



WELLCARE EDI TRANSACTION SET  
837I X12N HEALTH CARE  
CLAIM / ENCOUNTER INSTITUTIONAL  
ASC X12N (**004010X096A1**)  
Companion Guide

**Inbound**  
**837 Institutional**  
**Claims / Encounter Submission**

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## Table of Contents

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<b>REVISION HISTORY</b> .....	3
<b>CONTACT ROSTER</b> .....	3
<b>INTRODUCTION</b> .....	4
The 837I Healthcare Claim Institutional Implementation Guides (IG) .....	4
Reporting States .....	4
Reporting States Notes:.....	5
<b>GENERAL INFORMATION</b> .....	7
Valid Provider Identifiers .....	7
WellCare Front-End WEDI Snip Validation .....	<b>Error! Bookmark not defined.</b>
Coordination of Benefits (COB) .....	8
Drug Identification .....	8
Electronic Submission .....	8
Fee for Service Clearinghouse Submitters .....	8
Encounter File Upload for Direct Submitters.....	8
Submission Frequency .....	8
File Size Requirements.....	8
FTP PROCESS for Production Encounters and Test files .....	9
Secure File Transfer Protocol .....	9
<b>Encounter FILE TEST PROCESS</b> .....	10
Encounter Testing.....	10
Encounter Production .....	10
Encounter Naming Standards:.....	10
<b>DESIGNATOR DESCRIPTION</b> .....	12
<b>FURTHER CLAIM FIELD DESCRIPTION</b> .....	13
<b>MO</b> - See Reporting States Notes for Home Health Care .....	16
<b>ATTACHMENT A</b> .....	19
Glossary .....	19
<b>ATTACHMENT B</b> .....	21
File Example .....	21
<b>ATTACHMENT C</b> .....	22
997 Interpretation.....	22
Accepted 997 .....	22
Rejected 997.....	22
Partial 997 .....	22

## REVISION HISTORY

Date	Rev #	Author	Description
12/01/2005	DRAFT	G. Webb	Initial draft
04/10/2006	Final	"	Final Review)cosmetic updates
04/18/2006		"	Added NPI statement (2010AA)
03/19/2008	DRAFT	Sean Malone	
06/16/2008	DRAFT	Craig Smitman	Review and Updates
	Final	Fred Thorpe	Business Review and Approval
09/15/2008	2.1	Craig Smitman	Clearinghouse Submitters
01/05/2009	2.2	Craig Smitman	Added Hawaii information
11/24/2009	2.35	Craig Smitman	Updated Element into the 2300 - Claim Information about Claim Frequency Type Code
11/24/2009	2.35	Craig Smitman	Added new element in to the 2300 - Original Reference Number (ICN/DCN)
11/24/2009	2.35	Craig Smitman	Added Verbiage for Replace (Adjustment) or Void Claims
11/24/2009	2.35	Craig Smitman	Changed the Verbiage on how to submit the Encounters in the BHT
11/24/2009	2.35	Craig Smitman	Added GA Interest Note
11/24/2009	2.35	Craig Smitman	Added CAS02 segment for GA Interest Requirement
04/19/2010	2.35	Craig Smitman	Changed the Verbiage to now include WEDI SNIP 5 for Florida Claims

## CONTACT ROSTER

Trading Partners and Providers ; Questions, Concerns, Testing information please email the following	
<b>EDI Coordinator</b>	
<a href="mailto:EDICoordinator@wellcare.com">EDICoordinator@wellcare.com</a>	Multi group supported email distribution
<b>EDI Testing</b>	
<a href="mailto:EDITesting@wellcare.com">EDITesting@wellcare.com</a>	Multi group supported email distribution

## INTRODUCTION

WellCare Health Plans, Inc. (“WellCare”) used the standard format for Claims Data reporting from Providers and Trading Partners (TPs). WellCare X12N 837 Institutional Claim ‘Companion Guide’ is intended for use by WellCare Providers and TPs in conjunction with ANSI ASC X12N National Implementation Guide. It has been written to assist those Submitters who will be implementing the X12N 837I Healthcare Claim Institutional transaction. This WellCare Companion Guide clarifies the HIPAA-designated standard usage and must be used in conjunction with the following document:

### **The 837I Healthcare Claim Institutional Implementation Guides (IG)**

To purchase the IG contact the Washington Publishing company at [www.wpc-edi.com/hipaa/HIPAA\\_40.asp](http://www.wpc-edi.com/hipaa/HIPAA_40.asp).

This WellCare Companion Guide contains data clarifications derived from specific business rules that apply exclusively to claims processing for WellCare Health Plans. Field requirements are located in the ASC X12N 837I (004010X096A1) Implementation Guide.

