



**Department  
of Health**

**All Payer  
Database**

# **Data Submitter Information Companion Guide**

Instructions related to the Exchange of Electronic Data  
Interchange (EDI) with the OSDS system

Based on X12 Implementation Guides, Version 5010 and  
NCPDP Post-Adjudication Standard Implementation  
Guide, Version 4.2 and Related Documents

Data Submitter Information  
Version Number: 1.8 June, 2024

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# 1 Introduction

## 1.1 Purpose

This document is intended to provide information needed by data submitters to exchange Electronic Data Interchange (EDI) data with the Original Source Data Submitter (OSDS) system. This includes information about registration, testing, support, and specific information about control record setup.

## 1.2 Scope

This Data Submitter Information Companion Guide is intended as a resource to assist issuers, their third party administrators, and all other data submitters of the New York State Department of Health (NYSDOH) All Payer Database (APD) OSDS system in successfully conducting EDI of Post-Adjudicated Claims Data Reporting (PACDR) and 834 Member Reporting transactions. This Companion Guide provides instructions for enrolling as a data submitter for the NYSDOH OSDS system, obtaining technical assistance, initiating and maintaining connectivity, sending and receiving test files, and other related information. This Data Submitter Companion Guide does not provide detailed data specifications. Detailed specifications are published separately by the industry committees responsible for their creation and maintenance. Additionally, other companion guides such as the 834 Companion Guide, 837 Companion Guide, and the NCPDP Companion Guide are published with supplemental information to assist with file submissions.

## 1.3 Overview

This Companion Guide provides communications-related information which a Data Submitter needs to enroll, obtain support, format the X12 Interchange Control Header (ISA) and Functional Group Header (GS) envelopes, the NCPDP Header and Trailer information, and exchange test transactions with the NYSDOH OSDS system.

## 1.4 References

OSDS related Frequently Asked Questions (FAQs), crosswalks, and resources such as a complete set of OSDS Companion Guides are obtained from the NYSDOH Health Connector website: <https://nyshc.health.ny.gov/web/nyapd/apd-osds>.

For NYSOH Qualified Health Plans the NYSOH Listserv is maintained by the DOH Plan Management Department of the NYSOH (hereafter referred to as "NYSOH Plan Management"). Please contact NYSOH Plan Management at 518-486-9102 or email [nyhxpm@health.state.ny.us](mailto:nyhxpm@health.state.ny.us) to be added to the Listserv.

For Medicaid Managed Care Plans the MEDS Listserv is maintained by the Bureau of Managed Care and Fiscal Oversight. Please contact the Bureau at (518) 474-5050 or email [omcmads@health.ny.gov](mailto:omcmads@health.ny.gov) to be added to the Listserv.

## 2 Getting Started

### 2.1 Working Together

OSDS Help Desk is available for any question on the X12 834 Plan Member Reporting, X12 837 and NCPDP PACDR transactions or corresponding response files at (877) 363-5630 or a ticket can be created through ServiceNow at <https://optum.service-now.com/itss2>

### 2.2 Data Submitter Registration

#### 2.2.1 OSDS Program Enrollment

##### OSDS Program Enrollment

An EDI Data Submitter is any entity (Issuer, Clearinghouses, Billing Service, Third Party Administrator, Software Vendor, Financial Institution, etc.) that transmits electronic data to or receives electronic data from another entity. The OSDS system requires any Data Submitter who wishes to exchange electronic data to be enrolled and have an approved Data Submitter Agreement which can be obtained by submitting a request to the APD OSDS mailbox at [apd.osds@health.ny.gov](mailto:apd.osds@health.ny.gov). Entities meeting the definition of a Data Submitter may enroll with the OSDS system by completing a Data Submitter Agreement (DSA) and EDI Registration form.

##### Data Submitter Agreement

The Data Submitter Agreement stipulates the general terms and conditions under which the partners agree to exchange information electronically. The document defines participant roles, communication, and security requirements.

All Data Submitters must have an approved DSA on file before proceeding with OSDS registration.

