Employment Standards Division

STATE OF MONTANA

EDI Implementation Guide

State of Montana
Department of Labor and Industry
Employment Standards Division
Data Management Section
301 South Park Ave, Helena MT 59601

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This guide contains Montana specific EDI information. It is a companion to the International Association of Industrial Accident Boards and Commissions (IAIABC), EDI Implementation Guide, Release 1. You may download the IAIABC EDI Implementation Guide from their web site: www.iaiabc.org or you may contact them: IAIABC at 7780 Elmwood Ave, Suite 207, Middleton, WI 53562, Phone: (608) 841-2017

The Workers Compensation Database

During the 1993 legislative session, Representative Chase Hibbard introduced legislation that created the workers' compensation database. The bill gave Montana its first opportunity to collect and analyze data pertaining to many areas of workers compensation.

The law mandated data collection from insurers, employers, medical providers, claimants, adjusters, rehabilitation providers and the legal profession. The data provides management information to the legislative and executive branches for the purpose of making policy and management decisions, including:

- performance information to identify quality, cost control issues and control abuse;

- trend information on medical, indemnity and rehabilitation costs and usage;

- litigation and attorney involved data to identify trends, problems and costs of legal involvement.

Initial development of the database was completed on April 17, 1995. The database now provides information from the FROI, SROI, independent contractors, Uninsured Employer's Fund, policy coverage, attorney fee agreements, and settlements.

Introduction To Electronic Data Interchange

EDI is the computer-to-computer exchange of standard business data using telecommunications.   The Electronic Data Interchange (EDI) affords insurers and the Department of Labor and Industry (DLI) Employment Standards Division (ESD) a method of exchanging workers compensation information electronically. EDI is fast, accurate, reliable, and cost effective. Many insurers nationwide use EDI routinely and ESD has worked hard to make this service available for Montana's workers' compensation system.

At this time the department receives First Report of Injury (FROI) and Subsequent Report of Injury (SROI) information from insurers and sends electronic acknowledgments each time data is received. Other data may be added as the national standards are developed.

Insurers who send 50 or more FROIs in the preceding calendar year are mandated by Montana Rule to report electronically. Insurers who agree to send data electronically sign a trading partner agreement with the department, which includes testing the reporting system to determine whether the transmission mechanism is acceptable. They maintain an agreed upon level of accuracy of data and re-send any data that is incorrect.

Getting Started

The following is a Claims Administrators Guide for how to start using EDI for reporting Montana's Workers Compensation First Reports of Injury and Subsequent Reports of Injury. The members of the IAIABC EDI Committee developed the guide for claim administrators and the Montana Department of Labor and Industry (DLI) Employment Standards Division (ESD) has modified this guide for Montana's Workers Compensation System and its needs.

The benefits to reporting EDI are:

- Timeliness and accuracy of data reporting
- Reduction of paperwork
- One time data entry
- Reduced errors, improved error detection
- On-line data storage
- Faster management reporting
- Automatic reconciliation
- Reduced clerical workload and telephone calls/communication
- High productivity without increasing staff

More timely communications

- Rapid exchange of business data
- Elimination of mail charges, courier services
- Improved production cycle

Uniform communications with all trading partners

- Following a national standard
- Allows for inter-state comparison of data

Cost of using EDI

In 2011, the IAIABC implemented a licensing program to protect the IAIABC's copyrighted standards, provide ongoing and sustainable support for the program, spread the costs more equitably among users of the standards, and encourage IAIABC EDI and Jurisdictional membership. IAIABC licensing information can be found on their website.

https://www.iaiabc.org/licensing

Upon payment of annual licensing fees, the licensee enters into the EDI Member and Data Reporter License with the IAIABC.

Implementing EDI

Preparation and Business Processes

Review all EDI tables available in this document as well as the IAIABC website, https://www.iaiabc.org/edi-claims. Montana is currently on EDI Claims Release 1.0. The IAIABC Implementation Guide for releases 1.0 can be found here: https://resources.iaiabc.org/EDI-Claims-1-0-Implementation-Guide/

Specifically, review the Edit Matrix, Event Table, Data Dictionary, and File Format document. Trading Partners (TPs) are strongly encouraged to pre-edit data to be reported to the department to ensure mandatory or conditional fields are appropriately reported. This saves time and effort in the long run for you and helps TPs maintain their 95% EDI percentage requirement.

When you are ready to start sending EDI data, complete the Trading Partner Agreement and Attachment and the Trading Partner Profile – Sender's Response.

Technology Solutions
- ❖ Examine and evaluate hardware and software requirements and options.
    - o Acquire Third Party Software to perform workers' compensation data extraction and transmission of reports over a network or
    - o Develop in-house written software to perform the above or
    - o Use third party services to convert your paper reports to electronically transmit the information to DLI/ESD
- ❖ Choice of format: Flat Format is the only format Montana accepts
- ❖ Choice or transmission options: VAN, FTP, or Third-Party Administrator.