Submitters are advised that updates will be made to the Companion Guides on a continual basis to include new revisions to the web sites below. Submitters are encouraged to check our website periodically for updates to the Companion Guides.

### **Reporting States**

This Guide covers further clarification to Providers and TPs reporting claims to WellCare and providing services in the following states;

<u>Medicaid Sate Companion Guide:</u>	<u>Companion Guide Release Date</u>
• Florida – FL	Version 8.4 December 22, 2006
• Georgia – GA	Version 2.22 October 26, 2009
• Ohio – OH	Version 10 June 2007
• Illinois – IL	HFS 302 (1) April 2006
• Louisiana – LA	Version 1.5 January 20, 2005
• New York – NY	Version 3.0 May 09, 2007
• Missouri – MO	Not available in document
• Texas – TX	June 1, 2003
• Hawaii – HI	Version 1.5 March 2004

## Reporting States Notes:

### Missouri Home Health Care Note:

For home health claims, enter the narrative information from the "Home Health Certification and Plan of Treatment" and the "Medical Update and Patient Information" forms clarifying the data elements reported in NTE01. Patient information to be reported, based on the Note Reference

Code, may include:

- **ALG**—may report patient's allergies that are relevant to the care being given
- **DCP**—goals, rehab potential or discharge plans must be reported
- **DGN**—may report additional information concerning diagnosis
- **DME**—may report equipment and supplies that are relevant to the care being provided
- **MED**—may report patient's medications that are relevant to the care being provided
- **NTR**—may report patient's nutritional requirements that are relevant to the care being provided
- **ODT**—must report interim order by physician for applicable time frame, by discipline; first three (3) bytes of note must begin with SN-, AI-, PT-,
- **OT-, or ST-**, indicating the discipline the interim orders address
- **RHB**—reason homebound must be reported
- **RLH**—reasons patient leaves home-not applicable to MO Medicaid
- **RLH**—times and reasons patient not at home-not applicable to MO Medicaid
- **SET**—may report unusual home or social environment, or both, that are relevant to the care being provided
- **SFM**—may report safety measures taken that are relevant to the care being provided
- **SPT**—may report supplemental information in the plan of care
- **UPI**—must report information required by Home Health program policy, such as: date and time of birth and date and time of discharge if billing Y9505 or 99501; weight, height, and age of low birth weight child; documentation of deficient weight relative to the child's height for a failure-to-thrive child; patient's status on dates of service being billed; or other information home health agency deems important for adjudication decisions.

### Missouri Nursing Home Service Line Claims Notes

For outpatient and hospice claims, refer to the Missouri Medicaid Policy manuals for specific requirements.

For nursing home claims, select revenue code from one of the following categories:

1. Select revenue code to indicate reserve time periods:
  - **0180** equals non-covered leave of absence
  - **0182** equals home leave for patient convenience
  - **0183** equals home leave for therapeutic leave
  - **0184** equals hospital leave to an ICF/MR
  - **0185** equals hospital leave for non-ICF/MR facility
  - **0189** equals Medicare qualifying stay days
2. Select revenue code to indicate skilled nursing services:
  - **0190** equals subacute care general classification
  - **0191** equals subacute care - level I
  - **0192** equals subacute care - level II
  - **0193** equals subacute care - level III

- **0194** equals subacute care - level IV
- **0199** equals subacute care other
- **0550** equals skilled nursing general classification
- **0559** equals skilled nursing other

Indicating any of the above revenue codes does not alter the amount of your per diem payment. Use these codes when you previously would have indicated a skilled nursing indicator of 'Y'.

3. Select revenue code to indicate non-skilled nursing time periods:

- **0110** equals room-board/private
- **0119** equals other/private
- **0120** equals room-board/semi
- **0129** equals other/2-bed

**Georgia Interest Note:**

Any interest paid for the claim should be reported in a 2330 (Other Subscriber Information) Loop CAS (Claim Level Adjustment) segment with appropriate CAS codes.

**NOTE:** do not report interest paid as a separate line item on the Claim / Encounter



## GENERAL INFORMATION

### Valid Provider Identifiers

All Submitters are required to use the National Provider Identification (NPI) numbers that is now required in the ANSI ASC X12N 837 as per the 837 Institutional (004010X096A1) Implementation Guide for all appropriate loops.

