DATS
Development Applications and Technical Services

Centers for Medicare & Medicaid Services
CMS eXpedited Life Cycle (XLC)

Electronic Submission of Medical Documentation (esMD)

X12N 275 Companion Guide (ASC X12N/006020X316): Additional Information to Support Health Care Services Review

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1. Introduction

The Centers for Medicare & Medicaid Services (CMS) is a federal agency that ensures health care coverage for more than 100 million Americans. CMS administers Medicare and provides funds and guidance for all states, territories, and protectorates in the nation, for their Medicaid programs and Children's Health Insurance Program (CHIP). CMS works together with the health care community and organizations in delivering improved and better-coordinated care.

1.1 Scope

The purpose of this companion guide is to provide standardized data requirements and content for all trading partners participating in Electronic Submission of Medical Documentation (esMD) to submit additional documentation. While X12N 278 transactions are submitted via real-time, synchronous connections, the X12N 275 transactions must be submitted using the non-synchronous, batch, mode. This companion guide is to be used in conjunction with the document *Accredited Standards Committee (ASC) X12N/006020X316 (275) Additional Information to Support Health Care Services Review Technical Report Type 3 (TR3).* This companion guide supplements but does not modify or replace any guidelines or rules established by the ASC X12N 275 TR3.

1.2 Overview

This companion guide has been written to assist trading partners or Health Information Handlers (HIH) in implementing the ASC X12N 275 Unsolicited Additional Documentation to meet esMD processing standards. It provides detailed explanations of the transaction set by defining data content, identifying valid code values as per the esMD programs offered by CMS, and specifying values that are applicable for Electronic Data Interchange (EDI) X12N 275 Additional Documentation. The guidance is to support esMD trading partners, such as HIHs, to effectively submit X12N 275 Unsolicited Additional Documentation.

esMD implemented the Sequoia Project (formerly known as HealtheWay and the Nationwide Health Information Network (NwHIN)) and Phase II Council for Affordable Quality Healthcare (CAQH) Committee on Operating Rules for Information Exchange (CORE) Rule 270: Connectivity Rule Version 2.2.0 to exchange ASC X12N 275 transactions with HIHs via the Internet. CONNECT support for CAQH profiles has been implemented as part of CONNECT v4.4. The *CAQH CORE X12 Document Submission Service Interface Specification* defines specific constraints on the use of the CAQH CORE Connectivity Rule. More details about CAQH CORE rule interface implementation can be found on the website link: http://www.caqh.org/core.

1.3 Assumption

This document was created with the assumption that the reader is familiar with and has available the *ASC X12N 275/006020X316 Additional Information to Support a Health Care Services Review Technical Report Type 3 (TR3)*. The information presented in this companion guide is written from the perspective of esMD. See the ASC X12N 275/006020X316 TR3 for information that is not esMD specific.

2. Interchange Control Structure Specification–X12N 275

This X12N 275 interchange control and transaction set contains the format and establishes the data contents of the Additional Information to Support a Health Services Review (X12N 275) for use within the context of an EDI environment that implements the requirements defined in the X12N 275 TR3 with the esMD-specific limitations and requirements identified in this guide. The X12N 275 transaction provides medical documentation in support of the associated X12N 278 Request for approval of future medical services. The transaction set is used to transmit health care service information, such as requester, subscriber, and diagnosis for the purposes of requests for review and reporting the outcome of health care services reviews. The information is transmitted to the organization that will perform the review of the submitted information.

Table 1: Interchange Control Header through Table 6: Interchange Control Trailer define the use of this control structure as it relates to communication with esMD for the X12N 275 transaction.

Table 1: Interchange Control Header

Segment Name	Interchange Control Header		
Segment ID	ISA		
Loop ID	Not assigned		
Usage	Mandatory		
Max Use	1		
Segment Notes	The ISA Segment is the interchange header for the X12 document, and is the outermost layer of the EDI envelope; it contains sender and recipient information for a set of X12 documents. 1. All positions within each data element in the ISA segment must be filled. 2. Delimiters are specified in the interchange header segment. 3. The character immediately following the segment Identifier (ID), *ISA*, defines the data elements separator. 4. The last element in the segment defines the component element separator, and the ISA segment terminator (following the component element separator) defines the character that will be used as the segment terminator for the entire transaction set. 5. While it is not required that submitters use these specific delimiters, these are the ones that esMD uses for all outbound response transactions. esMD Implementation Note: ISA14 must be set to zero.		
	Character	**Name**	**Delimiter**
	*	Asterisk	Data Element Separator
	+	Plus	Repetition Separator
	:	Colon	Component Element Separator
	~	Tilde	Segment Terminator
Example	ISA*00* *00* *ZZ*DBRHIH *ZZ*DBRRC *190206*1550*+*00602*000165733*0*P*:~		

Table 2: ISA Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
ISA01	M	Authorization Information Qualifier	00	The Authorization and Security Information Qualifiers must be 00.

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
ISA02	M	Authorization Information	10 blank spaces	Always blank. Insert 10 blank spaces.
ISA03	M	Security Information Qualifier	00	The Authorization and Security Information Qualifiers must be 00.
ISA04	M	Security Information	10 blank spaces	Always blank. Insert 10 blank spaces.
ISA05	M	Interchange ID Qualifier (Sender)	ZZ	The Interchange ID Qualifier must be ZZ.
ISA06	M	Interchange Sender ID	Per esMD requirement	The HIH must use its esMD-registered EDI ID in ISA06; left justified with trailing spaces to fill the 15 characters.
ISA07	M	Interchange ID Qualifier (Receiver)	ZZ	The Interchange ID Qualifier must be ZZ.
ISA08	M	Interchange Receiver ID	Per esMD requirement	The HIH must use the esMD Review Contractor's (RC) esMD-registered EDI ID in ISA08; left justified with trailing spaces to fill the 15 characters
ISA14	M	Acknowledgment Requested	0	Enter 0 in ISA14 to prevent receipt of unnecessary TA1 success messages for every submission accepted by esMD.

