

IC834 Maintenance for Issuer Assigned IDs



- *Introduction to Inbound Maintenance*
- *Preparing Inbound Maintenance Transactions*
- *New IC834 BAA Errors and Warnings*
 - Scenarios
 - Troubleshooting
- *Changes to PO-IC834 Reporting*
- *Issuer Testing*

08/24/2017

IC834 – Transaction Types

Issuers currently respond with a Inbound Confirmation 834 (IC834) ASC X12 for the following transactions:

- **Effectuation:** transaction confirming receipt of payment, marking the policy as active
- **Termination:** transaction ending coverage of an “active” policy
- **Cancellation:** transaction ending coverage of a “never active” policy

Since **July 30, 2017** Issuers are able to send in the following:

- **Maintenance:** transaction to an effectuated¹ policy to update certain² policy information

¹ Issuers are permitted to send maintenance transactions for terminated policies that were once effectuated

² At this time, only Issuer Assigned ID updates (Policy, Subscriber, and Member) will be accepted via Inbound Maintenance

IC834 – Transaction Order Sequence

- The following table includes information on the acceptable order of transaction sequence through IC834
- Maintenance transactions will only be accepted for effectuated policies

Existing Policy Status in FFM

IC834 Transaction Type request	Existing Policy Status in FFM				
	Initial	Effectuated	Terminated		Cancelled
			Initial	Effectuated	
Effectuation	Accepted	Rejected	Accepted	Rejected	Rejected
Cancellation	Accepted	Accepted	Accepted	Accepted	Rejected
Termination	Accepted	Accepted	Accepted*	Accepted*	Rejected
Maintenance	Rejected	Accepted	Rejected	Accepted	Rejected

* End date must be less than current end date

IC834 – Inbound Maintenance Codes

- The following code combinations on an IC834, identify the transaction as ***Maintenance***

IF Maintenance Type Code (INS03)	AND Maintenance Reason Code (INS04)	AND Additional Maintenance Reason Code (2750 Loop)	THEN Transaction Type (derived by FFM)
001	25	ISSUER MAINT	MAINTENANCE
001	<i>Null*</i>	NO CHANGE	MAINTENANCE

*Null implies no value

IC834 – X12 – Assigned IDs

- Exchange Assigned IDs
 - Policy ID – REF*1L
 - Subscriber ID – REF*OF
 - Member ID – REF*17
- Issuer Assigned IDs (Current)
 - Policy ID – REF*X9
 - Subscriber ID – REF*ZZ
 - Member ID – REF*23
- Issuer Assigned IDs (Prior) – **NEW**
 - Policy ID – REF*XM
 - Subscriber ID – REF*ABB
 - Member ID – REF*Q4