Completion of Trading Partner Agreement

- ❖ Obtain a copy of Montana DLI/ESD Trading Partner Agreement.
- ❖ Obtain authorization from legal bureau for use of Trading Partner Agreement.
- ❖ Master Trading Partner Profile.
- ❖ Complete Transmission Specifications.
- ❖ Review Montana Report Submission Table.
- ❖ Review element requirements.
- ❖ Review MCO Tables.

Programming

- ❖ Develop an interface to load EDI information into your database.
- ❖ Develop edits on EDI information.
- ❖ Contact software vendors.
- ❖ Develop method of extracting the proper transactions to send per the rules and triggers in the trading partner table.

Implementation Scheduling

- ❖ Contact DLI/ESD and request EDI information such as triggers, rules, etc.
- ❖ Trading partner
    - o Education
    - o Begin Trading Partner Agreement
- ❖ Test status
    - o Send test FROI   Send test SROI
    - o Review test data   Review test data
    - o Provide feedback   Provide feedback
    - o Repeat until 90% accurate   Repeat until 90% accurate

    Trading Partners must achieve at minimum a 90% acceptance rate on electronic reports on 3 batches containing at least 10 unique transactions.

    Production status
    - o Receive letter from DLI/ESD granting production status.
    - o Discontinue sending hard copy FROIs and SROIs and begin electronic transmission on the date agreed upon.

First Report of Injury - Release 1 - MCO Table
M – Mandatory   C – Conditional   O - Optional

DATA NUMBER	ELEMENTS	REQ
0001	**Transaction Set ID**	**M**
0002	**Maintenance Type Code**	**M**
0003	**Maintenance Type Code Date**	**M**
0004	**Jurisdiction**	**M**
0005	Agency Claim Number	O
0006	**Insurer FEIN**	**M**
0007	**Insurer Name**	**M**
0008	Third Party Administrator FEIN [1]	O
0009	Third Party Administrator Name	O
0010	Claim Administrator Address LINE 1	O
0011	Claim Administrator Address LINE 2	O
0012	Claim Administrator City	O
0013	Claim Administrator State	O
0014	Claim Administrator Postal Code	O
0015	**Claim Administrator Claim Number**	**M**
0016	**Employer FEIN**	**M**
0017	Insured Name	O
0018	**Employer Name**	**M**
0019	Employer Address LINE 1	O
0020	Employer Address LINE 2	O
0021	**Employer City**	**M**
0022	Employer State	O
0023	Employer Postal Code	O
0024	Self Insured Indicator	O
0025	Industry Code [2]	O
0026	Insured Report Number	O
0027	Insured Location Number	O
0028	Policy Number	O
0029	Policy Effective	O
0030	Policy Expiration	O
0031	**Date of Injury**	**M**
0032	Time of Injury	O
0033	Postal Code of Injury Site	O
0034	Employers Premises Indicator	O
0035	**Nature of Injury Code**	**M**
0036	**Part of Body Injured Code**	**M**
0037	**Cause of Injury Code**	**M**
0038	Accident Description/Cause [1]	O
0039	Initial Treatment	O

0040	Date Reported to Employer	O
0041	Date Reported to Claim Administrator	O
0042	**Social Security Number**	**M**
0043	**Employee Last Name**	**M**
0044	**Employee First Name**	**M**
0045	Employee Middle Initial	O
0046	Employee Address Line 1	O
0047	Employee Address Line 2	O
0048	**Employee City**	**M**
0049	**Employee State**	**M**
0050	**Employee Postal Code**	**M**
0051	Employee Phone	O
0052	Employee Date of Birth [1]	O
0053	Gender Code [1]	O
0054	Marital Status Code	O
0055	Number of Dependents	O
0056	Date Disability Began	O
0057	Date of Death	O
0058	Employment Status Code	O
0059	**Class Code**	**M**
0060	Occupation Description	O
0061	Date of Hire	O
0062	Wage	O
0063	Wage Period	O
0064	Number of Days Worked	O
0065	Date Last Day Worked	O
0066	Full Wages Paid for Date of Injury Indicator	O
0067	Salary Continued Indicator	O
0068	Date of Return to Work	O

Although Third Party Administrator FEIN, Employee Date of Birth, Gender Code and Accident Description/Case are listed as Optional fields, we respectfully request these fields to be sent with valid values. The fields aid us in workers' compensation studies and data quality endeavors.

If you send Industry Code, please only send NAICS. If you do not know the NAICS code, please leave it blank. (Effective 4-1-09).

Montana does not return TE (Transaction Accepted with Errors) on acknowledgements at this time so we would not expect any SROIs sent with Maintenance Type Code of CO.