Table 3: Functional Group Header

Segment Name	Functional Group Header
Segment ID	GS
Loop ID	Not assigned
Usage	Mandatory
Max Use	1
Segment Notes	This segment is the functional group header segment for a set of X12 documents (transaction sets) of the same document type. The data elements in this segment provide information relating to the functional group, such as, the codes identifying the sender and recipient, and the date and time of preparation.
Example	GS*HI*9012345720000*9088877320000*20170726*1700*1523*X*006020X316~

Table 4: GS Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
GS02	M	Application Sender's Code	Per esMD requirement	Enter the value from ISA06 into GS02; any trailing spaces in the ISA06 element are not required in the GS02 element.
GS03	M	Application Receiver's Code	Per esMD requirement	Enter the value from ISA08 into GS03; any trailing spaces in the ISA08 element are not required in the GS03 element.
GS08	M	Version/Release/Industry Identifier Code	006020X316	The Version/Release/Industry Identifier Code must be 006020X316.

Table 5: Functional Group Trailer

Segment Name	Functional Group Trailer
Segment ID	GE
Loop ID	Not assigned
Usage	Mandatory
Max Use	1
Segment Notes	This segment is the functional group trailer segment of a set of X12 documents (transaction sets) of the same document type. This segment indicates the end of a group of transaction sets in an interchange.
Example	GE*1*1523~

Table 6: Interchange Control Trailer

Segment Name	Interchange Control Trailer
Segment ID	IEA
Loop ID	Not assigned
Usage	Mandatory
Segment Notes	This is the Interchange Trailer segment of an X12 functional group. This segment indicates the end of an interchange. The elements in the IEA segment provide information about the number of functional groups included in the interchange, and the interchange control reference number.
Example	IEA*1*000001523~

2.1 Sample Interchange Control

Figure 1: Sample EDI X12N 275 Envelope Transaction provides a sample X12N 275 EDI transaction meant to demonstrate the sample or mock high-level hierarchical structure of an acceptable X12N 275 EDI transaction. Each loop, segment, and element would flow continuously within a single stream of data.

Figure 1: Sample EDI X12N 275 Envelope Transaction

```
ISA*00*          *00*          *ZZ*9012345720000  *ZZ*9088877320000
*170726*0817*+*00602*000001525*0*P*:~
GS*HI*9012345720000*9088877320000*20170726*0900*1523*X*006020X316~
ST*275*1523*006020X316~
. . .
. . .
. . .
SE*17*1523~
GE*1*1523~
IEA*1*000001525~
```

3. Health Care Services–Prior Authorization (PA) Additional Information to Support a Health Care Services Review

3.1 esMD Program-level Notes for X12N 006020X316 (X12N 275)

The following notes apply to X12N 006020X316 (X12N 275):

1. esMD accepts supporting documentation, sent via X12N 275 transactions, for PA and Home Health Pre-Claim Review (HHPCR) Requests;

2. HIHs using a CONNECT Gateway must upgrade to CONNECT v4.4 (or higher); earlier versions of CONNECT are not compatible with CONNECT v4.4. HIHs may use any CONNECT-compatible software as long as esMD requirements are met. For example, the software must send receipt acknowledgments as required by esMD and described in the *esMD Health Information Handler* (*HIH) Implementation Guide*. For those HIHs submitting X12 transactions, a CONNECT-compatible X12 Gateway must be used;

3. X12N 275 transactions must be submitted within a CAQH CORE envelope using a non-synchronous, batch-mode connection;

4. The values submitted in the X12N 275 transaction must match the values in the associated elements submitted in the X12N 278 request:

   a. The National Provider Identifier (NPI), 1000A.NM109, in the X12N 275 must match the X12N 278 2010B.NM109;

   b. The Workload ID, 1000B.NM109, in the X12N 275 must match the X12N 278 2010A.NM109;

   c. The Patient's Health Insurance Claim Number (HICN), 1000C.NM109, in the X12N 275 must match the X12N 278 2010C.NM109;

   d. The Patient Event Tracking Number, 1000C.REF02, in the X12N 275 must match the X12N 278 2000E.TRN02 (esMD assigned 15-alphanumeric-character Transaction ID); and

   e. The Attachment Control Number (ACN), 2000A.TRN02, in the X12N 275 must match the X12N 278 2000E.PWK06 or X12N 278 2000F.PWK06.

5. esMD accepts only one Transaction Set Header (ST)/Transaction Set Trailer (SE) set per X12N 275; and

6. Upon initial receipt of X12N 275, esMD applies edits and responds with a TA1 error message, 999 error message, or 999 success message;

   Note: Initial edit validations performed by esMD are syntactical and conformance related.

7. The Entity Identification Code specified in Table 13: 1000A-NM1 Segment Information and Table 16: 1000B-NM1 Segment Information) identifies the entity as either the Information Source (the Requester) or the Information Receiver (the Utilization Management Organization (UMO) reviewing the documentation; and

8. The Entity Identification Code specified in Table 13: 1000A-NM1 Segment Information and Table 16: 1000B-NM1 Segment Information further defines the type of entity

identified in NM101. The values in 1000B.NM111 and 1000A.NM111 should be the same values submitted in the X12N 278 2010A and 2010B NM101 elements.

