



## **Hub**

# **Electronic Data Interchange (EDI) File Naming Conventions**

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## Table of Contents

1	Introduction .....	1
1.1	Purpose.....	1
2	Filename Sections.....	2
2.1	Trading Partner Identifier .....	2
2.2	Application Identifier .....	2
2.3	Function Code .....	2
2.4	Date .....	2
2.5	Time .....	2
2.6	Environment Code.....	3
2.7	Direction .....	3
3	Filename Formats .....	4
3.1	Filename Format for Files Received by External Entities (Outbound from CMS) .....	4
3.2	Filename Format for Files Sent by External Entities (Inbound to CMS).....	4
4	Filename Restrictions.....	5
5	Function Codes and Application IDs for EDI Transactions.....	6
5.1	Issuer-Related Transactions.....	6
5.2	SBE-Related Transactions .....	20
	Appendix A - Glossary of Terms, Acronyms, and Definitions.....	23
	Appendix B - Referenced Documents .....	28
	Appendix C - Record of Changes.....	29

## List of Tables

Table 1 - Filename Format for Files Received by External Entities.....	4
Table 2 - Filename Format for Files Sent by External Entities .....	4
Table 3 - Length Restrictions .....	5
Table 4 - Issuer-Related Transactions .....	6
Table 5 - Sample Filenames - Inbound to CMS from Issuers .....	9
Table 6 - Sample Filenames - Outbound from CMS to Issuers.....	13
Table 7 - SBE-Related Transactions .....	20
Table 8 - Sample Filenames - Inbound to CMS from SBEs .....	20
Table 9 - Sample Filenames - Outbound from CMS to SBEs .....	21
Table 10 - Glossary of Terms, Acronyms, and Definitions .....	23
Table 11 - Referenced Documents.....	28
Table 12 - Record of Changes .....	29

# 1 Introduction

On March 23, 2010, the President signed into law the Patient Protection and Affordable Care Act (PPACA) (P.L. 111-148). On March 30, 2010, the President signed into law the Healthcare and Education Reconciliation Act (HCERA) of 2010 (P.L. 111-152). These two laws comprise the Affordable Care Act (ACA).

The ACA creates new competitive private health insurance markets, or Exchanges, which provide millions of Americans and small businesses access to affordable coverage. Exchanges help individuals and small employers shop for, select, and enroll in high quality, private health plans that fit their needs. Exchanges are required to incorporate interoperable and secure standards and protocols the Secretary of the Department of Health and Human Services (HHS) developed in accordance with § 3021 of the Public Health Service (PHS) Act.

This is a living document that evolves, and that the Quality Software Services, Incorporated (QSSI) Hub Team, or the Team, updates upon identification of more timely and effective procedures.

See *Appendix B - Referenced Documents* for a list and description of documents this document references or that are applicable to the development and use of this document.

## 1.1 Purpose

The ACA requires the use of a single, streamlined application to determine eligibility for enrollment in a qualified health plan (QHP), and for insurance affordability programs, including advance payment of the premium tax credit (APTC), Cost-Sharing Reductions (CSRs), Medicaid, Children's Health Insurance Program (CHIP), and the Basic Health Program (BHP) where applicable. As part of the eligibility determination process, the system may also use this data to identify Applicants who qualify for an exemption from the individual responsibility requirement. The ability of an individual to access the appropriate coverage across multiple insurance affordability programs through a single, streamlined application and coordinated eligibility process means that no matter how an individual submits an application, or which insurance affordability program the Applicant may be eligible for, an individual experiences a consistent process and receives a consistent eligibility determination, without the need to submit information to multiple entities.

An Issuer provides, or issues, insurance to an Applicant. The Issuer and the Exchange transfer data through ASC X12 files. An Enterprise File Transfer (EFT) solution facilitates this communication of data. To make the movement of files easier, the filenames of the files transferred must be easy to understand and have a common format.

This document explains formats for the filenames that external entities (like Issuers) receive and send through EFT.

## 2 Filename Sections

The filenames proposed for usage by external entities consist of the following sections:

- Trading Partner (TP) Identifier (ID)
- Application ID
- Function Code
- Date
- Time
- Environment Code
- Direction

### 2.1 Trading Partner Identifier

The TP ID section of the filename is the identification number assigned to the TP.

### 2.2 Application Identifier

The Application ID section of the filename is an ID for the application that processes the files. This section specifies the target application where the system routes the file. This is a static value in most cases.

For Hub-related files, use DSH as the Application ID.

See *Section 5 - Function Codes and Application IDs for EDI Transactions* for the Application ID list. See *Section 4 - Filename Restrictions* for field restrictions.

### 2.3 Function Code

The Function Code section of the filename is an alphanumeric code indicating the functional purpose of the file within the application. This also helps identify specific processing once the system routes the file to the application. Application owners work with their Partners and define these codes for the various files exchanged.

See *Section 5 - Function Codes and Application IDs for EDI Transactions* for the function codes list. See *Section 4 - Filename Restrictions* for field restrictions.

### 2.4 Date

The Date section of the filename specifies the date the file transferred in **DYYMMDD** format where YY is the last two digits of the year, MM is the month, and DD is the day of the month. The first **D** is static text.

### 2.5 Time

The Time section of the filename specifies the time created (timestamp) for the file in **THHMMSSmmm** format where HH is hours, MM is minutes, SS is seconds, and mmm is milliseconds. The **T** is static text and exactly nine numerals must follow.

## 2.6 Environment Code

The Environment Code section of the filename is a single character code indicating the environment to which the system transfers the file. Permitted values are as follows:

- **P** for Production Environment (PROD)
- **T** for Test Environment (TEST) and Implementation Environment (IMP)1A
- **I** for IMP2

## 2.7 Direction

The Direction section of the filename indicates the direction in which the data flows, towards the Centers for Medicare & Medicaid Services (CMS) or away from CMS:

- **IN** for to CMS
- **OUT** for from CMS

See *Section 4 - Filename Restrictions* for field restrictions.

## 3 Filename Formats

This section presents the format filenames must follow to allow Hub processing.

### 3.1 Filename Format for Files Received by External Entities (Outbound from CMS)

The files sent from CMS to Partners must follow the format in *Table 1 - Filename Format for Files Received by External Entities*.

**Table 1 - Filename Format for Files Received by External Entities**

Item	Section	Section	Section	Section	Section	Section
Field	TPID	FuncCode	Date	Time	Env	Direction
Length/Format	1-10	1-6	DYYMMDD	THHMMSSmmm	1	3
Example	1234567890	999	D130214	T145543452	P	OUT

**Format:** TradingPartnerID.FuncCode.Date.Time.EnvCode.Direction

**Example:** 1234567890.999.D130223.T145543411.P.OUT

**Note:** A period (.) is the separator for file segments.

### 3.2 Filename Format for Files Sent by External Entities (Inbound to CMS)

The files sent to CMS from Partners must follow the format in *Table 2 - Filename Format for Files Sent by External Entities*.

**Table 2 - Filename Format for Files Sent by External Entities**

Item	Section	Section	Section	Section	Section	Section	Section
Field	TPID	Appld	FuncCode	Date	Time	Env	Direction
Length/ Format	1-10	3	1-6	DYYMMDD	THHMMSSmmm	1	2
Example	1234567890	DSH	IC834	D130215	T145543453	P	IN

**Format:** TradingPartnerID.Appld.FuncCode.Date.Time.EnvCode.Direction

**Example:** 1234567890.DSH.IC834.D130223.T145543452.P.IN

**Note:** A period (.) is the separator for file segments.

## 4 Filename Restrictions

*Table 3 - Length Restrictions* presents length restrictions for filename sections.