HIPAA Standard Electronic Claims – 837 Professional, Institutional, and Dental Claims			
Provider submits a transaction with...	Dual Receipt Period (Now through 05/22/07)	Contingency Period (05/23/07 – 05/22/08)	Full Implementation (Post 05/23/08)  (A notification will be sent 60 days before requiring the use of NPI only on transactions)
Legacy ID Only (Provider License# or Medicare ID)	Accept Transaction	Accept Transaction	Reject Transaction
NPI & Legacy ID (Provider License# or Medicare ID)	Accept Transaction (Dual Receipt)	Accept Transaction (NPI must be in primary loops)	Reject Transaction
NPI Only	Reject (unless testing is completed with EDI area)	Accept Transaction (NPI must be registered with us)	Accept Transaction

### WellCare Front-End WEDI Snip Validation

The WellCare Front-End System, utilizing EDIFECS Validation Engine,

Starting on July 1, 2010 we will be performing **All Five** levels of WEDI Snip Validation for the State of Florida.

For All other states we will be performing the first **Three** levels of WEDI Snip Validation

#### WEDI SNIP Levels

- WEDI SNIP Type 1: EDI Syntax Integrity Testing
- WEDI SNIP Type 2: HIPAA Syntactical Requirement Testing
- WEDI SNIP Type 3: Balancing
- WEDI SNIP Type 4: Situational Testing
- WEDI SNIP Type 5: Code Set Testing

### Replace (Adjustment) Claim or Void Claim

When submitting a Replace (Adjustment) or Void Claim it must contain WellCare Trace Number from the WellCare Trace Report or any other Transactions like the 277 or 277U in the REF Segment Original Reference Number with the F8 qualifier in the 2300 (Claim Level Information) Loop in order to process the claim.

## Coordination of Benefits (COB)

All Submitters that adjudicate claims for WellCare HMO or have COB information from other payers are required to send in all the Coordination of Benefits and Adjudication Loops as per the 837 Institutional (004010X096A1) Implementation Guide as per Coordination of Benefits Section 1.4.2.

## Drug Identification

All Submitters that are sending in Claims that have Drug Procedure codes are required to complete the 2410 Drug Identification Loop(s) as per the 837 Intuitional (004010X096A1) Implementation Guide

## Electronic Submission

Institutional service claims submitted using the ANSI ASC X12N 837 format should be separated from all Encounter reporting. When sending Institutional service claims WellCare expects the BHT06, Claims Identifier to be set to “**CH**”. When reporting Encounters WellCare expects the BHT06 to be set to “**RP**”.

## Fee for Service Clearinghouse Submitters

All Fee For Service (FFS) Providers / Vendors must send there claims through a Clearinghouse. WellCare HMO is currently contracted with Emdeon, ACS-Gateway, Availity and SSI. Please contact your clearinghouse for the WellCare Payer ID to use for Claim Routing and any other pertinent ID’s

## Encounter File Upload for Direct Submitters

EDI files for production should be submitted to the following Secure FTP site <http://edi.wellcare.com/human.aspx>, using secure File Transfer Protocol (SFTP); See section FTP Process.

## Submission Frequency

We process files 24 by 7.

## File Size Requirements

The following list outlines the file sizes by transaction type:

Transaction Type	Testing Purposes	Production Purposes
837 formats – claims/encounters	50-100 claims	< 5000 claims per ST/SE

## FTP PROCESS for Production Encounters and Test files

### Secure File Transfer Protocol

MOVEit® is WellCare's preferred file transfer method of transferring electronic transactions over the Internet. It has the FTP option or online web interface.

Secure File Transfer Protocol (SFTP) is specifically designed to handle large files and sensitive data. WellCare's utilizes Secure Sockets Layer (SSL) technology, the standard internet security and SFTP ensures unreadable data transmissions over the Internet without a proper digital certificate.

- Registered users are assigned a secure mailbox where all reports are posted. Upon enrollment, they will receive a login and password.

In order to send files to WellCare submitters need to have an FTP client that supports AUTH SSL encryption.

The AUTH command allows WellCare to specify the authentication mechanism name to be used for securing the FTP session. Sample FTP client examples are:

- WS\_FTP PRO® (The commercial version supports automation and scripting)
  - WS\_FTP PRO® has instructions on how to connect to a WS\_FTP Server using SSL.
- Core FTP Lite® (The free version supports manual transfers)
  - Core FTP Lite® has instructions on how to connect to a WS\_FTP Server. Additionally, WellCare can provide setup assistance.

## Encounter FILE TEST PROCESS

WellCare will accept test files on a case-by-case basis. Notify the Testing Coordinator of your intent to test and to schedule accordingly.