Use the ASC X12N 006020X316 Standard for Electronic Data Interchange TR3 requirements unless otherwise noted in the following usage segments and/or data element sections.

Note: All segments submitted that are not identified in this document must conform to the ASC X12N 006020X316 TR3 specification to enable a successful submission.

3.2   Segment Usage–X12N 275 Transaction

This section lists the usage of levels, loops, and segments that are required to support esMD X12N 275 transactions.

Table 7: X12N 275 Segments identifies the importance of the loop, segment, and element information required to support the esMD program requirements that are compliant with the *ASC X12N 275 TR3 Implementation Guide*. The table includes a usage column identifying the submission requirements for loops and segments as follows:

- Mandatory (M): Mandatory loops and segments must appear on all transactions. Failure to include a mandatory loop or segment results in a compliance error. In some cases information for mandatory loops and segments is required by review contractors for adjudicating the transaction;

- Conditional (C): The submission of conditional segments is based on the presence or absence of a data element value within the same or a different segment;

- Not Used (N/U): Any segment identified as N/U by esMD must not be submitted. Submission of such segments (or data elements) results in a compliance error; and

- Optional (O): Any segment identified as O by esMD is not required, and applies for any optional loops, segments, or elements.

Table 7: X12N 275 Segments

Segment ID	Loop ID	Segment Name	esMD Usage
ST	Not assigned	Transaction Set Header	M
BGN	Not assigned	Beginning Segment	M
NM1	1000A	Information Source Name	M
NM1	1000B	Information Receiver Name	M
NM1	1000C	Patient Name	M
REF	1000C	Patient Event Trace Number	M
LX	2000A	Assigned Number	M
TRN	2000A	Attachment Control Number	M
HI	2000A	Health Care Information Codes	O
SVC	2000A	Service Information	O
DTP	2100A	Additional Information Submitted Date	M

Segment ID	Loop ID	Segment Name	esMD Usage
CAT	2100A	Format and Version Identifier	M
OOI	2110A	Associated Object Type Identification	M
BDS	2110A	Binary Data Segment	M
SE	Not Assigned	Transaction Set Trailer	M

3.3   Segment and Data Element Description

Table 8: Segment and Data Element Description through Table 32: SE–275 Transaction Set Trailer represent segments as Mandatory (M), Conditional (C), Not Used (N/U), or Optional (O) for the esMD implementation of the X12N 275 transaction. Each segment table contains rows and columns describing the different elements of the particular segment.

Table 8: Segment and Data Element Description

Segment/Data Element	Description
Segment Name	The TR3-assigned segment name.
Segment ID	The TR3-assigned segment ID.
Loop ID	The loop in which the segment appears.
Usage	The Usage value identifies the segment as required or conditional.
Max Use	Maximum iterations of allowed segment in the transaction.
Segment Notes	A brief description of the purpose or use of the segment including esMD-specific usage.
Example	An example of complete segment.
Reference Designator	This identifies the segment ID and element number.
Usage	This identifies the data element as M, C, O, or N/U.
Element Name	The TR3 assigned alias, implementation name, or name associated with the data element.
Valid Values	This column lists the values and/or code sets accepted by esMD. If any column contains the value "Refer to TR3," it indicates that there are no fixed acceptable values for that element. HIHs can submit values per theTR3 guidelines. If any column contains the value "Per esMD requirement," it indicates an esMD-specific requirement for the X12N 275 transaction.
esMD Requirement or Element Description	Description of the contents of the data elements and/or esMD-specific requirement notes.

Table 9: Transaction Set Header

Segment Name	Transaction Set Header
Segment ID	ST
Loop ID	Not assigned
Usage	Mandatory
Max Use	1

Segment Name	Transaction Set Header
Segment Notes	This is the Transaction Set Header segment of an X12 document. The ST segment indicates the start of a transaction set in an interchange. esMD Implementation Note: 　　　Each submission must contain only one transaction set.
Example	ST*275*1523*006020X316~

Table 10: Beginning Segment

Segment Name	Beginning Segment
Segment ID	BGN
Loop ID	Not assigned
Usage	Mandatory
Max Use	1
Segment Notes	This segment marks the beginning of the transaction and has identifying information. esMD Implementation Notes: 1.　　The Transaction Set Purpose Code must be 02. 2.　　The Payload ID must be unique.
Example	BGN*02*4000000000001*20170726*141608~

Table 11: BGN Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
BGN01	M	Transaction Set Purpose Code	Per esMD requirement	BGN01 must = 02
BGN02	M	Transaction Set Reference Number	Per esMD requirement	BGN02 (Payload ID) must be unique
BGN03	M	Transaction Set Creation Date	Refer to TR3	BGN03 is the transaction set date
BGN04	M	Transaction Set Creation Time	Per esMD requirement	BGN04 time format must be HHMMSS

Table 12: Information Source Name

Segment Name	Individual or Organizational Name
Segment ID	NM1
Loop ID	1000A
Usage	Mandatory
Max Use	1

Segment Name	Individual or Organizational Name

Segment Notes	This segment provides the name of the Requesting Entity.
	
	esMD Implementation Notes:
	1. The Identification Code Qualifier must be XX.
	2. The Entity Identifier Code shall be:
	    a. 1P–Provider
	    b. FA–Facility
	3. NM109 must match the X12N 278 2010B.NM109.