**Table 3 - Length Restrictions**

Section	Length	Comments
Application ID	3	Hub, Federally Facilitated Exchange (FFE), Multidimensional Insurance Data Analytics System (MIDAS), etc.
Date	7	<b>D</b> YYMMDD where first character <b>D</b> is static text and remaining characters are date in YYMMDD format
Direction	2-3	<b>IN</b> for files coming into CMS and <b>OUT</b> for files going out of CMS
Environment Code	1	<b>P</b> for PROD, <b>T</b> for TEST or IMP1A, <b>I</b> for IMP2
Function Code	3-6	I834, 999, S820, etc.
Time	10	<b>T</b> HHMMSSmmm where character <b>T</b> is static text and remaining characters are time in HHMMSSmmm format
TP ID	5-10	Identifies TP transmitting/receiving files with CMS

## 5 Function Codes and Application IDs for EDI Transactions

This section presents function codes and Application IDs for EDI transactions.

### 5.1 Issuer-Related Transactions

*Table 4 - Issuer-Related Transactions* presents a list of function codes related to the Issuer community including State-Based Exchange (SBE) Issuers, both inbound to CMS and outbound from CMS.

**Table 4 - Issuer-Related Transactions**

Inbound	Outbound
ACK	TA1
CSRATI	I834RT
CSRI	SWTFL
EDBI	I820
EGRP	GROP
ERRP	S834RT
ERRS	I834AR
I820BA	S820
I834BA	999
IA834	IR834
IC834	I834
N/A	1094A4
N/A	1095A5
N/A	1095A6
N/A	1095A7
N/A	1095A8
N/A	1095A9
N/A	1095A0
N/A	AUD16
N/A	AUD17
N/A	AUD8
N/A	AUD9



Inbound	Outbound
N/A	AUD0
N/A	BARCN8
N/A	BARCN9
N/A	BARCN0
N/A	CSRO
N/A	D820
N/A	DATAM
N/A	EPSEXT
N/A	ERRA
N/A	ERRD
N/A	ERRP
N/A	ERRS
N/A	ERRUIR
N/A	GSWTCH
N/A	I834MM
N/A	IOUTRC
N/A	ISIPA7
N/A	ISIPA8
N/A	ISIPA9
N/A	ISIPA0
N/A	ISUIPA
N/A	MISC7
N/A	MISC8
N/A	MISC9
N/A	MISC0
N/A	MOIPA8
N/A	MOIPA9
N/A	MOIPA0
N/A	MSWTCH
N/A	OP834T
N/A	ORPHN7

Inbound	Outbound
N/A	OVRLP7
N/A	PNR
RCNI16	RCNO16
RCNI17	RCNO17
N/A	SERRSO
N/A	SRCNO
N/A	WBKO1A
N/A	CIC834
N/A	S834BA
RCNI15	RCNO15
RCNI8	RCNO8
RCNI9	RCNO9
RCNI0	RCNO0
RGROP	OTPAUD
S820BA	I834BA
S834BA	F820
SA834	SR834
SC834	S834
SERRSI	EDBO
SRCNI	MISC
WBKI1A	AUD15
N/A	ERRZ
RESOFL	CMPLFL
N/A	RI834T

*Table 5 - Sample Filenames - Inbound to CMS from Issuers* presents a list of sample filenames for files inbound to CMS from Issuers.

**Table 5 - Sample Filenames - Inbound to CMS from Issuers**

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (Issuers with TP ID as 1234567890)
1A Worksheets Sent to CMS	ZIP File	N/A	<b>WBK11A</b>	OPR	1234567890.OPR. <b>WBK11A</b> .D160105.T070001023.P.IN
Acknowledgement (ACK) File	EDI	[TA1] 00501 [999]005010 <b>X231A1</b>	<b>ACK</b>	DSH	1234567890.DSH. <b>ACK</b> .D130223.T145543452.P.IN
Business Application Acknowledgement (BAA) for Benefit Enrollment Maintenance (834 Transaction) for Individual Market	Extensible Markup Language (XML)	N/A	<b>I834BA</b>	DSH	1234567890.DSH. <b>I834BA</b> .D130223.T145543452.P.IN
BAA for Benefit Enrollment Maintenance (834 Transaction) for Small Business Health Options Program (SHOP) Market	XML	N/A	<b>S834BA</b>	DSH	1234567890.DSH. <b>S834BA</b> .D130223.T145543452.P.IN
BAA for Payment Order/Remittance Advice (820 Transaction) for Individual Market (Initial and Final)	XML	N/A	<b>I820BA</b>	DSH	1234567890.DSH. <b>I820BA</b> .D130223.T145543452.P.IN

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (Issuers with TP ID as 1234567890)
BAA for Payment Order/Remittance Advice (820 Transaction) for SHOP Market (Initial and Final)	XML	N/A	<b>S820BA</b>	DSH	1234567890.DSH. <b>S820BA</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) - Confirmation Transaction for Individual Market	EDI	005010 <b>X220A1</b>	<b>IC834</b>	DSH	1234567890.DSH. <b>IC834</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) - Confirmation Transaction for SHOP Market	EDI	005010 <b>X220A1</b>	<b>SC834</b>	DSH	1234567890.DSH. <b>SC834</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Inbound Audit file for Individual Market (Reconciliation)	EDI	005010 <b>X220A1</b>	<b>IA834</b>	DSH	1234567890.DSH. <b>IA834</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Inbound Audit file for SHOP Market (Reconciliation)	EDI	005010 <b>X220A1</b>	<b>SA834</b>	DSH	1234567890.DSH. <b>SA834</b> .D130223.T145543452.P.IN

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (Issuers with TP ID as 1234567890)
CSR Reconciliation Attestation File for 2014 and 2015	ZIP File	N/A	<b>CSRATI</b>	RCR	1234567890.RCR. <b>CSRATI</b> .D130223.T145543452.P.IN
CSR Reconciliation Data File for 2014 and 2015	Text File	N/A	<b>CSRI</b>	RCR	1234567890.RCR. <b>CSRI</b> .D130223.T145543452.P.IN
Employee Roster Spreadsheet	Microsoft Excel file format	N/A	<b>EGRP</b>	DSH	1234567890.DSH. <b>EGRP</b> .D130223.T145543452.P.IN
Enrollment Data Baseline/Reconciliation File for 2014	Text File	N/A	<b>EDBI</b>	RCR	1234567890.RCR. <b>EDBI</b> .D141018.T145543452.P.IN
Enrollment Data Reconciliation File for 2015	Text File	N/A	<b>RCNI15</b>	RCR	1234567890.RCR. <b>RCNI15</b> .D150518.T145543452.P.IN
Enrollment Data Reconciliation File for 2016	Text File	N/A	<b>RCNI16</b>	RCR	1234567890.RCR. <b>RCNI16</b> .D160518.T145543452.P.IN
Enrollment Data Reconciliation File for 2017	Text File	N/A	<b>RCNI17</b>	RCR	1234567890.RCR. <b>RCNI17</b> .D170518.T070001023.P.IN
Enrollment Data Reconciliation File for 2018	Text File	N/A	<b>RCNI8</b>	RCR	1234567890.RCR. <b>RCNI8</b> .D180118.T145543452.P.IN
Enrollment Data Reconciliation File for 2019	Text File	N/A	<b>RCNI9</b>	RCR	1234567890.RCR. <b>RCNI9</b> .D190118.T145543452.P.IN