***IF YOU DO NOT NOTIFY WELLCARE OF YOUR INTENT TO TEST, YOUR CLAIM SUBMISSION MAY BE OVERLOOKED.***

### Encounter Testing

1. Create test files in the ANSI ASC X12N 837I format.
  - Files should include all types of provider claims.
  - Batch files by 837I type of claim and group by month.
  - Set Header Loops for Test:
    - Header ISA15 to "T"
    - Header BHT06 use "RP" in the Header for encounters
2. Name each batch file according to the File Naming Standards listed below:
  - Your company Identifier short name must be 5 characters (Example: CMPNM)
  - 837TEST
  - Date test file is submitted to WellCare (CCYYMMDDHHMM)
  - Last byte equaling file type I = Institutional services

**Example:** CMPNM\_837TEST\_200509011525I
3. Transmit your **TEST** files to the WellCare SFTP site: <https://edi.wellcare.com> or submitted through your Clearinghouse.
4. Email a copy of the file Upload Response and your file name to the EDI Coordinator (See contact roster)

### Encounter Production

After the Provider or TPs are production ready WellCare will accept ANSI ASC X12N 837I format and process batch files daily. Files must have the appropriate PRODUCTION identifiers as listed in the 837I Mapping Documents.

### Encounter Naming Standards:

WellCare uses the file name to help track each batch file from the drop off site through the end processing into WellCare's data warehouse.

1. Claim Header information for Production and Encounters ID's:
  - Set Header Loops for Production:
    - Header ISA15 to "P"
    - Header BHT06 use "RP" in the Header for encounters

2. Name each batch file according to the File Naming Standards listed below:
  - Your company Identifier short name must be 5 characters (Example: CMPNM)
  - 837IROD
  - Date production file is submitted to WellCare (CCYYMMDDHHMM)
  - Last byte equaling file type **I** = Institutional services
  - **Example:** CMPNM\_837IROD\_200509011525I
3. WellCare recommends the use of EDIFECs or CLAREDI for SNIP Level 1 through 6 for integrity testing prior to uploading your production files.
4. Transmit your Production files to WellCare through the SFTP site or through your clearinghouse. For direct submitters see FTP Process section.
5. After the file has passed through WellCare's Enterprise Systems validation process, (includes business edits), the electronic ANSI ASC X12N 997 (Functional Acknowledgement) outlining file acceptance/rejection will be posted to the SFTP site within 24 hours. See the 837 IG for additional information about the response coding and Attachment C in this Guide for examples.
6. If the file is unreadable then trading partner will be notified by a WellCare third party coordinator via email.

## DESIGNATOR DESCRIPTION

M - Mandatory - The designation of mandatory is absolute in the sense that there is no dependency on other data elements. This designation may apply to either simple data elements or composite data structures. If the designation applies to a composite data structure then at least one value of a component data element in that composite data structure shall be included in the data segment.

R - Required - At least one of the elements specified in the condition must be present.

S – Situational - If a Segment or Field is marked as “Situational”, it is only sent if the data condition stated applies.



## FURTHER CLAIM FIELD DESCRIPTION

Refer to the IG for the initial mapping information. The grid below further clarifies additional information WellCare requires.

### Interchange Control Header:

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>
	ISA06	Interchange Sender ID	M	1		For Direct submitters Unique ID assigned by WellCare. Example: 123456 followed by spaces to complete the 15-digit element
	ISA08	Interchange Receiver ID	M	1		For Clearinghouse submitters please use ID as per the clearinghouse For Direct submitters Use "WELLCARE" <b>Note:</b> Please make sure the Receiver ID is <b>left justified</b> with <b>trailing spaces</b> for a total of 15 characters. Do not use leading ZEROS.  For Clearinghouse submitters please use ID as per the clearinghouse.

### Functional Group Header:

	GS02	Senders Code	M	1		For Direct submitters Use your existing WellCare Submitter ID <b>or</b> the trading partner ID provided during the enrollment process.  For Clearinghouse submitters please use ID as per the clearinghouse
	GS03	Receivers Code	M	1		For Direct submitters Use WC ID "WELLCARE"  For Clearinghouse submitters please use ID as per the clearinghouse



**Header:**

<u>Pos</u>	<u>Id</u>	<u>Segment Name</u>	<u>Req</u>	<u>Max Use</u>	<u>Repeat</u>	<u>Notes</u>
010	<b>BHT06</b>	Claim/Encounter Identifier	R	1		Use value the value of "CH" or "RP"
<b>LOOP ID - 1000A – Submitter Name</b>					<b><u>1</u></b>	
020	<b>NM109</b>	Submitter Identifier	R			For Direct Submitters Submitter's "ETIN" i.e., Use the WellCare Submitter ID or 6-digit trading partner ID assigned during the EDI enrollment process.  For Clearinghouse submitters please use ID as per the clearinghouse
<b>LOOP ID - 1000B – Receiver Name</b>					<b><u>1</u></b>	
020	<b>NM103</b>	Receiver Name	R	1		For Direct Submitters Use value "WELLCARE HEALTH PLANS, INC" (i.e., WellCare Health Plans of Georgia WellCare Health Plans of New York )  For Clearinghouse submitters please use ID as per the clearinghouse
020	<b>NM109</b>	Receiver Primary ID	R	1		For Direct Use the value of Payer IID  For Clearinghouse submitters please use ID as per the clearinghouse