SROI Mandatory, Conditional, Optional (MCO Table)
M – Mandatory   C – Conditional   O - Optional

DN#	ELEMENT NAME	REQ
0001	**Transaction Set ID**	**M**
0002	**Maintenance Type Code**	**M**
0003	**Maintenance Type Code Date**	**M**
0004	**Jurisdiction**	**M**
0005	**Agency Claim Number**	**M**
0006	**Insurer FEIN**	**M**
0008	Third Party Administrator FEIN	O
0014	Claim Administrator Postal Code	O
0015	**Claim Administrator's Claim Number**	**M**
0026	Insured Report Number	O
0031	**Date of Injury**	**M**
0042	**Social Security Number**	**M**
0055	Number of Dependents *Conditional with 57, 82, 97; See below*	C
0056	**Date Disability Began**	**M**
0057	Employee Date of Death *Conditional with 55, 82, 97; See below*	C
0062	**Wage**	**M**
0063	**Wage Period**	**M**
0064	Number of Days Worked	O
0067	Salary Continued Indicator	O
0069	Pre-existing Disability	O
0070	Date of Maximum Medical Improvement *See below*	C
0071	Return to Work Qualifier *Conditional with 72; See below*	C
0072	Date of Return/Release to Work *Conditional with 71; See below*	C
0073	**Claim Status**	**M**
0074	**Claim Type**	**M**
0075	**Agreement to Compensate Code**	**M**
0076	Date of Representation	O
0077	Late Reason Code	O
0078	Number of Permanent Impairments	O
0079	Number of Payment/Adjustments *Conditional with 85 if >0*	C
0080	Number of Benefit Reductions *Conditional with 92 if >0*	C
0081	Number of Paid to Date/Reduced Earnings/Recoveries *Conditional with 95 if >0*	C
0082	Number of Death Dependent/Payee Relationships *Conditional with 55,57, 97*	C
0083	Body Part Code *Conditional with 84*	C
0084	Permanent Impairment Percent *Conditional with 83*	C
0085	Payment/Adjustment Code *See below*	C

DN#	ELEMENT NAME	REQ
0086	Payment/Adjustment Paid to Date *See below*	C
0087	Payment/Adjustment Weekly Amount *See below*	C
0088	Payment/Adjustment Start Date *See below*	C
0089	Payment/Adjustment End Date *See below*	C
0090	Payment/Adjustment Weeks Paid *See below*	C
0091	Payment/Adjustment Days Paid *See below*	C
0092	Benefit Adjustment Code *See below*	C
0093	Benefit Adjustment Weekly Amount *Conditional with 92,94*	C
0094	Benefit Adjustment Start Date *Conditional with 92,93*	C
0095	Paid to Date/Reduced Earnings/Recoveries Code *See below*	C
0096	Paid to Date/Reduced Earnings/Recoveries Amount *See Below*	C
0097	Dependent/Payee Relationship *Conditional with 55 & 57*	C

Explanation of Mandatory Conditionals:
- If Employee dies as a result of the injury, then Date of Death (DN57), Number of Dependents (DN55), Number of Death Dependent/Payee Relationships (DN82), and Dependent/Payee Relationship (DN97) must all have data.
- If Employee is released to or returns to work after paid disability, then Return to Work Qualifier (DN71) and Date Return/Release to Work (DN72) must both have data.
- If Employee receives a permanent impairment rating, then Permanent Impairment Body Part Code (DN83) and Permanent Impairment Percent (DN84) must both have data.
- If Employee is determined to be at Maximum Medical Improvement (MMI), then Date of Maximum Medical Improvement (DN70) must have data.

For Payment Adjustment Code 070 (Temporary Partial Disability)
- If Payment/Adjustment Code (DN85) is 070, the following fields must be sent with valid data: Paid to Date (DN86), Payment Start Date (DN80), Payment End Date (DN89), Weeks Paid (DN90) and Days Paid (DN91).
- Net Weekly Amount (DN87) is not necessary.

For Payment Adjustment Codes 010, 020, 030 (*pre 7-1-87 Date of Injury*), 040, 050, 090, 240, and 410:
- If Number of Payment/Adjustments (DN79) is greater than 0, then DN85 through DN89 must have valid data.
- If Payment/Adjustment Code (DN85) has data, then DN79 (the counter) must be greater than 0.
- If any data element 0085 through 0089 has data, then all data elements 0085 through 0091 must have data.

For Payment Adjustment Codes 500 through 570 (Lump Sums/Settlements):
- If there are benefit payments, then the Number of Payment/Adjustments (DN79) must be greater than 0 and the following elements must all have data: Payment/Adjustment Code (DN85), Amount Paid to Date (DN86), Payment End Date (DN89), and Days Paid (DN91) must have data. Enter 1 Day for one lump sum, 2 Days for two lump sums etc. in Payment/Adjustment Days Paid (DN91).
- Net Weekly Amount (DN87) is not necessary.

For Benefit Adjustments
- If there are benefit adjustments, then the Number of Benefit Adjustments (DN80) must be greater than 0 and the following elements must all have data: Payment Adjustment Code (DN85), Benefit

Adjustment Code (DN92), Benefit Adjustment Weekly Amount (DN93), and Benefit Adjustment Start Date (DN94).

Paid to Date/Reduced Earnings/Recoveries
- If there are Paid to Date/Reduced Earnings/Recoveries, then the Number of Paid to Date/Reduced Earnings/ Recoveries (DN81) must be greater than 0 and the Code (DN95) and the Amount (DN96) must have data.