**Note:** If at any time a company who enrolls as a Data Submitter with OSDS changes their tax identification, the company is treated as a new company, thereby requiring a new DSA, a new EDI Registration form, testing, etc.

##### EDI Registration Secure File Transfer Protocol (SFTP)

Once the DSA is processed by NYSDOH, each data submitter will need to complete an EDI Registration form.

Data Submitters will receive the EDI Registration form with a Data Submitter Identification Number from Optum by email once the DSA has been submitted and approved by NYSDOH.

The EDI Registration form is used to collect technical contacts and other data submitter information that will be used to setup SFTP connections to the OSDS system. This form is also used in the provisioning process for OSDS Portal access. Once the EDI Registration form is completed, it should be returned to Optum via the Instructions tab on the form. Optum will respond along with other details needed to connect and send data such as the SFTP systems, Internet Protocol (IP), Port numbers, User ID and Password.

## 2.3 Connectivity

### Connectivity / Communications

The OSDS system ensures the security and privacy of Protected Health Information (PHI) being transmitted by its Data Submitters over the internet. Data Submitters will connect to the OSDS system via (SFTP) for processing.

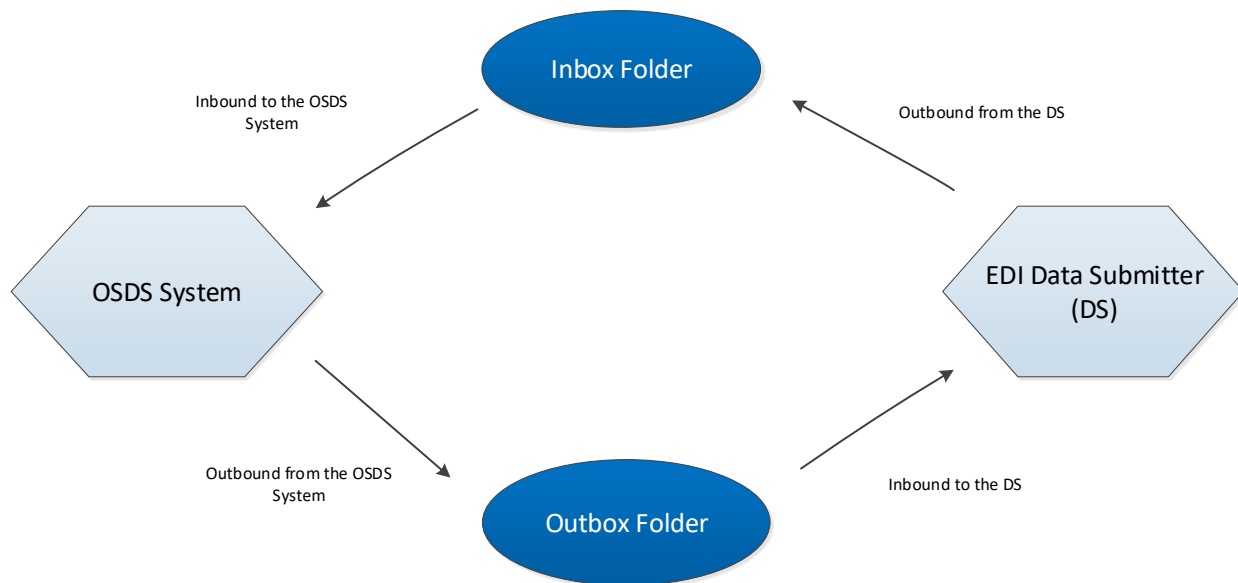
### Access Methods

Connection is made to the Optum ECG SFTP environment by Hostname or IP address. The Optum ECG Host Names, IP addresses and Port Numbers will be sent to the Submitter when the OSDS Registration process is completed.