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (Issuers with TP ID as 1234567890)
Enrollment Data Reconciliation File for 2020	Text File	N/A	<b>RCNI0</b>	RCR	1234567890.RCR.RCNI0.D200118.T145543452.P.IN
Enrollment Reconciliation Dispute Form for Individual Market	Text File/ Microsoft Excel file format	N/A	<b>ERRS</b>	COG	1234567890.COG. <b>ERRS</b> .D160105.T070001023.P.IN
Inbound SHOP Enrollment Reconciliation File	Text File	N/A	<b>SRCNI</b>	CMS	1234567890.CMS. <b>SRCNI</b> .D150429.T145543452.P.IN
Payment Dispute Communication to CMS	Text File/ Microsoft Excel file format	N/A	<b>ERRP</b>	COG	1234567890.COG. <b>ERRP</b> .D160105.T070001023.P.IN
Response to Employer Group Business Service	XML	N/A	<b>RGR0P</b>	DSH	1234567890.DSH. <b>RGR0P</b> .D130223.T145543452.P.IN
SHOP Enrollment Reconciliation Dispute Resolution Form (Issuer to Federally Facilitated Small Business Health Options Program (FF-SHOP))	Text File	N/A	<b>SERRSI</b>	CMS	1234567890.CMS. <b>SERRSI</b> .D150429.T145543452.P.IN

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (Issuers with TP ID as 1234567890)
Response files sent back by issuers to CMS for the Unauthorized Enrollment Finder File (UEFF) files confirming if a policy should be rescinded due to fraud	Text File	N/A	<b>RESOFL</b>	MID	1234567890.MID.RESOFL.D150429.T145543452.P.IN

Table 6 - Sample Filenames - Outbound from CMS to Issuers presents a list of sample filenames for files outbound from CMS to Issuers.

**Table 6 - Sample Filenames - Outbound from CMS to Issuers**

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
1095A Files to Issuers for 20*4	Text File	N/A	<b>1095A4</b>	1234567890. <b>1095A4</b> .D130223.T145543411.P.OUT
1095A Files to Issuers for 20*5	Text File	N/A	<b>1095A5</b>	1234567890. <b>1095A5</b> .D130223.T145543411.P.OUT
1095A Files to Issuers for 20*6	Text File	N/A	<b>1095A6</b>	1234567890. <b>1095A6</b> .D130223.T145543411.P.OUT
1095A Files to Issuers for 20*7	Text File	N/A	<b>1095A7</b>	1234567890. <b>1095A7</b> .D130223.T145543411.P.OUT
1095A Files to Issuers for 2018	Text File	N/A	<b>1095A8</b>	1234567890. <b>1095A8</b> .D180223.T145543411.P.OUT
1095A Files to Issuers for 2019	Text File	N/A	<b>1095A9</b>	1234567890. <b>1095A9</b> .D190223.T145543411.P.OUT
1095A Files to Issuers for 2020	Text File	N/A	<b>1095A0</b>	1234567890. <b>1095A0</b> .D200223.T145543411.P.OUT
1095A Workbooks to Issuers	Microsoft Excel file format	N/A	<b>ERRA</b>	1234567890. <b>ERRA</b> .D130223.T145543411.P.OUT
834 FFE Update Transactions to Issuers	Text File	N/A	<b>OP834T</b>	1234567890. <b>OP834T</b> .D130223.T145543411.P.OUT
834 Mismatch Transactions to Issuers	Text File	N/A	<b>I834MM</b>	1234567890. <b>I834MM</b> .D130223.T145543411.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
Any Miscellaneous Transaction	EDI/XML/ Text File	N/A	<b>MISC</b>	1234567890. <b>MISC</b> .D130223.T145543452.P.OUT
BAA for Benefit Enrollment Maintenance (834 Transaction) - Confirmation transaction for Individual Market	XML	N/A	<b>I834BA</b>	1234567890. <b>I834BA</b> .D130223.T145543411.P.OUT
BAA For Benefit Enrollment Maintenance (834 Transaction) - Confirmation Transaction for SHOP Market	XML	N/A	<b>S834BA</b>	1234567890. <b>S834BA</b> .D130223.T145543411.P.OUT
Benefit Enrollment And Maintenance (834 Transaction) - Auto Re-Enrollment Transaction for Individual Market	EDI	005010 <b>X220A1</b>	<b>I834AR</b>	1234567890. <b>I834AR</b> .D130223.T145543411.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) - Change in Circumstances (CICs)	EDI	005010 <b>X220A1</b>	<b>CIC834</b>	1234567890. <b>CIC834</b> .D130223.T145543452.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Update file for Individual Market (Reconciliation)	EDI	005010 <b>X220A1</b>	<b>IR834</b>	1234567890. <b>IR834</b> .D130223.T145543411.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Update file for SHOP Market (Reconciliation)	EDI	005010 <b>X220A1</b>	<b>SR834</b>	1234567890. <b>SR834</b> .D130223.T145543411.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) for Individual Market	EDI	005010 <b>X220A1</b>	<b>I834</b>	1234567890. <b>I834</b> .D130223.T145543411.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) for SHOP Market	EDI	005010 <b>X220A1</b>	<b>S834</b>	1234567890. <b>S834</b> .D130223.T145543411.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) - Transactions Resent for Individual Market	EDI	005010 <b>X220A1</b>	<b>I834RT</b>	1234567890. <b>I834RT</b> .D130223.T145543411.P.OUT



Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
Benefit Enrollment and Maintenance (834) - Transaction Resent for SHOP Market	EDI	005010 <b>X220A1</b>	<b>S834RT</b>	1234567890. <b>S834RT</b> .D130223.T145543411.P.OUT
Data file with list of members and their contact information for Issuers to conduct outreach to listed members	Text File	N/A	<b>IOUTRC</b>	1234567890. <b>IOUTRC</b> .D130223.T145543411.P.OUT
Eligibility Data Matching Issues File	Text File	N/A	<b>DATAM</b>	1234567890. <b>DATAM</b> .D130223.T145543411.P.OUT
Employer Group Business Service	XML	N/A	<b>GROP</b>	1234567890. <b>GROP</b> .D130223.T145543411.P.OUT
Enrollment Data Baseline/Reconciliation File for 2014	Text File	N/A	<b>EDBO</b>	1234567890. <b>EDBO</b> .D140223.T145543452.P.OUT
Enrollment Data Reconciliation File for 2015	Text File	N/A	<b>RCNO15</b>	1234567890. <b>RCNO15</b> .D150223.T145543411.P.OUT
Enrollment Data Reconciliation File for 2016	Text File	N/A	<b>RCNO16</b>	1234567890. <b>RCNO16</b> .D160223.T145543411.P.OUT
Enrollment Data Reconciliation File for 2017	Text File	N/A	<b>RCNO17</b>	1234567890. <b>RCNO17</b> .D170223.T145543411.P.OUT
Enrollment Data Reconciliation File for 2018	Text File	N/A	<b>RCNO8</b>	1234567890. <b>RCNO8</b> .D180223.T145543411.P.OUT
Enrollment Data Reconciliation File for 2019	Text File	N/A	<b>RCNO9</b>	1234567890. <b>RCNO9</b> .D190223.T145543411.P.OUT
Enrollment Data Reconciliation File for 2020	Text File	N/A	<b>RCNO0</b>	1234567890. <b>RCNO0</b> .D200223.T145543411.P.OUT
Enrollment extract provides financial information for SBEs and SBE Issuers to give insight into payments for upcoming payment cycle	XML	N/A	<b>EPSEXT</b>	1234567890. <b>EPSEXT</b> .D130223.T145543411.P.OUT
Enrollment Pre-Audit File for 2014	Text File	N/A	<b>OTPAUD</b>	1234567890. <b>OTPAUD</b> .D140223.T145543411.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
Enrollment Pre-Audit File for 2015	Text File	N/A	<b>AUD15</b>	1234567890. <b>AUD15</b> .D150223.T145543411.P.OUT
Enrollment Pre-Audit File for 2016	Text File	N/A	<b>AUD16</b>	1234567890. <b>AUD16</b> .D160223.T145543411.P.OUT
Enrollment Pre-Audit File for 2017	Text File	N/A	<b>AUD17</b>	1234567890. <b>AUD17</b> .D170223.T145543411.P.OUT
Enrollment Pre-Audit File for 2018	Text File	N/A	<b>AUD8</b>	1234567890. <b>AUD8</b> .D180223.T145543411.P.OUT
Enrollment Pre-Audit File for 2019	Text File	N/A	<b>AUD9</b>	1234567890. <b>AUD9</b> .D190223.T145543411.P.OUT
Enrollment Pre-Audit File for 2020	Text File	N/A	<b>AUD0</b>	1234567890. <b>AUD0</b> .D200223.T145543411.P.OUT
Enrollment Reconciliation Dispute Resolution Form for Individual Market	Text File	N/A	<b>ERRS</b>	1234567890. <b>ERRS</b> .D130223.T145543411.P.OUT
Implementation Acknowledgment (999 Transaction)	EDI	005010 <b>X231A1</b>	<b>999</b>	1234567890. <b>999</b> .D130223.T145543411.P.OUT
Incremental Pre-audit File to Issuers	Text File	N/A	<b>ISUIPA</b>	1234567890. <b>ISUIPA</b> .D130223.T145543411.P.OUT
Incremental Pre-Audit File to Issuers for 2017	Text File	N/A	<b>ISIPA7</b>	1234567890. <b>ISIPA7</b> .D170223.T145543411.P.OUT
Incremental Pre-audit File to Issuers for 2018	Text File	N/A	<b>ISIPA8</b>	1234567890. <b>ISIPA8</b> .D180223.T145543411.P.OUT
Incremental Pre-audit File to Issuers for 2019	Text File	N/A	<b>ISIPA9</b>	1234567890. <b>ISIPA9</b> .D190223.T145543411.P.OUT
Incremental Pre-audit File to Issuers for 2020	Text File	N/A	<b>ISIPA0</b>	1234567890. <b>ISIPA0</b> .D200223.T145543411.P.OUT
Issuer Switch File	Text File	N/A	<b>SWTFL</b>	1234567890. <b>SWTFL</b> .D130223.T145543411.P.OUT
Miscellaneous files to Issuers for 2017	Text File	N/A	<b>MISC7</b>	1234567890. <b>MISC7</b> .D130223.T145543411.P.OUT
Miscellaneous files to Issuers for 2018	Text File	N/A	<b>MISC8</b>	1234567890. <b>MISC8</b> .D180223.T145543411.P.OUT
Miscellaneous files to Issuers for 2019	Text File	N/A	<b>MISC9</b>	1234567890. <b>MISC9</b> .D190223.T145543411.P.OUT
Miscellaneous files to Issuers for 2020	Text File	N/A	<b>MISC0</b>	1234567890. <b>MISC0</b> .D200223.T145543411.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
Missing Outbound 834 Finder file to Issuers for 2017	Text File	N/A	<b>ORPHN7</b>	1234567890. <b>ORPHN7</b> .D170223.T145543411.P.OUT
Missing Outbound 834 Incremental Pre-Audit file to Issuers for 2018	Text File	N/A	<b>MOIPA8</b>	1234567890. <b>MOIPA8</b> .D180223.T145543411.P.OUT
Missing Outbound 834 Incremental Pre-Audit file to Issuers for 2019	Text File	N/A	<b>MOIPA9</b>	1234567890. <b>MOIPA9</b> .D190223.T145543411.P.OUT
Missing Outbound 834 Incremental Pre-Audit file to Issuers for 2020	Text File	N/A	<b>MOIPA0</b>	1234567890. <b>MOIPA0</b> .D200223.T145543411.P.OUT
Monthly Payee Information Report sent to all Issuer Payees	Text File	N/A	<b>PNR</b>	1234567890. <b>PNR</b> .D130223.T145543411.P.OUT
Outbound file to send CSR Reconciliation Error File for 2014 and 2015	Text File	N/A	<b>CSRO</b>	1234567890. <b>CSRO</b> .D130223.T145543411.P.OUT
Outbound Group Switch file sent to Issuers for terminating groups who did not renew SHOP Coverage with same Issuer Plans	Text File	N/A	<b>GSWTCH</b>	1234567890. <b>GSWTCH</b> .D130223.T145543411.P.OUT
Outbound Member Switch file sent to Issuers for terminating members who did not renew SHOP Coverage with same Issuer Plans	Text File	N/A	<b>MSWTCH</b>	1234567890. <b>MSWTCH</b> .D130223.T145543411.P.OUT
Outbound SHOP Enrollment Reconciliation File	Text File	N/A	<b>SRCNO</b>	1234567890. <b>SRCNO</b> .D150429.T145543411.P.OUT
Overlaps file to Issuers for 2017	Text File	N/A	<b>OVRLP7</b>	1234567890. <b>OVRLP7</b> .D130223.T145543411.P.OUT
Passive Cancel or Carry-Forward Cancel Incremental Pre-Audit files to Issuers 2018	Text File	N/A	<b>BARCN8</b>	1234567890. <b>BARCN8</b> .D170223.T145543411.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
Passive Cancel Incremental Pre-Audit files to Issuers 2019	Text File	N/A	<b>BARCN9</b>	1234567890. <b>BARCN9</b> .D190223.T145543411.P.OUT
Passive Cancel Incremental Pre-Audit files to Issuers 2020	Text File	N/A	<b>BARCN0</b>	1234567890. <b>BARCN0</b> .D200223.T145543411.P.OUT
Payment Dispute Response to Issuers	Text File/ Microsoft Excel file format	N/A	<b>ERRP</b>	1234567890. <b>ERRP</b> .D130223.T145543411.P.OUT
Payment Order/Remittance Advice (820 Transaction) - Final File for Individual Market  <b>Note:</b> Although this transaction applies to the Individual Exchange, SHOP user fee information will transmit with this file to Issuers. This also applies to SHOP Exchange-only users.	EDI	005010 <b>X306</b>	<b>F820</b>	1234567890. <b>F820</b> .D130223.T145543411.P.OUT
Payment Order/Remittance Advice (820 Transaction) for SHOP Market	EDI	005010 <b>X306</b>	<b>S820</b>	1234567890. <b>S820</b> .D130223.T145543411.P.OUT
Preliminary Payment Reporting file for Individual Market	Text	N/A	<b>I820</b>	1234567890. <b>I820</b> .D130223.T145543411.P.OUT
Preliminary Payment Reports (PPRs) to Issuers of SBE - Federal Platform to report user fee payments collected from their SBE - Federal Platform	Text File	N/A	<b>D820</b>	1234567890. <b>D820</b> .D130223.T145543411.P.OUT
Response for 1A Workbooks CMS Sends	ZIP File	N/A	<b>WBKO1A</b>	1234567890. <b>WBKO1A</b> .D130223.T145543411.P.OUT
Semi-Monthly Detailed Report to Issuers	Microsoft Excel file format	N/A	<b>ERRD</b>	1234567890. <b>ERRD</b> .D130223.T145543411.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (Issuers with TP ID as 1234567890)
SHOP Enrollment Reconciliation Dispute Resolution Form (FF-SHOP to Issuer)	Text File	N/A	<b>SERRSO</b>	1234567890. <b>SERRSO</b> .D150429.T145543411.P.OUT
Technical Acknowledgment (TA1 Segment)	EDI	N/A	<b>TA1</b>	1234567890. <b>TA1</b> .D130223.T145543411.P.OUT
Unaffiliated I Record (UIR) Reports to Issuers	Microsoft Excel file format	N/A	<b>ERRUIR</b>	1234567890. <b>ERRUIR</b> .D130223.T145543411.P.OUT
Payment Updates Semi-Monthly Reports send to Issuers from Enrollment Resolution & Reconciliation (ER&R) Contractor	Text File	N/A	<b>ERRZ</b>	1234567890. <b>ERRZ</b> .D180116.T145543411.P.OUT
UEFF files sent to the issuers to confirm if a policy should be rescinded due to fraud	Text File	N/A	<b>CMPLFL</b>	1234567890. <b>CMPLFL</b> .D180116.T145543411.P.OUT
Report providing information on the inbound individual marketplace reinstatement transactions sent by the issuers on the IC834	Text File	N/A	<b>RI834T</b>	1234567890. <b>RI834T</b> .D170720.T174551939.P.OUT

## 5.2 SBE-Related Transactions

*Table 7 - SBE-Related Transactions* presents a list of function codes related to the SBE community, both inbound to CMS and outbound from CMS.