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Detail Acknowledgement – Release 1

DATA NUMBER	ELEMENTS	REQ
0001	**Transaction Set ID**	**M**
0107	**Record Sequence Number**	**M**
0108	**Date Processed**	**M**
0109	**Time Processed**	**M**
0006	Insurer FEIN	C
0014	Claim Administrator Postal Code	C
0008	Third Party Administrator FEIN	C
0110	**Acknowledgement Transaction Set ID**	**M**
0111	**Application Acknowledgement Code**	**M**
0026	Insured Report Number	C
0015	Claim Administrator Claim Number	C
0005	Agency Claim Number	O
0002	Maintenance Type Code (from original transaction)	C
0003	Maintenance Type Date (from original transaction)	C
0112	Request Code (purpose)	O
0113	Free form text	O
0114	**Number of Errors**	**M**
0115	**Element Number**	**M**
0116	**Element Error Number**	**M**
0117	**Variable Segment Number**	**M**

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Header and Trailer – Release 1

DATA NUMBER	ELEMENTS	REQ
Header:		
0001	Transaction Set ID	**M**
0098	Sender ID	**M**
0099	Receiver ID	**M**
0100	Date Transmission Sent	**M**
0101	Time Transmission Sent	**M**
0102	Original Transmission Date	OC
0103	Original Transmission Time	OC
0104	Test/Production Indicator	**M**
0105	Interchange Version ID	**M**
Trailer:		
0001	Transaction Set ID	**M**
0106	Detail Record Count	**M**

OC denotes that the field is optional. If you enter a date and/or time in the respective field, then the field becomes conditional. It must be a valid date and time.

Montana Report Submission Table

Report	MTC Description	Report Submission Criteria	When Due
148/FROI	00 Original FROI	All First Reports of Injury	30 days from date the carrier is notified of accident or occupational disease (OD)
A49/SROI	SA Semi-Annual *(Claim Status = 'O' or 'R')*	Six-month anniversary of date of injury or OD, while the indemnity claim is open	Within 14 calendar days of each six-month anniversary from date of injury or OD
	SA Semi-Annual or FN Final *(Claim Status = 'C' or 'X')*	Closure of indemnity claim	Within 14 calendar days of six-month anniversary of date of injury or OD after claim is closed or at time of claim closure
	UR Upon Request	When Department needs up-to-date cost of claim data	14 calendar days from request of Department or Executive Branch

"Indemnity" Claim: A claim where indemnity benefits in addition to medical benefits are being paid or are likely to be paid in the future. Indemnity benefits are any payment made directly to the worker or the worker's beneficiaries, other than a medical benefit. The term, for example, includes payments of wage-loss benefits made pursuant to a reservation of rights, settlement of a dispute over initial compensability of the claim or settlement of undisputed medical benefits (i.e. petition for "best interest"). SROIs may be required even if there are no wage-loss related payments (i.e. "medical only" claims). The term does not include expense reimbursements for items such as meals, travel, lodging or direct reimbursement for a medical expense.

Montana Subsequent Report Codes

Maintenance Type Codes (DN2)
SA – Semi Annual (Claim Status Open, Reopen/Closed, or Closed)
FN – Final (Claim Status Reopen/ Closed or Closed)
UR – Upon Request

Wage Period (DN63)
1 = Weekly

RTW Qualifier (DN71)
1 – RTW Without Restrictions
2 – RTW With Restrictions
5 – Released RTW Without Restrictions
6 – Released RTW With Restrictions

Claim Status (DN73)
O – Open   R – Reopen
C – Closed   X – Reopen/Close

Claim Type (DN74)
I – Indemnity   Z – Occupational Disease

Agreement to Compensate (DN75)
W – Without Liability
L – With Liability

Late (payment to claimant) Reason Codes (DN77)

C1	- Lack of coverage information	E4	- Errors from state
D1	- Dispute concerning coverage	E5	- Errors from health care provider
D2	- Dispute concerning compensability in whole	E6	- Errors from other claim administrator/TPA
D3	- Dispute concerning compensability in part	L1	- No excuses
D4	- Dispute concerning disability in whole	L2	- Late notification, employer
D5	- Dispute concerning disability in part	L3	- Late notification, employee
D6	- Dispute concerning impairment	L4	- Late notification, state
E1	- Wrongful determination of no coverage	L5	- Late notification, health care provider
E2	- Errors from employer	L8	- Tech processing delay/computer failure
E3	- Errors from employee	L9	- Manual processing delay

Permanent Impairment Body Part Code (DN83): 99

Compensation Payment Codes (DN85)

010	- Fatality	Benefits Paid To Families
020	- PTD	Permanent Total
021	- PTD, Supplemental	Cost of Living Adjustments
030	- PPD, Scheduled	Permanent Partial Benefits (Pre 7-1-87 Date of Injury)
040	- PPD, Unscheduled	Permanent Partial Benefits
050	- TTD	Temporary Total Benefits
070	- TPD	Temporary Partial Benefits
090	- PPD, Disfigurement	Permanent Partial Benefits paid for disfigurement
240	- Employer Paid	Salary Paid By The Employer In Lieu Of Compensation
410	- Vocational Rehabilitation Maintenance	Retraining, Total & Partial Rehab Benefits, Auxiliary Benefits
500	- Lump Sum Other	Not Otherwise Classified or Combination of Benefits.
501	- Medical Lump Sum	Paid To Claimant As A Settlement Of Medical Liability
510	- Lump Sum Fatality	
520	- Lump Sum PTD	
524	- Lump Sum Employer Paid	