IC834 Maintenance – Sample X12

- Below are fields that can be updated to send an IC834 Maintenance transaction

Issuer Outbound Effectuation 834 (IC834)		Issuer Outbound Maintenance 834 (IC834)
ISA*00* *00* *ZZ*D100000001 *ZZ*CMSFFM *150825*1035*^*00501*000000149*1*T*~ GS*BE*12345MI0112012*MI0*20150825*1035*228*X*005010X220A1~ ST*834*1111112*005010X220A1~ BGN*00*1111112*20150825*103538*ET***2~ QTY*TO*2~ QTY*DT*1~ N1*P5*John*FI*123456789~ N1*IN*ABC issuer*FI*987654321~ INS*Y*18*021*28*A***AC~ REF*OF*1234567890~ REF*17*1234567890~ REF*ZZ*2234567890~ REF*23*2234567890~ REF*6O*MI10000098002~ ... N1*75*ADDL MAINT REASON~ REF*17*CONFIRM~ DTP*007*D8*20150901~ ... LX*10~ N1*75*RATING AREA~ REF*9X*R-MI001~ DTP*007*D8*20150901~ LE*2700~ INS*N*01*021*28*A~ REF*OF*1234567890~ REF*17*1234567891~ REF*23*2234567891~ REF*ZZ*2234567890~ DTP*356*D8*20150901~	Change INS03/INS04 for Subscriber Update REF*ABB (Prior Issuer Assigned Subscriber ID) Update REF*ZZ (New Issuer Assigned Subscriber ID) Update REF*Q4 (Prior Issuer Assigned Member ID) Update REF*23 (New Issuer Assigned Member ID) Change ADDL MAINT REASON Value for the Subscriber Change INS03/INS04 for Dependents Update REF*23/REF*ZZ for Dependents (if needed)	ISA*00* *00* *ZZ*D100000001 *ZZ*CMSFFM *150825*1035*^*00501*000000149*1*T*~ GS*BE*12345MI0112012*MI0*20150825*1035*228*X*005010X220A1~ ST*834*1111112*005010X220A1~ BGN*00*1111112*20150825*103538*ET***2~ QTY*TO*2~ QTY*DT*1~ N1*P5*John*FI*123456789~ N1*IN*ABC issuer*FI*987654321~ INS*Y*18*001*25*A***AC~ REF*OF*1234567890~ REF*17*1234567890~ REF*ABB*2234567890~ REF*ZZ*2111098890~ REF*Q4*2234567890~ REF*23*2111098890~ REF*6O*MI10000098002~ ... N1*75*ADDL MAINT REASON~ REF*17*ISSUER MAINT~ DTP*007*D8*20150901~ ... LX*10~ N1*75*RATING AREA~ REF*9X*R-MI001~ DTP*007*D8*20150901~ LE*2700~ INS*N*01*001*Null*A~ REF*OF*1234567890~ REF*17*1234567891~ REF*23*2234567891~ REF*ZZ*2234567890~ DTP*356*D8*20150901~

IC834 Maintenance - X12 (Cont.)

<pre> ... REF*CE*12345MI011201201~ REF*X9*12345673~ LS*2700~ LX*1~ N1*75*SOURCE EXCHANGE ID~ REF*17*MI0~ DTP*007*D8*20140121~ LX*2~ N1*75*ADDL MAINT REASON~ LS*2700~ LX*1~ N1*75*SOURCE EXCHANGE ID~ REF*17*MI0~ DTP*007*D8*20140121~ LX2~ N1*75*ADDL MAINT REASON~ REF*17*CI~ DTP*007*D8*20150901~ ... LX*5~ N1*75*APPLICATION ID AND ORIGIN REF*6M*378492756-1 DTP*007*D8*20150901 LE*2700~ SE*96*1111111~ GE*1*227~ IEA*1*000000148~ </pre>	Update REF*XM (Prior Issuer Assigned Policy ID) Update REF*X9 (New Issuer Assigned Policy ID) Change ADDL MAINT REASON Value for the Dependents	<pre> ... REF*CE*12345MI011201201~ REF*XM*12345673~ REF*X9*09982073~ LS*2700~ LX*1~ N1*75*SOURCE EXCHANGE ID~ REF*17*MI0~ DTP*007*D8*20140121~ LX*2~ N1*75*ADDL MAINT REASON~ LS*2700~ LX*1~ N1*75*SOURCE EXCHANGE ID~ REF*17*MI0~ DTP*007*D8*20140121~ LX2~ N1*75*ADDL MAINT REASON~ REF*17*NO CHANGE~ DTP*007*D8*20150901~ ... LX*5~ N1*75*APPLICATION ID AND ORIGIN REF*6M*378492756-1 DTP*007*D8*20150901 LE*2700~ SE*96*1111111~ GE*1*227~ IEA*1*000000148~ </pre>
---	--	---

IC834 Maintenance – Rules

Sending Prior and New Issuer IDs

- New elements have been added to support updates to Issuer Assigned IDs
 - ‘PreviousSubscriberID’ under ‘MemberAdditionalIdentifier’
 - ‘PreviousInternalControlNumber’ under ‘HealthPolicyCoverageInformation’
- If an Issuer is attempting to update any Issuer Assigned IDs for a policy, the IC834 transaction should contain both the **prior** and **new** value within the appropriate fields
 - **Prior** = Current value in the FFM
 - **New** = Value the Issuer is attempting to update
- For any Issuer Assigned ID that is not associated with a change, an Issuer should provide the *prior value alone*
- An Issuer should not send member level information if no changes are required to Issuer IDs for members on a policy