Example	NM1*ACV*1*ProviderLastName*ProviderFirstName*ProviderMiddleName**Suffix*XX*1234567895*67*1P~

Table 13: 1000A-NM1 Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
NM101	M	Entity Identifier Code	ACV	1000A.NM101 must = ACV (Information Source)
NM102	M	Entity Type Qualifier	1, 2	1000A.NM102 must = 1 (Person) or 2 (Non-Person Entity)
NM103	M	Information Source Last Name or Organization Name	Refer to TR3	Provider's Last Name or Organizational Name
NM104	C	Information Source First Name	Refer to TR3	Provider's First Name
NM105	C	Information Source Middle Name	Refer to TR3	Provider's Middle Name or initial
NM107	C	Information Source Name Suffix	Refer to TR3	Provider's Suffix to individual name
NM108	M	Identification Code Qualifier	Per esMD requirement	1000A.NM108 must = XX (Centers for Medicare and Medicaid Services National Provider Identifier)
NM109	M	Information Source Identifier	Per esMD requirement	NPI. Must match the X12N 278 2010B.NM109
NM110	M	Entity Relationship Code	67	1000A.NM110 must = 67 (Self)
NM111	M	Entity Identifier Code	Per esMD requirement	1000A.NM111 must = 1P (Provider) or FA (Facility)

Table 14 Information Source Contact Information Segment

Segment Name	Information Source Contact Information
Segment ID	PER
Loop ID	1000A
Usage	Optional
Max Use	1
Segment Notes	This segment identifies a person or office to whom administrative communications could be sent. esMD Implementation Notes: Required when BGN01=02 or BGN01=22 and the name of the individual to contact is different than the name within the prior name segment (i.e., NM1)
Example	PER*IC*ESMD TESTING*FX*8034362416*TE*8034362416*EX*6788~

Table 15: 1000B–Information Receiver Name

Segment Name	Individual or Organizational Name
Segment ID	NM1
Loop ID	1000B
Usage	Mandatory
Max Use	1
Segment Notes	This segment provides identifying information about the Review Organization (Information Receiver). esMD Implementation Notes: 1. The Entity Type Qualifier must be 2. 2. The Identification Code Qualifier must be PI. 3. The Entity Identifier Code must be X3. 4. The Identification Code must have the Workload ID. 5. NM109 must match the X12N 278 2010A.NM109.
Example	NM1*40*2*Review Contractor Name*****PI*212447034*67*X3~

Table 16: 1000B-NM1 Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
NM101	M	Entity Identifier Code	40	1000B.NM101 must = 40
NM102	M	Entity Type Qualifier	Per esMD requirement	1000B.NM102 must = 2
NM103	M	Information Receiver Last Name or Organization Name	Refer to TR3	Review Contractor Organization Name
NM108	M	Identification Code Qualifier	Per esMD requirement	1000B.NM108 must = PI
NM109	M	Information Receiver Identifier	Per esMD requirement	1000B.NM109 must = (Workload ID). Must match the X12N 278 2010A.NM109
NM110	M	Entity Relationship Code	67	1000B.NM110 must = 67 (Self)
NM111	M	Entity Identifier Code	Per esMD requirement	1000B.NM111 must = X3

Table 17: 1000C–Patient Name

Segment Name	Individual or Organization Name
Segment ID	NM1
Loop ID	1000C
Usage	Mandatory
Max Use	1
Segment Notes	This segment provides identifying information about the Patient (Subscriber/Beneficiary). esMD Implementation Notes: 1. The Entity Identifier must be IL. 2. The Identification Code Qualifier must be MI. 3. NM109 must match the X12N 278 2010C.NM109.

Segment Name	Individual or Organization Name
Example	NM1*IL*1*Doe*Jane*A****MI*123456789A~

Table 18: 1000C–NM1 Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
NM101	M	Entity Identifier Code	Per esMD requirement	1000C.NM101 must = IL
NM102	M	Entity Type Qualifier	Refer to TR3	1000C.NM102 must = 1
NM103	M	Patient Last Name	Refer to TR3	Patient's Last Name
NM104	C	Patient First Name	Refer to TR3	Patient's First Name
NM105	C	Patient Middle Name or Initial	Refer to TR3	Patient's Middle name/Initial
NM107	C	Patient Name Suffix	Refer to TR3	Patient's Suffix to Individual Name
NM108	M	Identification Code Qualifier	Per esMD requirement	1000C.NM108 must = MI
NM109	M	Patients Primary Identifier	Per esMD requirement	Patient's HICN Must match the X12N 278 2010C.NM109.

Table 19: 1000C–Patient Event Trace Number

Segment Name	Reference Information
Segment ID	REF
Loop ID	1000C
Usage	Mandatory
Max Use	1
Segment Notes	This segment provides the esMD-assigned 278 Transaction ID in the Patient Event Tracking Number element. esMD Implementation Note: The esMD-assigned 15-alphanumeric-character Transaction ID from the 278 must be populated in REF02.
Example	REF*2I*YTC000000005416~

Table 20: REF Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
REF01	M	Reference Identification Modifier	2I	1000C.REF01 must = 2I
REF02	M	Patient Event Tracking Number	Per esMD requirement	esMD-assigned 15-alphanumeric-character Transaction ID 278 transaction

Table 21: 2000A–Assigned Number

Segment Name	Transaction Set Line Number
Segment ID	LX
Loop ID	2000A
Usage	Mandatory
Max Use	1
Segment Notes	This segment begins the detailed additional information that is being sent to the receiver. The segment may occur multiple times depending on the size of the supporting documentation being submitted. It is required that the LX01 sequence number start at 1 and increment by 1.
Example	LX*1~

Table 22: 2000A–Attachment Control Trace Number

Segment Name	Trace
Segment ID	TRN
Loop ID	2000A
Usage	Mandatory
Max Use	1
Segment Notes	There is a single ACN per X12N 278 Request, which will be submitted in the TRN segment for each LX loop required to submit the full set of documentation. esMD Implementation Note: The value in the 2000A TRN02 element must be the same value that was submitted in the X12N 278 Request in the 2000E or 2000F PWK06 element.
Example	TRN*1*1234567~