**Table 7 - SBE-Related Transactions**

Inbound	Outbound
ACK	999
FCSR01	I834BA
I820BA	I820
IS834	IX834
IX834	TA1
N/A	EPSEXT
N/A	SI820
N/A	WBKO1A
WBK11A	FE0001

*Table 8 - Sample Filenames - Inbound to CMS from SBEs* presents a list of sample filenames for files inbound to CMS from SBEs.

**Table 8 - Sample Filenames - Inbound to CMS from SBEs**

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (SBEs with TP ID as SBE0002)
1A Workbooks Sent to CMS	WBK11A	N/A	<b>WBK11A</b>	OPR	FEP0001XX.OPR. <b>WBK11A</b> .D130223.T145543452.P.IN
ACK File	EDI	[TA1] 00501 [999]005010 <b>X231A1</b>	<b>ACK</b>	DSH	FEP0001XX.DSH. <b>ACK</b> .D130223.T145543452.P.IN

Transaction	File Type	Transaction Code	Function Code	Application ID	Example (SBEs with TP ID as SBE0002)
BAA for Payment Order/Remittance Advice (820 Transaction) - (Initial and Final)	XML	N/A	<b>I820BA</b>	DSH	FEP0001XX.DSH. <b>I820BA</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Audit file for SBE Reconciliation	EDI	005010 <b>X220A1</b>	<b>IX834</b>	DSH	FEP0001XX.DSH. <b>IX834</b> .D130223.T145543452.P.IN
Benefit Enrollment and Maintenance (834 Transaction) for SBE	EDI	005010 <b>X220A1</b>	<b>IS834</b>	DSH	FEP0001XX.DSH. <b>IS834</b> .D130223.T145543452.P.IN
CSR Advanced Payment Amount	Comma-Separated Value File (CSV File)	N/A	<b>FCSR01</b>	DSH	FEP0001XX.DSH. <b>FCSR01</b> .D130223.T145543452.P.IN

*Table 9 - Sample Filenames - Outbound from CMS to SBEs* presents a list of sample filenames for files outbound from CMS to SBEs.

**Table 9 - Sample Filenames - Outbound from CMS to SBEs**

Transaction	File Type	Transaction Code	Function Code	Example (SBEs with TP ID as SBE0002)
BAA for Benefit Enrollment and Maintenance (834 Transaction) for Individual Market	XML	N/A	<b>I834BA</b>	FEP0001XX. <b>I834BA</b> .D130223.T145543462.P.OUT
Benefit Enrollment and Maintenance (834 Transaction) - Monthly Update File for SBE Reconciliation	EDI	005010 <b>X220A1</b>	<b>IX834</b>	FEP0001XX. <b>IX834</b> .D130223.T145543421.P.OUT

Transaction	File Type	Transaction Code	Function Code	Example (SBEs with TP ID as SBE0002)
Enrollment extract provides financial information for SBEs and SBE Issuers to give insight into payments for upcoming payment cycle	XML	N/A	<b>EPSEXT</b>	FEP0001XX. <b>EPSEXT</b> .D130223.T145543421.P.OUT
Error Report for CSR File (FCSR01)	CSV File	N/A	<b>FE0001</b>	FEP0001XX. <b>FE0001</b> .D130223.T145543411.P.OUT
Implementation Acknowledgment (999 Transaction)	EDI	005010 <b>X231A1</b>	<b>999</b>	FEP0001XX. <b>999</b> .D130223.T145543431.P.OUT
Preliminary Payment Reporting file for SBE	Text File	N/A	<b>I820</b>	FEP0001XX. <b>I820</b> .D130223.T145543401.P.OUT
PPRs provided to SBEs on a monthly basis to facilitate resolution of disputes related to payments between SBE and their Issuers	Text Files	N/A	<b>SI820</b>	FEP0001XX. <b>SI820</b> .D130223.T145543411.P.OUT
Response for 1A Workbooks Sent by CMS	ZIP File	N/A	<b>WBK01A</b>	FEP0001XX. <b>WBK01A</b> .D130223.T145543411.P.OUT
Technical Acknowledgment (TA1 Segment)	EDI	N/A	<b>TA1</b>	FEP0001XX. <b>TA1</b> .D130223.T145543421.P.OUT



## Appendix A - Glossary of Terms, Acronyms, and Definitions

*Table 10 - Glossary of Terms, Acronyms, and Definitions* provides terms, acronyms, and associated definitions for terms and acronyms in this document.

**Table 10 - Glossary of Terms, Acronyms, and Definitions**

Term	Acronym	Definition
820 Transaction	N/A	The 820 Transaction enables companies providing healthcare benefits to their employees to transmit information on premium payments to the health plans.
834 Transaction	N/A	The 834 Transaction is the HIPAA-compliant Benefit Enrollment and Maintenance Transaction. Its purpose is to electronically transmit enrollment and disenrollment information.
999 Transaction	N/A	A 999 Transaction set is an implementation acknowledgement document, developed specifically to replace the 997 Functional acknowledgement document for use in healthcare.
Acknowledgement	ACK	ACK is a signal that passes between communicating processes or computers to signify acknowledgement, or receipt of response, as part of a communications protocol.
Advance Payment of the Premium Tax Credit	APTC	APTC assists qualifying Individuals participating in an Exchange with premium payment amounts.
Affordable Care Act	ACA	The ACA (also PPACA) reforms certain aspects of the private health insurance industry and public health insurance programs, including increasing insurance coverage of pre-existing conditions and expanding access to insurance to Americans, while mandating an increase in total national medical expenditures.
ASC X12	N/A	ASC X12 (also known as ANSI ASC X12) is the official designation of the U.S. national standards body for the development and maintenance of EDI standards.
Basic Health Program	BHP	Under the ACA, the BHP gives States 95 percent of what the Federal Government would spend on tax credits and subsidies for out-of-pocket costs for adults with an income between 133 and 200 percent of the federal poverty level and legally resident immigrants with incomes below 133 percent of the federal poverty level whose immigration status disqualifies them from federally-matched Medicaid.
Business Application Acknowledgement	BAA	The BAA Service reports business errors on an 834 transaction.
Center for Consumer Information & Insurance Oversight	CCIIO	CCIIO oversees the implementation of the Affordable Care Act provisions related to private health insurance.