530   - Lump Sum PPD, Scheduled (Pre 7-1-87 Date Of Injury)
540   - Lump Sum PPD, Unscheduled
541   - Lump Sum Vocational Rehabilitation Maintenance
550   - Lump Sum TTD
570   - Lump Sum TPD
590   - Lump Sum PPD, Disfigurement

Benefit Adjustment Codes (DN92)

A – Apportionment/Contribution   H – Court Ordered Lien Against Workers' Compensation Benefits
B – Subrogation   P – Prepaid Benefit/Advances
C – Overpayment Credit   S – Social Security Disability

Paid to Date/Reduced Earnings/Recoveries Codes (DN95)

300 - Funeral Expenses Paid To Date   400   - Other vocational rehabilitation paid to date
330 - Employer's Legal Expenses Paid To Date   420   - Consultant/expert witness fees paid to date by insurer
350 - Total Payments To Physicians Paid To Date   430 – Unallocated Prior Indemnity Benefits Paid to Date

(Including Reimbursement To Claimant)   440 – Unallocated Prior Medical Paid to Date

360 - Hospital Costs Paid To Date   450 – Pharmaceutical Paid to Date
(Including Reimbursement To Claimant)   800 – Special Fund Recovery
370 - Other Medical to Medical Provider Paid to   810 – Employer's Deductibles Recovery
(Includes Reimbursement to Claimant)   820 – Subrogation Recovery
380 - Vocational Rehabilitation evaluation paid to date   830 – Overpayment Recovery
390 - Vocational Rehabilitation education paid to date   840 – Unspecified Recovery

Dependent Payee Relationship (DN97)

2 – Widow
3 – Widower
4 – Son or Daughter
5 – Brother or Sister
6 – Mother or Father
7 – Disabled Child Over 18
9 – Other

Employment Standards Division (ESD) EDI Test Policy
Getting Started

Businesses interested in becoming EDI Trading Partners with DLI/ESD may submit a completed Trading Partner Package at least 10 days prior to their first transmission of a test file. The Trading Partner Package consists of a Trading Partner Profile, Transmission Profile – Senders Response, the carrier Federal Employer Identification Number (FEIN) and a signed Trading Partner Agreement.

To schedule your EDI test, contact: Send a request to data management @ dlierddmsystemaccess@mt.gov

EDI Testing Process

This is the initial phase in which the trading partner sends 3 batches identified by a "T" in test/production indicator, to be analyzed for quality of mandatory and conditional elements. Submission of one (1) report to test transmission is allowed at the sender's discretion if the trading partner is new and not changing VANS.

The Trading Partner performs a test of the reporting system to determine whether the transmission mechanism is acceptable. Trading Partners must achieve a 90% acceptance rate on 3 consecutive batches of electronic reports (currently FROI and SROI) containing at least 10 unique transactions; submit 10 matching paper forms; and meet all technical requirements. The term of the test is sixty days unless the Division (ESD) approves an extension.

Records with the "T" indicator will only be loaded in our test database. Only records with the "P" indicator are loaded in the production database. If any current records were submitted during the test process, they must be resubmitted after production status is achieved, to be loaded in our database.

Production Status

DLI/ESD grants production status by e-mailed notice and provides the date the trading partner may start to submit reports electronically.   Records with the "P" indicator are loaded in the production database.

Limits

The testing period is 60 days for each trading partner unless an extension is approved by DLI/ESD.

Selecting a Transmission Type

VAN – Value Added Network
Choosing a VAN as your data transmission selection has the following requirements:
Select one of the following VANs for your transmission:

1. IVANS - Advantis, Celerity - AT&T Easylink, ClaimHarbor - Claimport, Workcomp.net, Health Tech or Direct Reporting FTP
2. Follow the VAN's procedures and provide DLI/ESD with account information in the Trading Partner Agreement.
3. Follow the EDI Testing Process outlined in this guide.

FTP – File Transfer Protocol
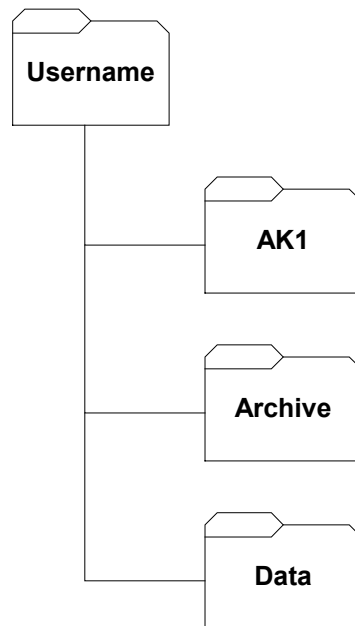There are two FTP options when transmitting EDI with DLI/ESD:
1. FTPS - You can access the DLI/ESD FTP server, placing your batch file in your account folder and picking up your acknowledgements.
2. FTPC - DLI/ESD can access your FTP server and retrieve batch files and send acknowledgements.