Table 23: TRN Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
TRN01	M	Trace Type Code	Per esMD requirement	2000A.TRN01 must = 1
TRN02	M	Attachment Control Number	Per esMD requirement	Must match the X12N 278 2000E.PWK06 or X12N 278 2000F.PWK06

Table 24: 2000A–Health Care Information Codes

Segment Name	Health Care Information Codes
Segment ID	HI
Loop ID	2000A
Usage	Optional
Max Use	1

Segment Name	Health Care Information Codes
Segment Notes	This segment provides the Diagnosis Code(s) when the document submitted within the same LX segment is intended to provide support for the specific codes submitted. esMD does not use any information submitted in the HI segment of the X12N 275 transaction.
Example	HI*ABK:778609*ABF:8513*ABF:8488*ABF:8471*ABF:8472~

Table 25: 2000A-Service Information

Segment Name	Health Care Information Codes
Segment ID	SVC
Loop ID	2000A
Usage	Optional
Max Use	1
Segment Notes	This segment provides the procedure code(s) and related cost(s) when the document(s) submitted within the same LX segment is intended to provide support for the submitted procedure code(s). esMD does not use any information submitted in the SVC segment of the X12N 275 transaction.
Example	SVC*HC:99212:25*100~

Table 26: 2100A–Additional Information Submitted Date

Segment Name	Date or Time or Period
Segment ID	DTP
Loop ID	2100A
Usage	Mandatory
Max Use	1
Segment Notes	This segment provides the date the supporting documentation is being submitted.
Example	DTP*368*D8*20170726~

Table 27: CAT–Format and Version Identifier

Segment Name	Category of Patient Information Service
Segment ID	CAT
Loop ID	2100A
Usage	Mandatory
Max Use	1
Segment Notes	This segment provides the format of the additional documentation being submitted. For example, HL denotes the Health Industry Level 7 Interface Standards (HL7). esMD Implementation Note: CAT02 must be HL or MB.
Example	CAT*AE*HL~

Table 28: 2100A-CAT Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
CAT01	M	Attachment Report Type Code	Refer to TR3	2100A.CAT01 must = AE
CAT02	M	Attachment Information Format Code	Per esMD Requirement	2100A.CAT02 must = HL (HL7 Interface Standards) or MB (Binary Image)

Table 29: OOI–Associated Object Type Identification

Segment Name	Associated Object Type Identification
Segment ID	OOI
Loop ID	2110A
Usage	Mandatory
Max Use	1
Segment Notes	This segment identifies attributes and status related to the document.
Example	OOI*1*47*ATTACHMENT~

Table 30: 2110A–Binary Data Segment

Segment Name	Binary Data Structure
Segment ID	BDS
Loop ID	2110A
Usage	Mandatory
Max Use	1
Segment Notes	This segment is used to send a clinical attachment in a B64 format. esMD Implementation Note: Multiple BDS segments must not exceed a total of 200 Megabytes.
Example	BDS*B64*64*.....~

Table 31: 2110A–BDS Segment Information

Reference Designator	Usage	Element Name	Valid Values	esMD Requirement or Element Description
BDS01	M	Filter ID Code	Per esMD Requirement	2110A.BDS01 must = B64
BDS02	M	Length of Binary Data	Refer to TR3	The count is equal to the byte count of the contents in the BDS03.
BDS03	M	Binary Data	Refer to TR3	A string of octets that can assume any binary pattern from hexadecimal 00 to FF. **Note:** The segment terminator used for the transaction must not be a character that occurs within the document being sent.

Table 32: SE–275 Transaction Set Trailer

Segment Name	Transaction Set Trailer
Segment ID	SE
Loop ID	Not Assigned
Usage	Mandatory
Max Use	1
Segment Notes	The SE segment is the transaction set trailer segment of an X12 transaction set. The SE segment indicates the end of a transaction set. The SE segment data elements provide information about the number of segments in a transaction set and the control number for that particular transaction set.
Example	SE*17*1523~

4. Example of an X12N 275 Transaction

Figure 2: X12N 275 Request through Figure 4: 999 Transaction Rejected provide X12 example files for illustration purposes. Due to size, the example of an X12N 275 sample test file to support a health care services review is available in the following link: https://share.cms.gov/office/OFM/FMGS/DPSS/esMD/Example_EDI-HCSvcRev.txt

No real data is included in either of the figures or the example file. Each loop, segment, and element would flow continuously within a single stream of data.

Note: When a 275 transaction is sent with a 6020 Version, the system will send a 999 Response with a 5010 version in the 999 Acknowledgement transaction.

Figure 2: X12N 275 Request

```
ISA*00*      *00*      *ZZ*TESTHIH     *ZZ*DBRRC      *180418*1156*+*00602*000104142*0*P*:~
GS*PI*TESTHIH*DBRRC*20180418*115603*104142*X*006020X316~
ST*275*104142*006020X316~
BGN*02*1710101110473*20170320*111001~
NM1*ACV*1*HIHPROVIDER*****XX*1111111112*67*1P~
PER*IC*ESMD TESTING*FX*8034362416*TE*8034362416*EX*6788~
NM1*40*2*COBIUS*****PI*50505*67*X3~
NM1*IL*1*PARKER*CARROL*S***MI*215123556A~
REF*EJ*1234567~
REF*2I*RGK000000009500~
LX*1~
TRN*1*LANCEATYACHCTLNJSWL1ND0528~
HI*ABK:R0600*ABJ:S06337A*ABJ:S29019A*ABJ:S238XXA*ABJ:S96919A~
DTP*368*D8*20170320~
CAT*AE*MB~
OOI*1*47*ATTACHMENT~
BDS*B64*28*cmVhbF9wYXlsb2FkXzFtYi50eHQ=~
SE*16*104142~
GE*1*104142~
IEA*1*000104142~
```