IC834 Maintenance – Rules (2)

Updating Member IDs

If an Issuer is attempting to update a member,

- for the Subscriber
 - Subscriber details will be required
 - For Issuer-Assigned Subscriber ID changes,
 - if **no changes**, use 01/null/NO CHANGE
 - if **changes**, use 001/25/ISSUER MAINT and include the old (if any) and new Issuer Assigned ID
 - The Exchange Assigned Subscriber ID should persist across members included in the Inbound Maintenance transaction
- for Non-Subscribers/Dependents
 - The transaction should only contain dependents requiring updates
 - Dependents associated with no change should not be sent on the IC834 to the FFM, unless the member is a subscriber (An Issuer will receive a BAA error if any “no change” members are included in the transaction)
 - The Exchange Assigned Member ID will be required to match to the specific member that requires updates

IC834 Maintenance – Primary Matching Rules

- IC834 Maintenance processing will be similar to other transaction types including primary and secondary matching
- IC834 Maintenance transactions must pass primary matching for the following fields
 - FFM Exchange Assigned Policy ID (rejection error = E093)
 - Exchange Assigned Subscriber ID (rejection error = E050)
 - QHP ID (rejection error = E093)
 - Policy Start Date (rejection error = E046)

IC834 Maintenance – Errors – Policy Status

- Since Inbound maintenance transactions are only accepted for effectuated policies, submitting for a non-effectuated policy (Initial and Cancelled respectively) will result in the following BAA errors (in this order):

BAA Error Codes				Rejection Reasons
Error Code	Error Reason	Element in Error	MDC	
E095	Business Process transaction out of sequence			Current Policy status is in Initial status in the FFM
E146	Maintenance Transaction			
E134	Cannot be processed for non-Effectuated Policy			
E095	Business Process transaction out of sequence			Current Policy status is in Cancelled status in the FFM
E146	Maintenance Transaction			
E133	Cannot be processed for Cancelled Policy			

Note: These new codes do not impact the existing E095 BAA error code. Issuers will continue to receive this error along with the new codes for the maintenance transaction type.

IC834 Maintenance – Errors – Invalid Update

- The following error codes will be generated when performing maintenance for an Issuer-Assigned ID if the IC834 transaction:
 - Indicates “No Change” but the value does not match what is in the FFM
 - Indicates “Issuer Maint” but the value does match what is in the FFM

BAA Error Codes				Rejection Reasons
Error Code	Error Reason	Element in Error	MDC	
E146	Maintenance transaction			Requested ‘Issuer Maint’ but the IC834 value already matches the FFM value
E142	Action Results Already Match Current Information on File			
E146	Maintenance transaction			Requested ‘No change’ but the IC834 value does not match the FFM value
E143	Action Results DO NOT Match Current Information on File			

IC834 Maintenance – Errors – Prior Issuer ID

- The following error codes will be generated when performing maintenance for an Issuer-Assigned ID if the IC834 transaction:
 - Indicates a change but contains a prior Issuer Assigned ID that matches the new Issuer Assigned ID

BAA Error Codes				Rejection Reasons
Error Code	Error Reason	Element in Error	MDC	
E141	Issuer Prior Assigned			Requested 'Issuer Maint' but Prior Issuer Assigned Policy Id value in the FFM is same as the Current value
E146	Maintenance transaction			
E135	Policy ID	Issuer Assigned Policy ID		
E046	Not Matching			
E141	Issuer Prior Assigned			Requested 'Issuer Maint' but Prior Issuer Assigned Subscriber Id value in the FFM is same as the Current value
E146	Maintenance transaction			
E136	Subscriber ID	Issuer Assigned Subscriber ID		
E046	Not Matching			
E141	Issuer Prior Assigned			Requested 'Issuer Maint' but Prior Issuer Assigned Member Id value in the FFM is same as the Current value
E146	Maintenance transaction			
E137	Member ID	Issuer Assigned Member ID		
E046	Not Matching			

IC834 Maintenance - Errors – Additional

- The following error codes will be generated if the IC834 transaction:

BAA Error Codes				Rejection Reasons
Error Code	Error Reason	Element in Error	MDC	
E140	Issuer Assigned			For Maintenance or Effectuation, the Issuer Assigned Subscriber ID at the subscriber level does not match the Issuer Assigned Subscriber ID, if present, at the member level
E136	Subscriber ID			
E046	Not Matching			
E083	Situational prohibited element is present	PreviousInternalControlNumber		Effectuation transaction sent with Prior Issuer Assigned ID value for Subscriber ID, Policy ID, and/or Member ID.
		PreviousSubscriberID		
		PreviousMemberID		
E035	Situational required element is missing	InternalControlNumber		Issuer Assigned ID (Policy, Subscriber, Member) is missing at the member level on Maintenance transactions
		IssuerAssignedSubscriberID		
		IssuerAssignedMemberID		

IC834 Maintenance – Warning Rules

- For “No Change” requests, if an Issuer Assigned field in an IC834 Maintenance transaction differs from what is in the FFM, FFM will assume the Issuer has the most up-to-date value and update the FFM
- Since the update will be successful, an Accepted BAA will be generated but the difference will be noted through **Warning(s)**
- While re-submission may not be necessary, CMS requests Issuers review all Warning codes on the BAAs or PO Reports*
 - A higher than normal number of warnings may indicate a potential system or submission concern

* See Slide “Future Impacts – PO Reports” for further detail

IC834 Maintenance – Warnings - List

BAA Error Codes			Outcome
Code	Warning Reason	Element in Error	
W146	Maintenance transaction		Maintenance IC834 transaction sent where IC834 value for Issuer Assigned Policy ID does not match the FFM value. Policy is updated with IC834 value.
W140	Issuer Assigned		
W135	Policy ID	Issuer Assigned Policy ID	
W143	Action Results DO NOT Match Current Information on File		
W146	Maintenance transaction		Maintenance IC834 transaction sent where IC834 value for Issuer Assigned Subscriber ID does not match the FFM value. Policy is updated with IC834 value.
W140	Issuer Assigned		
W136	Subscriber ID	Issuer Assigned Subscriber ID	
W143	Action Results DO NOT Match Current Information on File		
W146	Maintenance transaction		Maintenance IC834 transaction sent where IC834 value for Issuer Assigned Member ID does not match the FFM value. Policy is updated with IC834 value.
W140	Issuer Assigned		
W137	Member ID	Issuer Assigned Member ID	
W143	Action Results DO NOT Match Current Information on File		

IC834 Maintenance – Example 1

- **Scenario:** Issuer sends a IC834 Maint with a 01/null/NO CHANGE combination for the Subscriber
- **Issue:** The submitted Issuer Assigned Subscriber ID (REF*ZZ) does not match the value in the FFM system
- **Result:**
 - FFM accepts* the transaction and updates the Issuer Subscriber ID
 - Generates and sends BAA warnings
 - W146 “Maintenance Transaction”
 - W140 “Issuer Assigned”
 - W136 “Subscriber ID”
 - W143 “Action Results do not match current information on file”

Issuer Outbound (IC834 Maint)

```

ISA*00*          *00*          *ZZ*576601  *ZZ*CMSFFM
GS*BE*12345MI0112012*MI0*20150825*1035*228*X*005010X220A1~
ST*834*1111112*005010X220A1~
BGN*00*1111112*20150825*103538*ET***2~
QTY*TO*2~
N1*P5*John*FI*123456789~
...
INS*Y*18*001*NULL*A***AC~
REF*OF*1234567890~
REF*17*1234567890~
REF*ABB*3001568835
REF*23*2904511823
REF*ZZ*2234567890
...
DTP*303*D8*20170803
...
N1*75*ADDL MAINT REASON
REF*17*NO CHANGE
DTP*007*D8*20150901
LX*10
LE*2700
SE*96*1111111
GE*1*227~
IEA*1*000000148
  