Choosing FTP as your data transmission selection has the following requirements:

1. Use of FTP software compatible with DLI/ESD 's use of IP Switch WS_FTP Server/Client.
   a. Have digital signature capabilities.
   b. Capable of 128-Bit Secure Sockets Layer (SSL) Encryption

2. One user account per Trading Partner will be setup on one FTP server, either DLI/ESD or Trading Partner's, with:
   a. Username having 6 characters.
   b. Password having a minimum of 6 characters using a combination of letters and numbers.

3. URL's will be used to connect to FTP sites:
   a. DLI/ESD 's URL: sample "erdtransfer.dli.mt.gov". Must have an account to access.
   b. Trading Partner URL: sample "ACME-FTP.com".

4. Anti-virus software must be in place on an FTP server and the PC using an FTP client. DAT files are to be kept current, at minimum, 14 days after released.

5. Daily business process will be as follows:
   a. FTP server accessibility
      i. DLI/ESD 's FTP server will be accessible 24 hours a day 7 days a week except for maintenance and unforeseeable events.
      ii. The Trading Partner's FTP server will be accessible from 8:00 a.m. to 5:00 p.m. MST Monday through Friday.
      iii. The following electronic folder/directory structure will be created on DLI/ESD 's or Trading Partner's FTP server.

```
┌─────────────┐
│  Username   │
└──────┬──────┘
       │
       │    ┌─────────────┐
       ├────│     AK1     │
       │    └─────────────┘
       │
       │    ┌─────────────┐
       ├────│   Archive   │
       │    └─────────────┘
       │
       │    ┌─────────────┐
       └────│    Data     │
            └─────────────┘
```

   b. Trading Partner batch file(s) must be placed on the server in the Data folder no later than 8:00 a.m. MST for same day processing by DLI/ESD.
   c. DLI/ESD will retrieve the batch file.
   d. DLI/ESD will copy retrieved batch file(s) to the Trading Partner's Archive folder.
   e. DLI/ESD will place an Acknowledgement (AK1) file in the Trading Partner's AK1 folder for the previous day's batch file by 5:00 p.m. MST.
   f. Trading Partners will retrieve their Acknowledgement (AK1) from their AK1 folder, then if desired, delete or move the file to the Archive folder.

5. Batch Files (148/A49): The DLI/ESD standard for file-naming format of batch files sent to DLI/ESD. File names will be structured as follows:

Example: **ACME01 20021025 081030 F .148**
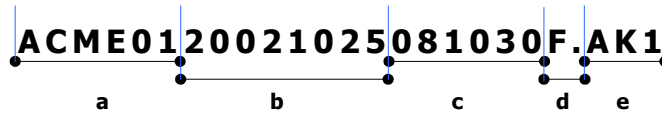   a   b   c   d   e

   a. UserID: As assigned by DLI/ESD, usually the first 4 letters of the name and a 2-digit identifier.
   b. Date: Formatted as "CCYYMMDD".
   c. Time: Military time formatted as "HHMMSS".
   d. File Format Type: F = FLAT
   e. Extension: 148 = FROI, A49 = SROI (extensions may be added as required).

6. Acknowledgement (AK1): The DLI/ESD standard for file naming format of Acknowledgements sent to the Trading Partner. File names will be structured as follows:

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Example: **A C M E 0 1 2 0 0 2 1 0 2 5 0 8 1 0 3 0 F . A K 1**