Figure 3: 999 Transaction Accepted

```
ISA*00*      *00*      *ZZ*DBRRC      *ZZ*TESTHIH      *190319*0943*^*00501*000000001*0*P*:~
GS*FA*DBRRC*TESTHIH*20190319*094348*1*X*005010~
ST*999*0001*005010~
AK1*PI*187611*006020X316~
AK2*275*187611*006020X316~
IK5*A~
AK9*A*1*1*1~
SE*6*0001~
GE*1*1~
IEA*1*000000001~
```

Figure 4: 999 Transaction Rejected

```
ISA*00*       *00*       *ZZ*DBRRC       *ZZ*TESTHIH       *190319*0940*^*00501*000000001*0*P*:~
GS*FA*DBRRC*TESTHIH*20190319*094048*1*X*005010~
ST*999*0001*005010~
AK1*PI*187610*006020X316~
AK2*275*187610*006020X316~
IK3*NM1*6*1000*8~
IK4*9*67*I12*816847501B~
IK5*R*5~
AK9*R*1*1*0~
SE*8*0001~
GE*1*1~
IEA*1*000000001~
```

5. Contacts

Table 33: Support Points of Contact provides the contact list for esMD.

Table 33: Support Points of Contact

Contact	Phone	Email	Hours of Operation
CMS esMD Service Desk	(443) 832-1856	esMD_Support@cms.hhs.gov	Regular Business Hours: 8 a.m. to 8 p.m. Eastern Time (ET).

Appendix A: Acronyms

Table 34: Acronyms

Acronym	Literal Translation
ACN	Attachment Control Number
ASC	Accredited Standards Committee
CAQH	Council for Affordable Quality Healthcare
CMS	Centers for Medicare & Medicaid Services
CORE	Committee on Operating Rules for Information Exchange
EDI	Electronic Data Interchange
esMD	Electronic Submission of Medical Documentation
HICN	Health Insurance Claim Number
HIH	Health Information Handler
HL7	Health Industry Level 7 Interface Standards
ID	Identifier
NPI	National Provider Identifier
OID	Organizational Identifier
PA	Prior Authorization
SE	Transaction Set Trailer
ST	Transaction Set Header
TR3	ASC X12 Standard for Electronic Data Interchange Technical Report Type 3
URL	Universal Resource Locater

Appendix B: Glossary

Table 35: Glossary

Glossary	Description
CONNECT	CONNECT implements a flexible, open-source gateway solution that enables healthcare entities—Federal agencies or private-sector health organizations or networks—to connect their existing health information systems to the eHealth Exchange. CONNECT is fully functional out-of-the-box, while at the same time configurable and flexible to allow organizations to customize it to meet their needs and those of their existing health information systems.
Electronic Submission of Medical Documentation	A mechanism for submitting medical documentation via a secure internet gateway connecting Providers to the Centers for Medicare & Medicaid Services.
TR3	ASC X12 Standard for Electronic Data Interchange Technical Report Type 3. The ASC X12 TR3s detail the full requirements for EDI transactions can be found or purchased from the publisher, Washington Publishing Company (WPC) at their website: http://store.x12.org/store/

Appendix C: Referenced Documents

Table 36: Referenced Documents

Document Name	Document Location and/or URL	Issuance Date
ASC X12N 275/006020X316 Standards for Electronic Data Interchange Technical Report Type 3 (TR3)	http://store.x12.org/store/	September 2014
CAQH CORE X12 Document Submission Service Interface Specification	http://www.caqh.org/sites/default/files/core/phase-ii/policy-rules/270-v5010.pdf	03/18/2011
esMD Health Information Handler (HIH) Implementation Guide	TBD	TBD

Appendix D: Error Codes and Error Messages

Table 37: Functional Group Response Trailer through Table 43: X12N 275 and X12N 278 Cross-Matching Validations Error Codes and Error Descriptions provide the possible error codes and error descriptions received on the Inbound X12N 275, and on the X12N 278 and X12N 275 cross-matching validations.

Note 1:

a. **TA1 Interchange Acknowledgement Transaction:** All X12 file submissions are pre-screened upon receipt to determine if the interchange control header (ISA) or interchange control trailer (IEA) segments are readable. If errors are found, a TA1 response transaction is sent to notify the trading partner that the file could not be processed. After the file is read, validation is performed on the ISA and IEA loop information. If these segments have a non-standard structure, the file receives a full file reject and the TA1 response transaction is sent to the trading partner.

b. **999 Functional Acknowledgement Transaction:** After performing the preceding ISA/IEA screening, the system starts verifying for the compliance errors. When the compliance check is complete, a 999 is sent to the trading partner to inform them whether the transaction failed the compliance check.

Note 2: If unable to determine the source of the failure based on the error information in the 999 transaction, the HIH is able to contact the esMD Support Desk for assistance. The support techs can provide the audit exception message description from the database.

Note 3: The HIH should check the *esMD Health Information Handler (HIH) Implementation Guide* to understand any Administrative Errors that might be generated in response to an X12N 275 transaction when the Instream processing fails. Failures in the Instream processing do not provide information that allow the TA1 and 999 responses to be sent.

Note 4: The EDI Validations Success/Failure message is unique and combines the error messages for all of the errors. As such, an example of the precise error message cannot be provided.

