plan, or 3) an individual whose illness, injury, incident, or accident is/was at issue in "1)" or "2)".

APPLICABLE PLAN:
For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8), the "applicable plan" as defined in subsection (8)((F) has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8). For workers' compensation information this would be the Federal agency, the State agency, or self-insured employer or the employer's insurer.

NO-FAULT INSURANCE:
Trade associations for liability insurance, no-fault insurance and workers' compensation have indicated that the industry's definition of no-fault insurance is narrower than CMS' definition. For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8), the definition of no-fault insurance found at 42 C.F.R. 411.50 is controlling.

LIABILITY SELF-INSURANCE:
42 U.S.C. 1395y(b)(2)(A) provides that an entity that engages in a business, trade or profession shall be deemed to have a self-insured plan if it carries its own risk (whether by a failure to obtain insurance, or otherwise) in whole or in part. Self-insurance or deemed self-insurance can be demonstrated by a settlement, judgment, award, or other payment to satisfy an alleged claim (including any deductible or co-pay on a liability insurance, no-fault insurance, or workers' compensation law or plan) for a business, trade or profession. See also 42 C.F.R. 411.50.

Special Considerations where liability self-insurance which is a deductible or co-payment for liability insurance, no-fault insurance, or workers' compensation is paid to the insurer or workers' compensation entity for distribution (rather than directly to the claimant): As indicated in the definition of "liability self-insurance," such deductibles and co-payments constitute liability self-insurance, and require reporting by the self-insured entities. However, in order to avoid two entities reporting where the deductibles and/or co-payments are physically being paid by the insurance company or workers' compensation rather than the self-insured entity, CMS has determined that the liability insurance company, no-fault insurance company, or workers' compensation, as appropriate, must include the self-insurance deductible or co-pay in the amount it reports. Note that this rule only applies where the self-insurance deductible or co-pay is paid to the insurer for distribution rather than directly to the claimant

WORKERS' COMPENSATION LAW OR PLAN

For purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8), a workers' compensation law or plan means a law or program administered by a State (defined to include commonwealths, territories and possessions of the United States) or the United States to provide compensation to workers for work-related injuries and/or illnesses. The term includes a similar compensation plan established by an employer that is funded by such employer directly or indirectly through an insurer to provide compensation to a worker of such employer for a work-related injury or illness. Where such a plan is directly funded by the employer, the employer has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8). Where such a plan is indirectly funded by the employer, the insurer has the responsibility for the reporting requirements at 42 U.S.C. 1395y(b)(8).

USE OF AGENTS FOR PURPOSES OF THE REPORTING REQUIREMENTS AT 42 U.S.C. 1395y(b)(8):

Agents may submit reports on behalf of:

- Insurers for no-fault or liability insurance
- Self-insured entities for liability insurance
- Workers' compensation laws or plans

Accountability for submitting the reports in the manner and form stipulated by the Secretary and the accuracy of the submitted information continues to rest with each of the above-named entities.

TPAs of any type (including TPAs as defined for purposes of the reporting requirements at 42 U.S.C. 1395y(b)(7) for GHP arrangements) have no reporting responsibilities for purposes of the reporting requirements at 42 U.S.C. 1395y(b)(8) for liability insurance (including self-insurance), no-fault insurance, or workers' compensation. Where an entity reports on behalf of another entity required to report under 42 U.S.C. 1395y(b)(8), it is doing so as an agent of the second entity.

CMS will provide information on the format and method of identifying agents for reporting purposes.