**Detail:**

Pos	Id	Segment Name	Req	Max Use	Repeat	Notes
<b>LOOP ID - 2000A – Billing/Pay-To Provider Hierarchical Level</b>					<b>&gt;1</b>	
003	PRV03	Billing/Pay-To Provider Specialty Information	S	1		<p><b>State Note:</b> IL, NY, GA submitters are required to Use the value of “BI” = Billing or “PT” Pay-To Provider in the “PRV01” and the Taxonomy Code in the “PRV03”.</p> <p>MO Submitters are required to Use the value of “BI” = Billing or “PT” Pay-To Provider in the “PRV01” and the Taxonomy Code in the “PRV03 if submitter has multiple MO HealthNet Legacy Provider ID’s</p>
<b>LOOP ID - 2010AA – Billing Provider Name</b>					<b>1</b>	
015	NM108	Provider Primary Type	R	1		Must have value of “XX”.
015	NM109	Billing Provider ID	R	1		Must have NPI.
035	REF01	Reference Identification Qualifier	R	8		<p><b>All States:</b> All submitters are required to use the value of “EI”.</p>
035	REF02	Billing Provider Additional Identifier	R	8		<p><b>All States:</b> All submitters are required to send in their “TAX ID”.</p>
<b>LOOP ID - 2010AB – Pay to Provider’s Name</b>					<b>1</b>	
015	NM108	Provider Primary Type	S-R	1		Must have the value of “XX”
015	NM109	Pay to Provider’s Identifier	R	1		Must have NPI.
035	REF01	Reference Identification Qualifier	S-R	8		<p><b>All States</b> All submitters are required to use the Use the value of “EI”.</p>
035	REF02	Billing Provider Additional Identifier	R	8		<p><b>All States:</b> All submitters are required to send in their “TAX ID”.</p>
<b>LOOP ID - 2000B – Subscriber Hierarchical Level</b>					<b>&gt;1</b>	
005	SBR01	Payer Responsibility Sequence Number Code	R	1		Use the value of “P” if WellCare is the primary payer.
005	SBR09	Claim Filing Indicator Code		1		Value equal to Medicaid or Medicare filing.
007	PAT09	Pregnancy Indicator	S			Use indicator of “Y” if subscriber is pregnant.
<b>LOOP ID - 2010BA – Subscriber Name</b>					<b>1</b>	
015	NM108	Subscriber Primary Identification code Qualifier	S-R			Use the value “MI”.
015	NM109	Subscriber Primary Identifier				Subscriber Medicaid/Medicare ID,
032	DMG01	Subscriber Demographic Information	S-R	1		Required when Loop ID-2000B, SBR02 = “18” (self).
<b>LOOP ID - 2010BB – Payer Name</b>					<b>1</b>	
015	NM108	Identification code Qualifier				Use value “PI”.
015	NM109	Identification code				Use value Payer ID