Note 5: The system will reject and generate an error if it has already received the additional documentation received as both an XDR and an X12 N 275 for the same X12N 278 Transaction. The error message is as follows:

Error - Additional Documentation received in both X12N 275 and XDR transactions for the same X12N 278 transaction ID

Note 6: The HIH should check the "esMD Health Information Handler (HIH) Implementation Guide" to understand any Administrative Errors that might be generated in response to an X12N 275 transaction when the Instream processing fails. Failures in the Instream processing don't provide information that would allow TA1 and 999 responses to be sent.

Table 37: Functional Group Response Trailer

Segment Name	Implementation Data Element Note
Segment ID	AK9
Loop	N/A
Usage	Required
Segment Notes	This segment acknowledges the acceptance or rejection of a functional group and reports the number of transaction sets originally included, received, and accepted.
Example	AK9*R*1*1*0~

Table 38: Implementation Data Element Note

Segment Name	Implementation Data Element Note
Segment ID	Implementation Data Element Note
Loop	AK2/IK3/IK4
Usage	Situational
Segment Notes	This segment reports data element and composite errors in the submitted transaction.
Example	IK4*9**67*1~

Table 39: Transaction Set Response Trailer

Segment Name	Transaction Set Response Trailer
Segment ID	IK5
Loop	2000 - AK2
Usage	Required
Segment Notes	This segment acknowledges the acceptance or rejection of a transaction and reports errors.
Example	IK5*R*

Table 40: **Element ID (IK304/IK403/IK502/AK905)**

Element ID	Usage	Guide Description/Valid Values	Comments
IK304	R	Segment Syntax Error Code: 1: Unrecognized segment ID 2: Unexpected segment 3: Required segment missing 4: Loop occurs over maximum times 5: Segment exceeds maximum use 6: Segment not in defined transaction set 7: Segment not in proper sequence 8: Segment has data element errors I4: Implementation "Not Used" segment present I6: Implementation dependent segment missing I7: Implementation loop occurs under minimum times I8: Implementation segment below minimum use I9: Implementation dependent "Not Used" segment present	Describes the type of error encountered.
IK403	R	Implementation Data Element Syntax Error Code: 1: Required data element missing 2: Conditional required data element missing 3: Too many data elements 4: Data element too short 5: Data element too long 6: Invalid character in data element 7: Invalid code value 8: Invalid date 9: Invalid time 10: Exclusion condition violated 12: Too many repetitions 13: Too many components I6: Code value not used in Implementation I9: Implementation dependent data element missing I10: Implementation "Not Used" data element present I11: Implementation too few repetitions I12: Implementation pattern match failure I13: Implementation dependent "Not Used" data element present	Describes the type of error encountered

Element ID	Usage	Guide Description/Valid Values	Comments
IK502	S	Transaction Set Syntax Error Code: 1: Transaction set not supported 2: Transaction set trailer missing 3: Transaction set control number in header and trailer do not match 4: Number of included segments does not match actual count 5: One or more segments in error 6: Missing or invalid transaction set identifier 7: Missing or invalid transaction set control number 18: Transaction set not in functional group 19: Invalid transaction set implementation convention reference I6: Implementation convention not supported	Code indicating implementation error found based on the syntax
AK905	S	Functional Group Syntax Error Code: 1: Functional group not supported 2: Functional group version not supported 3: Functional group trailer missing 4: Group control number in the functional group header and trailer do not agree 5: Number of included transaction sets does not match actual count 6: Group control number violates syntax 19: Functional group control number not unique with interchange	Code indicating error found based on the syntax editing of the functional group

Table 41: Inbound X12N 275 TA1 Error Codes and Error Descriptions

Note: Refer to Table 40: Element ID (IK304/IK403/IK502/AK905) for additional descriptions of the error codes.

ID	Scenario	Error Code	TA1 Error Description
1	The Authorization Information Qualifier (ISA01) must be set to "00".	010	Invalid Authorization Information Qualifier value
2	The Author Information (ISA02) must be blank.	011	Invalid Authorization Information value
3	The Security Information Qualifier (ISA03) must be set to "00"	012	Invalid Security Information Qualifier value
4	The Security Information (ISA04) must be blank.	013	Invalid Security Information value
5	The Interchange ID Qualifier - Sender (ISA05) must be set to "ZZ"	007	Invalid Interchange ID Qualifier for Receiver
6	The Interchange ID Qualifier – Receiver (ISA07) must be set to "ZZ".	019	Invalid Acknowledgment Requested Value
7	The Acknowledgment Requested (ISA14) must be set to "0"	005	Invalid Interchange ID Qualifier for Sender