Term	Acronym	Definition
Centers for Medicare & Medicaid Services	CMS	CMS is a federal agency within the U.S. Department of Health and Human Services that administers the Medicare program and works in Partnership with State governments to administer Medicaid, the State Children's Health Insurance Program, and health insurance portability standards.
Change in Circumstance	CIC	A CIC refers to an update rather than to an enroll/disenroll situation.
Children's Health Insurance Program	CHIP	CHIP is a program HHS administers that provides matching funds to States for health insurance to families with children. The program covers uninsured children in families with incomes that are modest but too high to qualify for Medicaid.
Comma-Separated Value File	CSV File	A CSV file is a simple, text format for a database table. Each record in the table is one line of the text file. A character (typically a comma, but some European countries use a semi-colon as a value separator instead) separates each field value of a record from the next character.
Cost-Sharing Reduction	CSR	CSR refers to the reduction of costs for essential health benefits based upon individual income in relation to the federal poverty level.
Department of Health and Human Services	HHS	HHS is a Cabinet department of the U.S. government with the goal of protecting the health of all Americans and providing essential human services.
Electronic Data Interchange	EDI	EDI refers to the computer-to-computer exchange of structured information by agreed message standards, from one computer application to another by electronic means and with a minimum of human intervention.
Enrollment Resolution & Reconciliation	ER&R	ER&R is a process for resolving discrepancies between FFE and Issuer data that cannot be resolved by the reconciliation process or Inbound 834 transactions.
Enterprise File Transfer	EFT	EFT refers to software solutions that facilitate the secure transfer of data from one computer to another through a network on an Enterprise level.
Exchange	N/A	An Exchange is a transparent and competitive insurance exchange where individuals and small businesses can buy qualified health benefit plans. Exchanges offer a choice of health plans that meet certain benefits and cost standards.
Extensible Markup Language	XML	XML is a set of rules for encoding documents in a machine-readable format.
Extensible Stylesheet Language	XSL	XSL refers to a family of languages used to transform and render XML documents.
Federal Exchange Program System	FEPS	The FEPS consists of an FFE, which serves the needs of individuals within States where those States do not have their own State-run Exchange, and the Hub, which provides common services and interfaces to federal agency information.

Term	Acronym	Definition
Federally Facilitated Exchange	FFE	An FFE serves the needs of individuals within states where those States do not have their own State-run health insurance exchange.
Federally Facilitated Small Business Health Options Program	FF-SHOP	FF-SHOPs provide tools and resources to assist employers, employees, agents, and brokers in evaluating coverage options available through the FF-SHOP, and selecting a health plan in states without SBEs. FF-SHOPs also support employers and small group Issuers by collecting a single, aggregated payment from each employer and distributing that payment to qualified health plan Issuers based on participating employee plan selections.
Government Printing Office	GPO	The GPO is an agency of the legislative branch that provides printing and binding services for Congress and the departments and establishments of the federal government.
Healthcare and Education Reconciliation Act	HCERA	The HCERA of 2010 combines revised portions of the PPACA with the Student Aid and Fiscal Responsibility Act, which amends the Higher Education Act of 1965.
Identifier	ID	An ID is a unique identifying set of characters assigned to a person or persons to ensure privacy and security on a computer system or network.
Implementation Environment	IMP	IMP is the environment where Integration Testing and assurance of components occurs.
Issuer	N/A	An Issuer issues insurance to an Applicant.
Medicaid	N/A	Medicaid is the federal system of health insurance for people requiring financial assistance.
Multidimensional Insurance Data Analytics System	MIDAS	MIDAS centralizes and consolidates business logic into a metadata repository required to report and manage performance of the ACA.
Office of Technology Solutions	OTS	See OIT.
Partner	N/A	Partners consist of Web Brokers and Issuers.
Patient Protection and Affordable Care Act	PPACA	The PPACA (also ACA) reforms certain aspects of the private health insurance industry and public health insurance programs, including increasing insurance coverage of pre-existing conditions and expanding access to insurance to Americans, while mandating an increase in total national medical expenditures.
Plain Writing Act of 2010	N/A	The Plain Writing Act of 2010 requires that federal employees use plain writing in every document the agency issues or substantially revises.

Term	Acronym	Definition
Preliminary Payment Report	PPR	The PPR is a report that the FEPS sends to the FFE and SBE Issuers for APTC/CSR, Risk Adjustment, and Reinsurance payment amounts. The report does not transmit to the FFE or SBE Issuers until CCIO approves the amounts.
Production Environment	PROD	The PROD is where an application or system resides that hosts actual/real data (as opposed to test data)
Public Health Service	PHS	The PHS is the primary division of the Department of Health and Human Services.
Qualified Health Plan	QHP	A QHP is an insurance plan an Exchange certifies that provides essential health benefits, follows established limits on cost-sharing (like deductibles, copayments, and out-of-pocket maximum amounts), and meets other requirements.
Quality Software Services, Incorporated	QSSI	QSSI delivers a broad range of solutions, with particular expertise in Security and Privacy, Software Engineering, and Health Information Technology.
Section 508	N/A	Section 508, of the American Rehabilitation Act, is a federal law mandating electronic and information technology (including documents) developed, procured, maintained, or used by the federal government be accessible to people with disabilities.
Small Business Health Options Program	SHOP	SHOP helps small businesses and millions of workers gain access to affordable small business and self-employed health coverage in States with SBEs.
State-Based Exchange	SBE	An SBE is a transparent and competitive insurance exchange within a specific State where individuals and small businesses can buy qualified health benefit plans. Exchanges offer a choice of health plans that meet certain benefits and cost standards.
Statement of Work	SOW	An SOW is a formal document that captures and defines the work activities, deliverables, and timeline a vendor executes in performance of specified work for a customer.
TA1 Segment	N/A	The TA1 segment is the interchange acknowledgement segment of an X12 document. This segment reports the receipt of the contents of one interchange control header and trailer envelope where that envelope surrounds one or more functional groups. This acknowledgment transfers between the interchange receiver and sender as addressed in the interchange header. The TA1 reports the results of the syntactical analysis of the interchange control header and trailer. There is no acknowledgment for the TA1, thereby preventing an endless loop of acknowledgments.
Test Environment	TEST	TEST is the environment where all testing of the system occurs.
Trading Partner	TP	A TP is a clearinghouse, qualified health plan Issuer, or SBE with which the FFE has an agreement to exchange information.

Term	Acronym	Definition
Unauthorized Enrollment Finder File	UEFF	CMS has developed criteria that could reasonably demonstrate if the enrollment identified by the consumer was unauthorized. The UEFF is a file containing a list of potentially unauthorized enrollments.
Unaffiliated I Record	UIR	A UIR is a record contained in a report that details UIRs.
ZIP File	N/A	ZIP is a file format for data compression and archiving. A ZIP file contains one or more compressed files that reduce file size.

## Appendix B - Referenced Documents

*Table 11 - Referenced Documents* lists documents and standards this document references or that are applicable to the development of this document.

**Table 11 - Referenced Documents**

Document Name	Date
Assuring Access to Affordable Coverage - Medicaid and CHIP Final Rule <a href="https://www.medicaid.gov/affordable-care-act/provisions/downloads/medicaidchip-eligibility-final-rule-fact-sheet-final-3-16-12.pdf">https://www.medicaid.gov/affordable-care-act/provisions/downloads/medicaidchip-eligibility-final-rule-fact-sheet-final-3-16-12.pdf</a>	March 16, 2012
Federal Exchange Program System (FEPS) DSH Statement of Work (SOW) - Modification 11 DSH_SOW_9MonthExtn	May 24, 2019
Hub Style Template DSH_Format_Template	May 2018
Making Documents Section 508 Compliant <a href="https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/Section508/508-Compliant-doc.html">https://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/Section508/508-Compliant-doc.html</a>	April 05, 2018
Plain Writing Act of 2010 <a href="https://plainlanguage.gov/law/">https://plainlanguage.gov/law/</a>	October 13, 2010
PPACA <a href="https://www.gpo.gov/fdsys/pkg/BILLS-111hr3590enr/pdf/BILLS-111hr3590enr.pdf">https://www.gpo.gov/fdsys/pkg/BILLS-111hr3590enr/pdf/BILLS-111hr3590enr.pdf</a>	March 23, 2010
Section 3.0 Deliverables DSH_SOW_9MonthExtn	May 24, 2019
U.S. Government Printing Office (GPO) Style Manual (30th Edition) <a href="https://www.gpo.gov/fdsys/pkg/GPO-STYLEMANUAL-2008/content-detail.html">https://www.gpo.gov/fdsys/pkg/GPO-STYLEMANUAL-2008/content-detail.html</a>	January 12, 2017