LOOP ID – 2300 – Claim Information					1	
130	<b>CLM5-3</b>	Claim Frequency Type Code	R	1	<p><b>All States:</b> Use "1" on original Claim /Encounter submissions</p> <p>Use "7" for Claim/Encounter Replacement (Adjustment)</p> <p>Use "8" for Claim/Encounter void.</p> <p>For both "7" and "8", include the original <b>Wellcare Claim Number (WCN)</b>, as indicated in Loop 2300</p> <p><b>REF02 (Original Reference Number).</b></p> <p><b>All States:</b> Required submit a "F8" in the <b>REF01</b> when <b>CLM05-3</b> (Claim Submission Reason Code) = "7", or "8" the <b>WellCare ID (WCN)</b> is assigned to a previously submitted Claim/Encounter and required to be sent in the transaction.</p>	
180	<b>REF02</b>	Original Reference Number (ICN/DCN)	S-R	1	<p><b>All States:</b> Required submit a "F8" in the <b>REF01</b> when <b>CLM05-3</b> (Claim Submission Reason Code) = "7", or "8" the <b>WellCare ID (WCN)</b> is assigned to a previously submitted Claim/Encounter and required to be sent in the transaction.</p>	
190	<b>NTE01</b>	Claim Note - ID	S-R	1	10	<p><b>State Note:</b> <b>MO</b> - For home health claims, enter the applicable Note Reference Code identifying the functional area or purpose reported in NTE02.</p>
190	<b>NTE02</b>	Claim Note - Note	R	1	10	<p><b>State Note:</b> <b>MO</b> - See Reporting States Notes for Home Health Care</p>
231	<b>HI01-1</b>	Condition Identification Code Qualifier	S-R	1	24	<p><b>Sate Note:</b> <b>NY, OH</b> – See blow if need</p>
231	<b>HI01-2</b>	Condition Identification Value Code	R	1	24	<p><b>Sate Note:</b> <b>NY</b> - '61' for Cost Outlier claims (the Outlier Amount will be calculated based on the Revenue Codes reported in the SV2 segments of Loop 2400).</p> <ul style="list-style-type: none"> <li>- 'A1' for CHAPS and EPSDT claims</li> <li>- 'A4' for Family Planning</li> <li>- 'AJ' for Copay Exempt claims</li> <li>- 'AA' for Abortion performed due to rape</li> <li>- 'AB' for Abortion performed due to incest</li> <li>- 'AC' for Abortion performed due to serious fetal genetic defect, deformity, or abnormality</li> </ul>



- 'AD' for Abortion performed due to a life endangering physical condition caused by, arising from or exacerbated by the pregnancy itself
- 'AE' for Abortion performed due to physical health of mother that is not life endangering
- 'AF' for Abortion performed due to emotional/psychological health of the mother
- 'AG' for Abortion performed due to social or economic reasons
- 'AH' for Elective abortion
- 'AI' for Sterilization Refer

also to the 837 Institutional Supplemental Companion Guide, Sections 12 and 22 for more information.

**OH** - For nursing facility room and board claims adjustments, use the Condition Codes (Claim Change Reasons)

- **D0** changes to Service Dates
- **D1** changes to charges
- **D2** changes to revenue codes
- **D6** cancel only to repay a duplicate or OIG overpayment
- **D7** change to make Medicare the secondary payer
- **D8** change to make Medicare the primary payer
- **D9** any other change
- **E0** change in patient status

231	<b>HI01-1</b> Value Information Identification Code Qualifier	S-R	1	24
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**Sate Note:**  
**GA** -"BE" Newborn Birth Weight Required when admission Type Code CL101 = "4" Newborn



231	<b>HI01-2</b>	Value Information Identification Value Code	R	1	24	<b>State Note:</b> GA -"54"+Newborn Wight in Grams Required when admission Type Code CL0101 = "4" Newborn
231	<b>HI01-3</b>	Value Information Identification Monetary Amount	S	1	24	<b>State Note:</b> FL – Monetary Amount
	<b>QTY</b>	Claim Quantity				<b>State Note:</b> <b>OH - QTY01-</b> Quantity Qualifier "CD" and "LA" used in adjudication of Part C claims.  For nursing facility room and board claims , use <ul style="list-style-type: none"> <li>• <b>QTY01</b>, Quantity Qualifier 'CA' to report covered days, including covered leave days ;</li> <li>• <b>QTY01</b>, Quantity Qualifier 'NA' to report non-covered Days,</li> <li>• <b>QTY01</b>, Quantity Qualifier 'CD' to report co-insurance</li> </ul>
231			S	1	4	

**LOOP ID – 2320 – Other Subscriber Information**

295	<b>CAS02</b>	Claim Adjustment Reason	S	5		<b>State Note:</b> GA interest paid on the claim should be reported in a CAS Segment. Please use Code "225" for Interest Payments <b>NOTE:</b> Do not report interest Paid as a separate Line item on the Claim / Encounter.
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**LOOP ID – 2400 – Service Line**

	<b>SV201</b>	Service Line Revenue Code			<b>1</b>	
231			R	1	1	<b>State Note:</b> <b>MO</b> – See Reporting States Notes for Home Health Care.