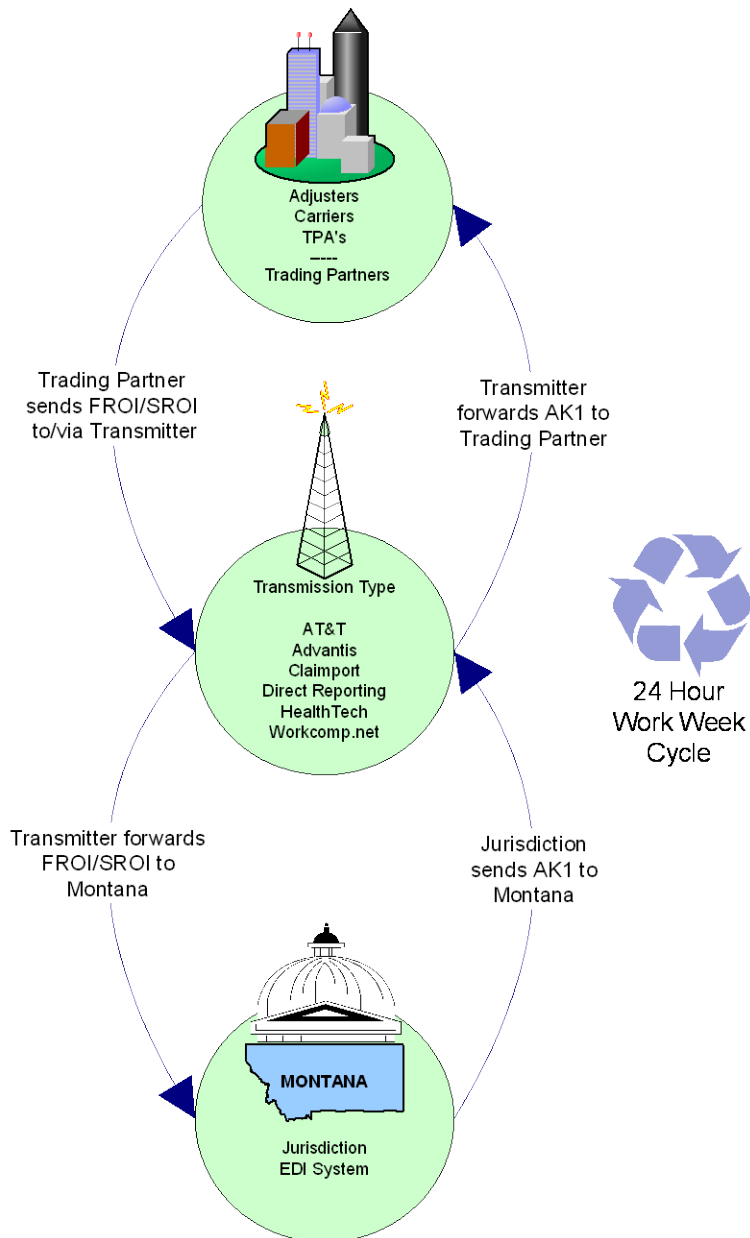   **a**   **b**   **c**   **d** **e**

    a. User ID: As assigned by DLI/ESD, usually the first 4 letters of the name and a 2-digit identifier.
    b. Date: Formatted as "CCYYMMDD".
    c. Time: Military time formatted as "HHMMSS".
    d. File Format Type: F = FLAT
    e. Extension: AK1 = Acknowledgement.

7. Compression of files is not permitted (Zip Files)

8. The Trading Partner must maintain own archival backup of batch files independent of DLI/ESD in the event of a system failure.

9. Purging AK1 and Archive folders. If desired, the Trading Partner may archive their AK1 file on DLI/ESD 's FTP server by moving it to the Archive folder after retrieval.   DLI/ESD will clean the Trading Partner's AK1 and Archive folders, allowing no more than 30-days of files to accumulate.

10. Follow the set-up and testing procedures for FTP. Work with DLI/ESD contact(s) to establish connectivity/functionality testing.

11. Follow the EDI Testing Process outlined in this guide.

EDI Overview

Thursday, February 05, 2004

Adjusters
Carriers
TPA's

Trading Partners

Trading Partner
sends FROI/SROI
to/via Transmitter

Transmitter
forwards AK1 to
Trading Partner

Transmission Type

AT&T
Advantis
Claimport
Direct Reporting
HealthTech
Workcomp.net

24 Hour
Work Week
Cycle

Transmitter forwards
FROI/SROI to
Montana

Jurisdiction
sends AK1 to
Montana

MONTANA

Jurisdiction
EDI System

Montana Law 39-71-225. Workers' Compensation Database System:

https://leg.mt.gov/bills/mca/title_0390/chapter_0710/part_0020/section_0250/0390-0710-0020-0250.html

Montana Rules 24.29.4301 through 24.29.4339 Workers Compensation and Occupational Disease, Sub-Chapter 43, Workers' Compensation Data Base System:

http://www.mtrules.org/gateway/Subchapterhome.asp?scn=24.29.43

Glossary

ANSI
An acronym for the American National Standards Institute. Founded in 1918, ANSI is a voluntary organization composed of over 1,300 members (including all the large computer companies) that creates standards for the computer industry. In addition to programming languages, ANSI sets standards for a wide range of technical areas, from electrical specifications to communications protocols.

Archive
To copy files ('*.148' and '*.A49') to a short-term storage folder. Periodically, the computer operator will purge or delete archive files from the archive folder.

Authorization Process
The initial step in becoming a trading partner with the Jurisdiction by completing the trading partner agreement.

Batch
A set of records that contains one Header, one or more detail transactions and one trailer record.

Batch File
A file that contains a sequence, or batch, of commands. Batch files are useful for storing sets of commands that are always executed together because you can simply enter the name of the batch file instead of entering each command individually. In DOS systems, batch files end with a.BAT extension.

Closed Claim
A claim in which all medical and indemnity benefits have been paid and there is no expectation of future liability.

Compression
Data compression is particularly useful in communications because it enables devices to transmit the same amount of data in fewer bits. There are a variety of data compression techniques, but only a few have been standardized. There are file compression formats, such as ARC and ZIP.

Database System
The electronic repository for workers compensation data established by 39-71-225, MCA

Digital signature
A digital code that can be attached to an electronically transmitted message that uniquely identifies the sender. Like a written signature, the purpose of a digital signature is to guarantee that the individual sending the message really is who he or she claims to be. Digital signatures are especially important for electronic commerce and are a key component of most authentication schemes. To be effective, digital signatures must be

unforgeable. There are several different encryption techniques to guarantee this level of security.