## Appendix C - Record of Changes

**Table 12 - Record of Changes**

Version	Date	Revision/Change Description
1.0	February 2013	DSH_DEV_EDF_FilenamingConventions
1.1	March 2013	DSH_DEV_EDF_FilenamingConventions Minor modification to diagrams and examples for inbound transactions
2.0	May 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
3.0	May 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
4.0	May 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
5.0	May 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
6.0	June 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
7.0	July 2013	DSH_DEV_EDF_FilenamingConventions Restructured function codes sections to keep information of same type of partner together
8.0	July 2013	DSH_DEV_EDF_FilenamingConventions Added function code GROP to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> Changed transaction code for 820 from 005010X218 to 005010X306
9.0	July 2013	DSH_DEV_EDF_FilenamingConventions Changes to file naming formats
10.0	August 2013	DSH_DEV_EDF_FilenamingConventions Removed F820 code; included D820 and S820 per latest developments Included function codes BAA, IBAA, and SBAA to support BAA Added function code FCSR01 for transmitting CSR advance payment amount Updated diagram to reflect proper function codes for both inbound and outbound sections

Version	Date	Revision/Change Description
11.0	December 2013	DSH_DEV_EDF_FilenamingConventions  Included function codes for pre-audit flat file OTPAUD under Issuers and FFE
12.0	January 2014	DSH_DEV_EDF_FilenamingConventions  Added function code CIC834 to support benefit enrollment CICs Added function code MISC to support miscellaneous transaction  <b>Note:</b> Both of these codes are applicable for outbound files only. The Hub does not expect any of these function codes in any inbound files.
13.0	March 2014	DSH_DEV_EDF_FilenamingConventions  Modified Time in inbound filenames to have milliseconds instead of one tenth of a second  Added new function code EGRP to support employee roster spreadsheet inbounds to CMS from Issuers  Modified internal file naming (applicable only within CMS system)
14.0	May 2014	DSH_DEV_EDF_FilenamingConventions  Added function code ID834 to support discrepancy report that is outbound from CMS to Reconciliation Contractor  Updated function code from D820 and S820 for payment advise individual market transaction to I820 and F820  Added function codes I820SER, F820SER, I820XER, and F820XER to support error reporting transactions for payment advise in individual market outbound from Hub to FFE  Added function code S820 for payment advise SHOP market transaction  Added function codes S820SER and S820XER to support error reporting transactions for payment advise in SHOP market outbound from Hub to payment aggregator  Added function codes EDBO and EDBI to support enrollment data baseline



Version	Date	Revision/Change Description
15.0	September 2014	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Updated for Section 508 compliance</p> <p>Removed AERR function code from inbound and outbound to CMS</p> <p>Replaced figure in <i>Section 3 - Filename Formats</i> with <i>Sections 3.1 - Filename Format for Files Received by External Entities (Outbound from CMS)</i> and <i>Section 3.2 - Filename Format for Files Sent by External Entities (Inbound to CMS)</i></p> <p>Updated comments sections for Function Code and Time in <i>Section 4 - Filename Restrictions</i></p> <p>Added function code I834AR to support auto re-enrollment transactions for Individual market to <i>Section 5.1 - Issuer-Related Transactions</i></p> <p>Added function code IA834 and SA834 to support monthly audit files for Individual and SHOP market to <i>Section 5.1 - Issuer-Related Transactions</i></p> <p>Removed Sections 5.2, 5.3, 5.4, 5.5, 5.6, 5.7, 5.8, and 6 (not relevant to Issuers/SBEs)</p>
16.0	December 2014	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function code SWTFL to support switch file</p> <p>Added function codes I834RT and S834 RT to support resending 834 transactions for Individual and SHOP market</p> <p>Added function code AUD15 to support pre audit flat file for 2015</p>
17.0	December 2014	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function codes RCNO15, RCNI15, and ISUIPA to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Updated <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Changed description of function code EDBI to Enrollment Data Baseline file for 2014 from Enrollment Data Baseline file in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Changed description of functions code EDBO from Enrollment Data Baseline to Enrollment Data Baseline/Reconciliation File for 2014 in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p> <p>Added function code ISUIPA for Incremental Pre-audit file and RCNO15 for Enrollment Data Reconciliation File for 2015 in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>

Version	Date	Revision/Change Description
18.0	February 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function code DATAM to support eligibility data mismatching issues <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p> <p>Added Eligibility Data Matching Issues File Transaction in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
19.0	April 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function codes I834MM and OP834T to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added 834 Mismatch Transaction to Issuers and 834 FFE Update Transaction to Issuers to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
20.0	June 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function codes SCRNI, SCRNO, and SERRS to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added Inbound SHOP Enrollment Reconciliation file and SHOP Enrollment Reconciliation Dispute Resolution Form (Issuer to FF-SHOP) to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added Outbound SHOP Enrollment Reconciliation file and SHOP Enrollment Reconciliation Dispute Resolution Form (FF-SHOP to Issuers) to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
21.0	July 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Changed inbound function code SERRS to SERRSI and outbound function code SERRS to SERRSO in <i>Table 4 - Issuer-Related Transactions</i></p> <p>Updated Inbound SHOP Enrollment Reconciliation File example in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Changed SHOP Enrollment Reconciliation Dispute Resolution Form (Issuer to FF-SHOP) file type from Extensible Stylesheet Language (XSL) to Text File; changed function code from SERRS to SERRSI; updated example in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p>

Version	Date	Revision/Change Description
21.0 continued	July 2015	<p>Changed Payment Order/Remittance Advice (820 Transaction) - Initial File for Individual Market to Preliminary Payment Reporting file for Individual Market; changed file type from EDI to Text File; changed transaction code to N/A in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p> <p>Changed SHOP Enrollment Reconciliation Dispute Resolution Form (FF-SHOP to Issuer) file type from XSL to Text File; changed function code from SERRS to SERRSO; updated example in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p> <p>Changed Payment Order/Remittance Advice (820 Transaction) - Initial File for SBE to Preliminary Payment Reporting for SBE, changed file type from EDI to Text File; changed transaction code to N/A in <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p>
21.1	October 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Updated CMS logo</p> <p>Removed contract-specific information</p>
22.0	December 2015	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added function codes AUD16, RCNO16, MSWTCH, GSWTCH, and RCNI16 to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added Enrollment Data Reconciliation File for 2016 to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added Pre-Audit Flat File for 2016, Enrollment Data Reconciliation File for 2016, Outbound Member Switch Records sent to Issuers for terminating members who did not renew SHOP Coverage with same Issuer Plans and Outbound Group Switch Records sent to Issuers for terminating groups who did not renew SHOP Coverage with same Issuer Plans to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
23.0	January 2016	<p>DSH_DEV_EDI_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added Inbound function codes ERRS, CSRI, CSRAI, and outbound function code CSRO to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added Enrollment Reconciliation Dispute Resolution Form for Individual Market, Cost Sharing Reduction Reconciliation DATA file for 2014 and 2015, Cost Sharing Reduction Reconciliation ATTESTATION file for 2014 and 2015 to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p>