## ATTACHMENT A

### Glossary

Term	Definition
<b>HIPAA</b>	In 1996, Congress passed into federal law the Health Insurance Portability and Accountability Act (HIPAA) in order to improve the efficiency and effectiveness of the entire health care system. The provisions of HIPAA, which apply to health plans, healthcare providers, and healthcare clearinghouses, cover many areas of concern including, preventing fraud and abuse, preventing pre-existing condition exclusions in health care coverage, protecting patients' rights through privacy and security guidelines and mandating the use of a national standard for EDI transactions and codesets.
<b>SSL</b> <b>(Secure Sockets Layer)</b>	SSL is a commonly used protocol for managing the security of a message transmission through the Internet. SSL uses a program layer located between the HTTP and TCP layers. The "sockets" part of the term refers to the sockets method of passing data back and forth between a client and a server program in a network or between program layers in the same computer. SSL uses the public-and-private key encryption system from RSA, which also includes the use of a digital certificate.
<b>Secure FTP (SFTP)</b>	Secure FTP, as the name suggests, involves a number of optional security enhancements such as encrypting the payload or including message digests to validate the integrity of the transported files to name two examples. Secure FTP uses Port 21 and other Ports, including SSL.
<b>AUTH SSL</b>	AUTH SSL is the explicit means of implementing secure communications as defined in RFC 2228. AUTH SSL provides a secure means of transmitting files when used in conjunction with an FTP server and client that both support AUTH SSL.
<b>Required Segment</b>	A required segment is a segment mandated by HIPAA as mandatory for exchange between trading partners.
<b>Situational Segment</b>	A situational segment is a segment mandated by HIPAA as optional for exchange between trading partners.
<b>Required Data Element</b>	A mandatory data element is one that must be transmitted between trading partners with valid data.
<b>Situational Data Element</b>	A situational data element may be transmitted if data is available. If another data element in the same segment exists and follows the current element the character used for missing data should be entered.
<b>N/U (Not Used)</b>	An N/U (Not Used) data element included in the shaded areas if the Implementation Guide is NOT USED according to the standard and no attempt should be made to include these in transmissions.
<b>ATTENDING PROVIDER</b>	The primary individual provider who attended to the client/member during an in-patient hospital stay. Must be identified in 837I, Loop 2310A, REF02 Segment, by their assigned Medicaid/Medicare ID

Term	Definition								
	number assigned by State to the individual provider while the client was in-patient.								
<b>BILLING PROVIDER</b>	The Billing Provider entity may be a health care provider, a billing service, or some other representative of the provider.								
<b>IMPLEMENTATION GUIDE (IG)</b>	Instructions for developing the standard ANSI ASC X12N Health Care Claim 837 transaction sets. The Implementation Guides are available from the Washington Publishing Company.								
<b>PAY-TO-PROVIDER</b>	This entity may be a medical group, clinic, hospital, other institution, or the individual provider who rendered the service.								
<b>REFERRING PROVIDER</b>	Identifies the individual provider who referred the client or prescribed Ancillary services/items such as Lab, Radiology and Durable Medical Equipment (DME).								
<b>RENDERING PROVIDER</b>	The primary individual provider who attended to the client/member. They must be identified in 837I.								
<b>TRADING PARTNERS (TPs)</b>	Includes all of the following; payers, switch vendors, software vendors, providers, billing agents, clearinghouses								
<b>DATE FORMAT</b>	All dates are eight (8) character dates in the format CCYYMMDD. The only date data element that varies from the above standard is the Interchange Date data element located in the ISA segment. The Interchange Date data element is a six (6) character date in the YYMMDD format.								
<b>DELIMITERS</b>	<p>A delimiter is a character used to separate two (2) data elements or sub-elements, or to terminate a segment. Delimiters are specified in the interchange header segment, ISA The ISA segment is a 105 byte fixed length record. The data element separator is byte number 4; the component element separator is byte number 105; and the segment terminator is the byte that immediately follows the component element separator. Once specified in the interchange header, delimiters are not to be used in a data element value elsewhere in the transaction. The following characters are used as data delimiters for all transaction segments:</p> <table border="1" data-bbox="586 1377 1369 1505"> <thead> <tr> <th data-bbox="586 1377 979 1409">CHARACTER</th> <th data-bbox="979 1377 1369 1409">PURPOSE</th> </tr> </thead> <tbody> <tr> <td data-bbox="586 1409 979 1440">* Asterisk</td> <td data-bbox="979 1409 1369 1440">Data Element Separator</td> </tr> <tr> <td data-bbox="586 1440 979 1472">: COLON</td> <td data-bbox="979 1440 1369 1472">Sub-Element Separator</td> </tr> <tr> <td data-bbox="586 1472 979 1505">~ Tilde</td> <td data-bbox="979 1472 1369 1505">Segment Terminator</td> </tr> </tbody> </table>	CHARACTER	PURPOSE	* Asterisk	Data Element Separator	: COLON	Sub-Element Separator	~ Tilde	Segment Terminator
CHARACTER	PURPOSE								
* Asterisk	Data Element Separator								
: COLON	Sub-Element Separator								
~ Tilde	Segment Terminator								