```

* Assuming no other errors

IC834 Maintenance – Example 2

- **Scenario:** Issuer sends a Maintenance IC834 with the combination of 001/25/ISSUER MAINT for the Subscriber.
- **Issue:** Previous Issuer Assigned Subscriber ID (REF*ABB) is the same as the New Issuer Assigned Subscriber ID (REF*ZZ)
- **Result:**
 - Transaction rejected by FFM
 - FFM generates and sends BAA error codes
 - E141 “Issuer Prior Assigned”
 - E146 “Maintenance transaction”
 - E136 “Subscriber ID,”
 - E046 “Not Matching”

Issuer Outbound (IC834 Maint)			
ISA	*00*	*00*	*ZZ*45456 *ZZ*CMSFFM
GS	*BE*	23456GA0010009	*GA0*20170714*1058*5002*X*005010X220A1
ST	*834*	5003*005010X220A1	
BGN	*00*	5007*20170714*222038	*ET***2
QTY	*TO*	1	
N1	*P5*	PATRICK BARNES	*94*0001115794

INS	*Y*	18*001*25*A***AC	
REF	*0F*	0001115794	
REF	*17*	0001115794	
REF	*ABB*	2234567111	
REF	*23*	2234567111	
REF	*ZZ*	2234567111	

DTP	*303*	D8*20170714	

N1	*75*	ADDL MAINT REASON	
REF	*17*	ISSUER MAINT	
DTP	*007*	D8*20170101	
LX	*10		
LE	*2700		
SE	*140*	5003	
GE	*1*	5002	
IEA	*1*	100005001	

IC834 Maintenance – Example 3

- **Scenario:** Issuer sends a Maintenance IC834 with a mismatched Issuer Assigned Subscriber ID for Subscriber and Member.
- **Issue:** Issuer Assigned Subscriber ID needs to match with Issuer Assigned Subscriber ID at the Member level.
- **Result:**
 - Transaction rejected by FFM
 - FFM generates and sends BAA error codes
 - E140 “Issuer Assigned”
 - E136 “Subscriber ID,”
 - E046 “Not Matching”

Issuer Outbound (IC834 Maint)			
ISA*00*	*00*	*ZZ*12345	*ZZ*CMSFFM
GS*BE*12345IN0010004	INO*20170512*1631	*6111*X*005010X220A1	
ST*834*61113	*005010X220A1		
BGN*00*707423	*20170512*132006	ET***2	
QTY*TO*2			
QTY*DT*1			

INS*Y*18*001**A***AC			
REF*0F*0000053552			
REF*17*0000053552			
REF*ZZ*1150123568			
REF*23*1150123568			
REF*60*IN00000014738			
DTP*356*D8*20170601			

INS*N*01*001**A***AC			
REF*0F*0000053552			
REF*17*0000053552			
REF*ZZ*1150123111			
REF*23*1150123111			
REF*60*IN00000014738			
DTP*356*D8*20170601			

IC834 Maintenance –Troubleshooting

The following tools can help you troubleshoot your transactions

- BAAs
 - Both Accepted BAAs (with Warnings) and Rejected BAAs will contain error codes, error descriptions, the element in error and in some cases the MDC (Modified Data content i.e. actual value in the FFM).
- PO Report
 - The Summary Reports shares statistics on the total and types of errors
 - The Detailed Report shows, on a transaction level, the error details including the field values that mismatch

Exchange_Plcy_Id_F FM_VAL	Exchange_Policy_Id_ Ic834_Value	Exchange_Assigned_Sub scriber_Id_FFM_Value	Exchange_Assigned_Sub scriber_Id_Ic834_Value	TRANS_UPDT_STUS	BAA_ERR_CDS
				Rejected	EXXX, EXXX, WXXX etc.

CMS recommends Issuers resubmit any Maintenance rejections through Inbound834, whenever possible. Resubmissions can also occur via the monthly Reconciliation process.

IC834 Maintenance – Issuer Testing

- Issuers may choose to utilize the IMPL environments to test Inbound Maintenance transactions
- To ensure both system and people resources are available to support, before beginning testing, please perform the following:
 - Send an e-mail to Inbound834@bah.com
 - Subject: “IC834 Maintenance Testing”
 - Please include your Trading Partner ID, HIOS ID, and testing POC (name and email address)
- The Inbound team will ensure you have support throughout your testing process