Version	Date	Revision/Change Description
23.0 continued	January 2016	<p>Updated Application ID to CMS for SRCNI and SERRSI function codes in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added Outbound file to send Cost Sharing Reduction Reconciliation ERROR file for 2014 and 2015 to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
24.0	March 2016	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added Outbound function code ERRS to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Updated Application ID from CMS to COG for function code ERRS in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added Enrollment Reconciliation Dispute Resolution Form for Individual Market to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
25.0	June 2016	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Updated <i>Table 4 - Issuer-Related Transactions</i> with four function codes, ERRD, ERRL, ERRA, and WBK11A</p> <p>Updated <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i> with two new transactions, Payment Dispute Communication to CMS and 1A Workbooks Sent to CMS files</p> <p>Updated <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> with three new transactions, Semi-Monthly Detailed Report to Issuers, Payment Dispute Response to Issuers, and 1095A Workbooks to Issuers</p>

Version	Date	Revision/Change Description
26.0	August 2016	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Updated <i>Table 4 - Issuer-Related Transactions</i> with function code WBKO1A</p> <p>Updated file type for 1A Workbooks Sent to CMS in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Updated <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> with one new transaction Response for 1A Workbooks Sent by CMS</p> <p>Updated outbound transaction; added new inbound transaction WBKI1A in <i>Table 7 - SBE-Related Transactions</i></p> <p>Updated <i>Table 8 - Sample Filenames - Inbound to CMS from SBEs</i></p> <p>Added transaction, 1A Workbooks Sent to CMS in <i>Table 8 - Sample Filenames - Inbound to CMS from SBEs</i></p>
26.0 continued	August 2016	<p>Updated <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p> <p>Added new transaction Response for 1A Workbooks Sent by CMS in <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p>
27.0	November 2016	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added the following Issuer-related transactions to <i>Table 4 - Issuer-Related Transactions</i>:</p> <ul style="list-style-type: none"> <li>• Inbound: RCNI17</li> <li>• Outbound: 1094A4, 1095A6, 1095A7, ISIPA7, MISC7, ORPHN7, OVRLP7, RCNO17, AUD17, D820</li> </ul> <p>Added Enrollment Data Reconciliation File for 2017 to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added new transactions to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p> <p>Added SI820 (outbound transaction) to <i>Table 7 - SBE-Related Transactions</i></p> <p>Added new transaction with SI820 code to <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p>

Version	Date	Revision/Change Description
28.0	March 2017	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Changed all instances of MPEDI to EDI throughout document (including document filename)</p> <p>Replaced CMS Office of Technology Solutions (OTS) logo on cover page and in headers with Center for Consumer Information &amp; Insurance Oversight (CCIO) logo</p> <p>Added the following Issuer-related transactions to <i>Table 4 - Issuer-Related Transactions</i>:</p> <ul style="list-style-type: none"> <li>• Inbound: N/A</li> <li>• Outbound: PNR</li> </ul> <p>Added new Monthly Payee Information Report sent to all Issuer Payees transaction to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> with PNR code</p>
29.0	May 2017	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added outbound code IOUTRC to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added sample filename information for outbound code IOUTRC to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
29.1	May 2017	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added outbound code ERRUIR to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Added new UIR Reports to Issuers transaction to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>

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30.0	July 2017	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added outbound code EPSEXT to <i>Table 4 - Issuer-Related Transactions</i></p> <p>Replaced MPEDI with EDI in File Type columns in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i>, <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i>, <i>Table 8 - Sample Filenames - Inbound to CMS from SBEs</i>, and <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p> <p>Added new transaction, Enrollment extract provides financial information for SBEs and SBE Issuers to give insight into payments for upcoming payment cycle, to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> and <i>Table 9 - Sample Filenames - Outbound from CMS to SBEs</i></p>
31.0	August 2017	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added the following Issuer-related transactions to <i>Table 4 - Issuer-Related Transactions</i>:</p> <ul style="list-style-type: none"> <li>• Inbound: RCNI8</li> <li>• Outbound: ISIPA8, MISC8, AUD8, BARCN8, MOIPA8, RCNO8</li> </ul> <p>Updated examples for the following transactions in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i>:</p> <ul style="list-style-type: none"> <li>• Enrollment Data Baseline/Reconciliation File for 2014</li> <li>• Enrollment Reconciliation File for 2015</li> <li>• Enrollment Reconciliation File for 2016</li> <li>• Enrollment Reconciliation File for 2017</li> </ul> <p>Added Enrollment Reconciliation File for 2018 transaction to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Updated examples for the following transactions in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i>:</p> <ul style="list-style-type: none"> <li>• Enrollment Data Baseline/Reconciliation File for 2014</li> <li>• Enrollment Data Reconciliation File for 2015</li> <li>• Enrollment Data Reconciliation File for 2016</li> </ul>



Version	Date	Revision/Change Description
31.0 continued	August 2017	<p>Added the following transactions to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i>:</p> <ul style="list-style-type: none"> <li>• Enrollment Data Reconciliation File for 2016</li> <li>• Enrollment Data Reconciliation File for 2017</li> <li>• Incremental Pre-audit File to Issuers for 2018</li> <li>• Miscellaneous files to Issuers for 2018</li> <li>• Missing Outbound 834 Incremental Pre-Audit file to Issuers for 2018</li> <li>• Enrollment Pre-Audit File for 2017</li> <li>• Enrollment Pre-Audit File for 2018</li> <li>• Passive Cancel or Carry-Forward Cancel Incremental Pre-Audit files to Issuers 2018</li> </ul> <p>Updated the following transactions in <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i>:</p> <ul style="list-style-type: none"> <li>• Incremental Pre-audit File to Issuers</li> <li>• Missing Outbound 834 Finder file to Issuers for 2017</li> <li>• Enrollment Pre-Audit File for 2014</li> <li>• Enrollment Pre-Audit File for 2015</li> <li>• Enrollment Pre-Audit File for 2016</li> </ul>
32.0	January 2018	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Replaced Federal Data Services Hub (Federal DSH) with Hub</p> <p>Removed Marketplace from Marketplace Electronic Data Interchange</p> <p>Replaced Marketplace with Exchange</p> <p>Made the following changes to the Inbound column in <i>Table 4 - Issuer-Related Transactions</i>:</p> <ul style="list-style-type: none"> <li>• Replaced N/A with RCNI16</li> <li>• Replaced N/A with RCNI17</li> <li>• Replaced RCNI15 with N/A</li> <li>• Replaced RCNI16 with N/A</li> <li>• Replaced RCNI17 with RCNI15</li> </ul> <p>Added ERRZ to Outbound column in <i>Table 4 - Issuer-Related Transactions</i></p> <p>Changed all instances of MID as an Application ID to RCR in <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added Payment Updates Semi-Monthly Reports send to Issuers from ER&amp;R Contractor Transaction to <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>



Version	Date	Revision/Change Description
33.0	February 2018	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Added new transaction to <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i></p> <p>Added two transactions at the end of <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
34.0	September 2018	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Added new function codes to <i>Table 4 - Issuer-Related Transactions</i> for outbound and inbound transactions</p> <p>Added new transaction under <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i> for function code RCNI9</p> <p>Added new transactions under <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i> for function codes</p>
35.0	August 2019	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Added new function codes to <i>Table 4 - Issuer-Related Transactions</i> for outbound and inbound transactions</p> <p>Added new transaction under <i>Table 5 - Sample Filenames - Inbound to CMS from Issuers</i> for function code</p> <p>Added new transactions under <i>Table 6 - Sample Filenames - Outbound from CMS to Issuers</i></p>
35.1	September 2019	<p>DSH_DEV_EDF_FilenamingConventions</p> <p>Various font, grammatical, punctuation, shading, formatting, date, version, pagination, glossary, and alignment corrections</p> <p>Updated introduction per CMS (Peter Nelson)</p>