



# North Carolina Department of Health and Human Services (NC DHHS)

Division of Medical Assistance (DMA)

Division of Mental Health (DMH)

Division of Public Health (DPH)

Standard Companion Guide Transaction Information Instructions related to Transactions based on ASC X12 Implementation Guides, version 004010X093A1 Health Care Claim Pending Status Information (277U), for the Replacement MMIS NCTracks starting July 1, 2013



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## Preface

Companion Guides (CG) may contain two types of data, instructions for electronic communications with the publishing entity (Communications/Connectivity Instructions) and supplemental information for creating transactions for the publishing entity while ensuring compliance with the associated ASC X12 IG (Transaction Instructions). Either the Communications/Connectivity component or the Transaction Instruction component must be included in every CG. The components may be published as separate documents or as a single document.

The Communications/Connectivity component is included in the CG when the publishing entity wants to convey the information needed to commence and maintain communication exchange.

The Transaction Instruction component is included in the CG when the publishing entity wants to clarify the IG instructions for submission of specific electronic transactions. The Transaction Instruction component content is limited by ASCX12's copyrights and Fair Use statement.

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# 1. Transaction Instruction (TI) Introduction

## 1.1 BACKGROUND

### 1.1.1 Overview of HIPAA Legislation

The Health Insurance Portability and Accountability Act (HIPAA) of 1996 carry provisions for administrative simplification. This requires the Secretary of the Department of Health and Human Services (HHS) to adopt standards to support the electronic exchange of administrative and financial health care transactions primarily between health care providers and plans. HIPAA directs the Secretary to adopt standards for transactions to enable health information to be exchanged electronically and to adopt specifications for implementing each standard HIPAA serves to:

- Create better access to health insurance
- Limit fraud and abuse
- Reduce administrative costs

### 1.1.2 Compliance According to HIPAA

The HIPAA regulations at 45 CFR 162.915 require that covered entities not enter into a trading partner agreement that would do any of the following:

- Change the definition, data condition, or use of a data element or segment in a standard.
- Add any data elements or segments to the maximum defined data set.
- Use any code or data elements that are marked “not used” in the standard’s implementation specifications or are not in the standard’s implementation specification(s).
- Change the meaning or intent of the standard’s implementation specification(s).

### 1.1.3 Compliance According to ASC X12

ASC X12 requirements include specific restrictions that prohibit trading partners from:

- Modifying any defining, explanatory, or clarifying content contained in the implementation guide.
- Modifying any requirement contained in the implementation guide.

## 1.2 INTENDED USE

The Transaction Instruction component of this companion guide must be used in conjunction with an associated ASC X12 Implementation Guide. The instructions in this companion guide are not intended to be stand-alone requirements documents. This companion guide conforms to all the requirements of any associated ASC X12 Implementation Guides and is in conformance with ASC X12’s Fair Use and Copyright statements.

## 1.3 INTENDED AUDIENCE

This companion guide is intended for the business and technical users, within or on behalf of trading partners, responsible for the testing and setup of electronic claims submissions to NCTracks. In addition, this information should be communicated to, and coordinated with, the provider's billing office in order to ensure that the required billing information is provided to its billing agent/submitter.

## **1.4 PURPOSE OF COMPANION GUIDE**

The Companion Guide is to be used with, and to supplement the requirements in the HIPAA ASC X12 Implementation Guides, without contradicting those requirements. Implementation Guides define the national data standards, electronic format, and values for each data element within an electronic transaction. The purpose of the Companion guide is to provide trading partners with a guide to communicate NCTracks specific information required to successfully exchange transactions.

The primary purpose of this document is to assist the trading partner with the appropriate use of the transactions and is not intended to be a billing or policy guide.

## **1.5 ACKNOWLEDGEMENTS**

For all inbound transactions, a 997 Acknowledgement report will be sent to the trading partner's OUTBOX for retrieval. This report serves as the acknowledgement of the submission of a file. Typically, 997 Acknowledgement reports are available within moments of submission.

## **1.6 TRADING PARTNER AGREEMENT SETUP**

\*\*\*This is a test version – more information will be provided with the final version of the Companion Guide\*\*\*

## **1.7 TESTING**

NC DHHS (DMA, DMH, and DPH) requires testing, or third party certification, prior to approving a trading partner to submit claims in production. Once in production, NC DHHS (DMA, DMH,DPH) reserves the right to require re-testing if it is determined the trading partner is receiving/generating an unacceptable volume of errors.

\*\*\*This is a test version – more information will be provided with the final version of the Companion Guide\*\*\*

## 2. Included ASC X12 Implementation Guides

The table below identifies the X12N Implementation Guides for all of the 4010 transactions supported by NCTracks. Companion guides are available for each of the transactions.