Table 42: Inbound X12N 275 999 Error Codes and Error Descriptions

ID	Scenario	IK304 Error Codes	IK403 Error Codes	AK905 Error Codes
1	The Transaction Set Purpose Code (BGN01) must be set to "02"	8	7	N/A
2	The Identification Code Qualifier (1000A.NM108) must be set to "XX"	8	7	N/A
3	The Entity Type Qualifier (1000B.NM102) must be set to "2"	8	7	N/A
4	The Identification Code Qualifier (1000B.NM108) must be set to "PI"	8	7	N/A
5	The Entity Identifier Code (1000B.NM111) must be set to "X3"	8	7	N/A
6	The Entity Identifier Code (1000C.NM101) must be set to "IL"	8	7	N/A
7	The Identification Code Qualifier (1000C.NM108) must be set to "MI"	8	7	N/A
8	The Trace Type Code (2000A.TRN01) must be set to "1"	8	7	N/A
9	The Attachment Information Format Code (2100A.CAT02) must be either "HL" or "MB"	8	7	N/A
10	The Filter ID Code (BDS01) must be set to "B64".	8	7	N/A
11	The Application Sender's Code must match the Interchange Sender ID (GS02 = ISA06).	N/A	N/A	N/A
12	The Application Receiver's Code must match the Interchange Receiver ID (GS03 = ISA08).	N/A	N/A	N/A
13	The Entity Identifier Code (1000A.NM111) must be either "1P" or "FA"	8	7	N/A
14	The Entity Type Qualifier (1000A.NM102) must be set to "1" if the Entity Identifier Code (1000A.NM111) is "1P"	8	7	N/A
15	The Entity Type Qualifier (1000A.NM102) must be set to "2" if the Entity Identifier Code (1000A.NM111) is "FA"	8	7	N/A
16	The Reference Identification Modifier (1000C.REF01) must be set to "2I"	8	7	N/A
17	The Version/Release/Industry Identifier Code (GS08) must be set to "006020X316"	N/A	N/A	2
18	The Payload ID must be unique (BGN02)	8	I12	N/A
19	The Length of the Binary Data (BDS02) must be greater than zero	8	4	N/A
20	The ACN (2000A.TRN02) must have the same value across all LX loops.	8	I12	N/A
21	The Transaction Set Creation Time provided in (BGN04) must have the format set to "HHMMSS"	8	9	N/A

Table 43: X12N 275 and X12N 278 Cross-Matching Validations Error Codes and Error Descriptions

ID	Scenario	IK304 Error Code	IK403 Error Code	AK905 Error Code
1	The NPI provided in 1000A.NM109 NPI must match the value sent in 2000B.NM109 of the initial X12N 278 request	8	I12	N/A
2	The Workload ID provided in (1000B.NM109) must match the value sent in 2000A.NM109 of the initial X12N 278 request	8	I12	N/A

ID	Scenario	IK304 Error Code	IK403 Error Code	AK905 Error Code
3	The HICN provided in (1000C.NM109) must match the value sent in 2000C.NM109 of the initial X12N 278 request.	8	I12	N/A
4	The Attachment Control Number provided in (2000A.TRN02) must match the value sent in PWK06 of the initial X12N 278 request.	8	I12	N/A
5	The Patient Event Tracking Number (1000C.REF02), in the 1000C REF segment where REF01 = 2I, must match the 15 Alpha Numeric Transaction ID value received in the first 2000E.TRN02 element of the X12N 278 Response sent to the HIH.	8	I12	N/A

Appendix E: Record of Changes

Table 44: Record of Changes

Version Number	Date	Author/Owner	Description of Change

3.0	03/26/2019	Sridevi Muthili	Updated for AR2019.07.0:
			1. Updated:
			    a. Section 3.1;
			    b. Tables 1, 19, 20, 36, and 43; and
			    c. Figures 3 and 4.
			2. Added Figure 2.

2.6	08/21/2017	Elaine Wigginton	Updated tables 1, 24, 25, 27, 28, and 34.
2.5	08/09/2017	Sridevi Muthili	Addressed the comments received from CMS on V2.4. Updated: 1. Figures 1 through 3; and 2. Tables 1 and 43.
2.4	07/28/2017	Sridevi Muthili	Addressed the comments received from CMS on V2.3. Updated: 1. Sections 3.1 and 4; 2. Appendix D; 3. Figures 1 and 2; and 4. Tables 34, 42, and 43.

2.3	07/14/2017	Sridevi Muthili	Addressed the comments received from CMS in V2.2:
			1. Updated:
			    a. Appendix D; and
			    b. Tables 10 through 12, 19, 21, 22, and 24 through 27; and
			2. Added Tables 27 through 43.

2.2	06/26/2017	Sridevi Muthili	Addressed the comments received from CMS in V2.0: 1. Updated the purpose of each segment in all of the tables in the segment notes row. 2. Added SVC and PER segment tables. 3. Added sample Test file in Figure 2. 4. Addressed the rest of segment and element corrections based on the comments.
2.1	06/14/2017	Tavia Wooten, Sridevi Muthili	Updated for AR2017.10.0: 1. Section 2: Added GS08 to Table 4 GS Segment Information 2. Appendix D: Updated tables in Appendix D
2.0	06/02/2017	Tavia Wooten	Updated for AR2017.10.0: 1. Sections 3.1 2. Added Appendix D Audit Events, Exceptions, and Error Messages

Version Number	Date	Author/Owner	Description of Change

1.2	05/17/2017	Stephanie Johns	Resolved CMS comments
			1. Updated:
			   a. Sections 1.1, 2, and 3.1;
			   b. Tables 7, 25, 26, 30, and 31; and
			   c. Figures 2, 3, and 4.
			2. Deleted tables 14 and 15

1.1	05/09/2017	Stephanie Johns, Tavia Wooten	Resolved CMS comments.
			1. Updated:
			   a. Sections 1.1, 1.2, 2, 2.1, 3.2, and 3.3;
			   b. Figures 1 through 4; and
			   c. Tables 1, 7 through 10, 11, 12, 13, 16 through 21, 23 through 31, 32 (formerly 33), 33 (formerly 34), 35 (formerly 35), 37 (formerly 38, and 39 (formerly 40.
			2. Added Section 3.1; and
			3. Deleted former Table 32.

1.0	04/21/2017	Stephanie Johns	Initial Draft

Appendix F: Approvals

The undersigned acknowledge that they have reviewed the X12N 275 Companion Guide (ASC X12N/006020X316): Additional Information to Support Health Care Services Review, Version 3.0 Final, and agree with the information presented within this document. Changes to this Guide will be coordinated with, and approved by, the undersigned, or their designated representatives.

Signature: _____ Date: 04/03/2019 _____

Print Name: Braeyon Terry-Connor

Title: Contracting Officer's Representative

Role: CMS Approving Authority