Edited data
A transaction after it goes through automated edits.

Electronic Data Interchange (EDI)
The intercompany exchange of standard business documents in a machine readable and standardized form.

Encryption
Translation of data into a secret code, encryption is the most effective way to achieve data security. To read an encrypted file, you must have access to a secret key or password that enables you to decrypt it. Unencrypted data is called plain text; encrypted data is referred to as cipher text.

Extension
In some operating systems, one or several letters at the end of a filename. Filename extensions usually follow a period (dot) and indicate the type of information stored in the file. For example, in the filename EDIT.COM, the extension is COM, which indicates that the file is a command file.

Filename
All files have names. Different operating systems impose different restrictions on filenames. Most operating systems, for example, prohibit the use of certain characters in a filename and impose a limit on the length of a filename. The filename extension usually indicates what type of file it is.

Flat file
A file that has no structured interrelationship between its data records. A text document without formatting structure is considered a flat file. The flat file only contains the lines of text without regard to the visual presentation of the data on the page.

IAIABC
The International Association of Industrial Accident Boards and Commissions, which is an international trade association that seeks to advance the administration of workers' compensation systems through education, research, and information sharing. The IAIABC establishes standards for reporting industrial accidents.

Indemnity Benefits
Any payment made directly to the worker (or the worker's beneficiaries), other than a medical benefit. The term includes payments made pursuant to a reservation of rights, or in settlement of a dispute over initial compensability of the claim. The term does not include expense reimbursements for items such as meals, travel or lodging.

Indemnity Claim

A workers' compensation or occupational disease claim where indemnity benefits in addition to medical benefits are being paid or are likely to be paid in the future.

MTC
A Maintenance Type Code defines the specific purpose of individual records.

Plan 1 or Plan 1 Self-Insurer
An employer that has been properly bound by the provisions of Title 39, chapter 71, part 21, MCA.

Plan 2 or Plan 2 Private Insurer
An insurer that provides workers' compensation insurance pursuant to the provisions of Title 39, chapter 71, part 22, MCA.

Plan 3 or Montana State Fund
The state compensation insurance fund, established by Title 39, chapter 71, part 23, MCA.

Purge
Systematically and permanently remove old and unneeded data.

Raw Data
A transaction as it was received from a sender, before it goes through automated edits.

Reporting Parties
Any person, firm, corporation, or any other type of entity, including an insurer, that is required by rule to report information to the department.

Server
A computer or device on a network that manages network resources. For example, a file server is a computer and storage device dedicated to storing files. Any user on the network can store files on the server. A print server is a computer that manages one or more printers, and a network server is a computer that manages network traffic. A database server is a computer system that processes database queries.   Servers are often dedicated, meaning that they perform no other tasks besides their server tasks. On multiprocessing operating systems, however, a single computer can execute several programs at once. A server in this case could refer to the program that is managing resources rather than the entire computer.

SSL
Short for Secure Sockets Layer, a protocol developed by Netscape for transmitting private documents via the Internet. SSL works by using a private key to encrypt data that's transferred over the SSL connection. Both Netscape Navigator and Internet Explorer support SSL, and many Web sites use the protocol to obtain confidential user information, such as credit card numbers. By convention, URLs that require an SSL connection start with https: instead of http:.

Another protocol for transmitting data securely over the World Wide Web is Secure HTTP (S-HTTP). Whereas SSL creates a secure connection between a client and a server, over which any amount of data can be sent securely, S-HTTP is designed to transmit individual messages

securely. SSL and S-HTTP, therefore, can be seen as complementary rather than competing technologies. Both protocols have been approved by the Internet Engineering Task Force (IETF) as a standard.

Tables
Tools provided in the implementation guide to communicate reporting requirements.

Third-Party Administrator (TPA)
An entity who contracts to administer all or part of an insurer's or employer's workers' compensation business, which can include adjusting a claim on behalf of the insurer or employer.

Trading Partner (TP) / Sender
A business entity that has established a relationship with the Jurisdiction to electronically report claim data. This entity may be an insurance carrier (Insurer), self-insured, third party administrator (TPA) or servicing agent/vendor.

Trading Partner tables
A set of tables designed to provide information integral to controlling the extraction and transmission processes for successful EDI of Workers' Compensation data. The data contained in these tables is originally established by the "primary" trading partner to reflect their reporting requirements and environment.

Transaction
One detail record which contains data elements as defined in the IAIABC record layout. Each field in a transaction is validated.

Transaction Type
Identifies the data contained within a record: First Report of Injury (FROI) or Subsequent Report of Injury (SROI). Data elements contained within a Transaction Type may be Mandatory, Conditional, or Optional.

UEF
The uninsured employers' fund, established by 39-71-503, MCA.

URL
Uniform Resource Locator. An Internet address which tells a browser where to find an Internet resource. For example, the URL for the Ipswitch Web site is http://www.ipswitch.com/.

Workers' Compensation Subsequent Report
A report required to communicate payment information related to an indemnity claim, including both medical and indemnity benefits.

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12th accredited standards committee in ANSI