Section 3 of this document provides information specific to the 277U transaction, as defined in the 004010X093 Health Care Claim Status Request and Response (276/277) IG dated May 2000, and updated by:

- Addenda 004010X093A1 Health Care Claim Status Request and Response dated October 2002

Unique ID	Name
004010X098	Health Care Claim: Professional (837P)
004010X096	Health Care Claim: Institutional (837I)
004010X097	Health Care Claim: Dental (837D)
004010X093	Health Care Claim Pending Status Information (277U)
004010X092	Health Care Eligibility Benefit Inquiry and Response (270/271)
004010X091	Health Care Claim Payment/ Advice (835)
004010X093	Health Care Claim Status Request and Response (276/277)
004010	Functional Acknowledgment (997)

### 3. Instruction Tables

These tables contain one or more rows for each segment for which a supplemental instruction is needed.

Legend	
SHADED rows represent "segments" in the X12N implementation guide.	
NON-SHADED rows represent "data elements" in the X12N implementation guide.	

#### 004010X093A1 Health Care Payer Pending Status Information (277U)

Loop ID	Reference	Name	Codes	Notes/Comments
Header	ISA	Interchange Control Header		
	ISA01	Author Information Qualifier	00	"00" is returned
	ISA03	Security Information Qualifier	00	"00" is returned
	ISA05	Interchange ID Qualifier	ZZ	"ZZ" is returned
	ISA06	Interchange Sender ID		"NCTRACKSBAT" is returned
	ISA07	Interchange ID Qualifier	ZZ	"ZZ" is returned
	ISA08	Interchange Receiver ID		Receiver's ETIN is returned
Header	GS	Functional Group Header		
	GS02	Application Sender's Code		"NCTRACKSBAT" is returned
	GS03	Application Receiver's Code		Receiver's ETIN is returned
Header	BHT	Beginning of Hierarchical Transaction		
	BHT03	Originator Application Transaction Identifier		NCTRACKS will send a unique transaction identifier for each BHT segment
2100A	NM1	Payer Name		
	NM103	Payer Name		"NCTRACKS" is returned
	NM108	Identification Code Qualifier	FI	"FI" is returned
2100B	NM1	Information Receiver Name		
	NM102	Entity Type Qualifier	1	"1" is returned
	NM108	Identification Code Qualifier	46	"46" is returned
	NM109	Information Receiver Identification Number		Receiver's ETIN is returned
2100C	NM1	Provider Information		
	NM101	Entity Identifier Code	1P	"1P" is returned
	NM108	Identification Code Qualifier	SV, XX	"SV" or "XX" is returned
2100D	NM1	Subscriber Name		
	NM101	Entity Identifier Code	QC	"QC" is returned



Loop ID	Reference	Name	Codes	Notes/Comments
	NM102	Entity Type Qualifier	1	"1" is returned
	NM108	Identification Code Qualifier	MI	"MI" is returned
2200D	STC	Claim Level Status Information		
	STC05	Claim Payment Amount		NCTracks will return zeroes

## 4. TI Additional Information

### 4.1 BUSINESS SCENARIOS

The 277U, Health Care Claim Pending Status Information, is used to report pended (unadjudicated) claims. The 277U is created to supplement the 835, Health Care Claim Payment/ Advice, which reports paid and denied (adjudicated) claims. The 277U is also used as a pre-adjudication claim response when an 837I, P, or D claim is rejected by NCTracks.

### 4.2 PAYER SPECIFIC BUSINESS RULES AND LIMITATIONS

A 277U is returned as a pre-adjudication claim response if one of the following error conditions is identified:

- Invalid Provider/ETIN combination
- Billing provider not on file
- Maximum number of X12 lines exceeded (999 for batch; 8 for real time)

### 4.3 SCHEDULED MAINTENANCE

\*\*\*This is a test version – more information will be provided with the final version of the Companion Guide\*\*\*

### 4.4 FREQUENTLY ASKED QUESTIONS

This section will contain a compilation of questions and answers as they are identified. \*\*\*This is a test version – more information will be provided with the final version of the Companion Guide\*\*\*

### 4.5 OTHER RESOURCES

- **Washington Publishing Company**

The Implementation Guides for X12N and all other HIPAA standard transactions are available electronically at

<http://www.wpc-edi.com>

- **ASC X12 Organization**

<http://www.x12.org/>

- **United States Department of Health and Human Services (HHS)**

This site is a resource for the Notice of Proposed Rule Making, rules and other information about HIPAA.

<http://www.aspe.hhs.gov/admsimp>

- **Workgroup for Electronic Data Interchange (WEDI)**

A workgroup dedicated to improving health-care through electronic commerce, which includes the Strategic National Implementation Process (SNIP) for complying with the administrative simplification provisions of HIPAA.

<http://www.wedi.org>

- North Carolina Department of Health and Human Services

<http://www.ncdhhs.gov>

- **North Carolina Division of Medical Assistance**

<http://www.ncdhhs.gov/dma/>

- **North Carolina Division of Mental Health/Development Disabilities/Substances Abuse Services**

<http://www.ncdhhs.gov/mhddsas/>

- **North Carolina Division of Public Health**

<http://www.publichealth.nc.gov/>

## 5. Change Summary

Date	Change	Responsible Party
November 30, 2012	Initial trading partner test version	CSC under the direction of NC DHHS