## ATTACHMENT B

### File Example

ISA\*00\* \*00\*  
\*ZZ\*123456789012345\*ZZ\*123456789012346\*020502\*1758\*U\*00401\*001000019\*0\*T\*:  
GS\*HC\*1234567890\*1234567890\*20020502\*1758\*20019\*X\*004010X096A1~  
ST\*837\*872501~  
BHT\*0019\*00\*0125\*19970411\*1524\*CH~  
REF\*87\*004010X098~  
NM1\*41\*2\*FERMANN HAND & FOOT CLINIC\*\*\*\*\*46\*591PD123~  
PER\*IC\*JAN FOOT\*TE\*8156667777~  
NM1\*40\*2\*HEISMAN INSURANCE COMPANY\*\*\*\*\*46\*555667777~  
HL\*1\*\*20\*1~NM1\*85\*2\*FERMANN HAND & FOOT CLINIC\*\*\*\*\*XX\*591PD123~  
N3\*10 1/2 SHOEMAKER STREET~  
N4\*COBBLER\*CA\*99997~  
REF\*EI\*579999999~HL\*2\*1\*22\*1~  
SBR\*P\*\*\*\*\*AM~  
NM1\*IL\*1\*HOWLING\*HAL\*\*\*\*MI\*B99977791G~  
NM1\*PR\*2\*HEISMAN INSURANCE COMPANY\*\*\*\*\*XV\*999888777~  
N3\*1 TROPHY LANE~  
N4\*NYAC\*NY\*10032~HL\*3\*2\*23\*0~  
PAT\*41~  
NM1\*QC\*1\*DIMPSON\*DJ\*\*\*\*34\*567324788~  
N3\*32 BUFFALO RUN~  
N4\*ROCKING HORSE\*CA\*99666~  
DMG\*D8\*19480601\*M~  
REF\*Y4\*32323232~  
CLM\*900000032\*185\*\*\*11::1\*Y\*A\*Y\*Y\*B\*AA~  
DTP\*439\*D8\*19940617~  
HI\*BK:8842~  
NM1\*82\*1\*MOGLIE\*BRUNO\*\*\*\*XX\*687AB861~  
PRV\*PE\*ZZ\*203BE004Y~  
NM1\*77\*2\*FERMANN HAND & FOOT CLINIC\*\*\*\*\*XX\*591PD123~  
N3\*10 1/2 SHOEMAKER STREET~  
N4\*COBBLER\*CA\*99997~  
LX\*1~SV1\*HC:99201\*150\*UN\*1\*\*\*1\*\*Y~  
DTP\*472\*D8\*19940620~  
LX\*2~SV1\*HC:26010\*35\*UN\*1\*\*\*1\*\*Y~  
DTP\*472\*D8\*19940620~  
SE\*39\*872501~  
GE\*1\*20019  
IEA\*1\*001000019



## ATTACHMENT C

### 997 Interpretation

The examples below show an accepted and a rejected X12 N 997. On the WellCare sftp site in the respective Provider directory the X12N 997 files, when opened, will display as one complete string without carriage returns or line feeds.

#### Accepted 997

```
ISA*00* 00*5265 *ZZ*100000 *ZZ*100008  
*050923*1126*U*00401*000000166*1*T*~  
GS*FA*77046*100008*20031023*112600*1660001  
*X*004010X096A1~  
ST*997*0001~  
AK1*HC*19990000~  
AK2*837*TEST~  
AK5*A~  
AK9*A*1*1*1~  
SE*6*0001~  
GE*1*1660001~  
IEA*1*000000166~
```

#### Rejected 997

```
ISA*00* 00*5264 *ZZ*100000 *ZZ*100008  
*050923*1124*U*00401*000000165*1*T*~  
GS*FA*77046*100008*20031023*112400*1650001  
*X*004010X096A1~  
ST*997*0001~  
AK1*HC*19990000~  
AK2*837*TEST~  
AK5*R*7~  
AK9*R*1*1*~  
0~  
SE*6*0001~  
GE*1*1650001~  
IEA*1*000000165~
```

#### Partial 997

```
ISA*00* 00* *ZZ*WELLCARE *ZZ*391933153  
*080121*1329*U*00401*000000007*0*P*~  
GS*FA*WELLCARE*391933153001*20080121*1329*7*X*004010X097A1~  
ST*997*0005~  
AK1*HC*1~  
AK2*837*0001~  
AK3*NM1*164396**8~  
AK4*9**1~  
AK5*R*5~  
AK2*837*0002~  
AK5*A~
```



AK9\*E\*2\*2\*1~  
SE\*10\*0005~  
GE\*1\*7~  
IEA\*1\*000000007~