### Guidelines for using SFTP

For each Data Submitter, the OSDS system will set up an SFTP Inbox and Outbox for production file transfers as well as a UAT Inbox and UAT Outbox for test file transfers. The OSDS system process runs multiple times per day and picks up inbound files from the Inbox. After processing the received files, the response (outbound files) will be placed into the Outbox folder of the Data Submitter’s SFTP mailbox. All OSDS inbound files will be removed from the Inbox as the files are processed. Once a submitter attempts to download their Outbox files, the ECG System automatically deletes the files from the Outbox. The ECG system will delete all files from the Submitter mailboxes after seven (7) calendar days. Submitters do not have the ability to delete files from the Outbox folder. The NYS OSDS Help Desk can assist with accessing response files in the event of a problem downloading.

Reference Point for Folder Names



**Figure 1: OSDS System Process Flow**

## 2.4 Supported Transactions

The OSDS system supports the approved versions of the X12 Plan Member Reporting, X12 (PACDR) and NCPDP PACDR electronic health care transactions. Listed below are the supported Inbound and Outbound transactions.

Inbound transactions:

- Plan Member Reporting (834): version 005010X318
- PACDR (837): Professional version 005010X298
- PACDR (837): Institutional version 005010X299
- PACDR (837): Dental version 005010X300
- Post-Adjudicated Claim Standard (NCPDP) version 4.2

834 Plan Member Reporting (X318) Outbound Transactions:

- RJ File Rejection
- File Level Handshake (TA1)
- Implementation Acknowledgement for Health Care Insurance (999) ASC X12C 005010X231A1
- 834 Record Level Response (834RL)

837 Outbound transactions:

- RJ File Rejection
- File Level Handshake (TA1)
- Implementation Acknowledgement for Health Care Insurance (999) ASC X12C 005010X231A1
- Data Reporting Acknowledgement (277DRA) ASC X12N 005010X364

NCPDP Outbound transactions:

- RJ File Rejection
- Rx Healthcare File Acknowledgement (RxFA)
- Rx Healthcare Transaction Acknowledgement (RxTA)
- Rx Healthcare Claim Acknowledgement (RxCA)

## 3 Testing

The OSDS system accounts are initially set up to establish SFTP credentials and confirm that the service is configured to exchange EDI transactions with the OSDS system. In this phase of testing, the Data Submitter downloads and uploads a limited number of initial test files via SFTP. Once the SFTP credentials and service have been confirmed, data submitters may progress to OSDS Data Testing. Data submitters will work with the OSDS Customer Care team throughout testing.

### OSDS Testing

The OSDS system will utilize a multi-phased approach for data submitter testing.

#### Phase 1: Network Connectivity Testing

Test objectives include:

- Confirm that data submitters have SFTP credentials and that the service is configured to submit files to the OSDS system
- Determine that data submitters are capable of submitting files with the proper naming convention and can retrieve responses via the SFTP

#### Phase 2: OSDS Data Testing

Test objectives include:

- To offer the data submitters the ability to test all transactions types from end-to-end
- To verify and report back to the data submitter on data structure and content

**After successful completion of Phase 1 and 2 testing, a data submitter will be approved to submit to production. Files sent to production prior to approval will not be processed.**

## Testing Instructions

### Phase 1: Network Connectivity Testing

- Data submitters receive Network Connectivity instructions
- The data submitter must add the OSDS assigned Submitter Identifier to the ISA segment
  - ✓ The data submitter must add the Issuer's HIOS ID, NAIC ID or the OSDS assigned payer ID to the GS Segment. For data submitters that do not have a HIOS ID or NAIC ID please contact the OSDS Help Desk with any questions at (877) 363-5630 or a ticket can be created through ServiceNow at <https://optum.service-now.com/itss2>
  - ✓ ISA06 will contain the OSDS assigned Submitter Identifier
  - ✓ GS02 will contain the HIOS, NAIC or OSDS assigned Payer Identifier
- ISA14 must have a value of '1' to indicate a submission response is requested
- ISA15 must have a value of 'T' to indicate a test file
- The data submitter must properly name the inbound file according to the Naming Convention outlined in Section 3.1.4
- Each data submitter will upload the file to their test inbox via the SFTP
- After OSDS receives the file via the SFTP, the OSDS system will generate a generic test response file to their outbox
- Data submitters should promptly retrieve their response files



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- At the successful conclusion of this test, the data submitter is verified to have successfully completed connectivity testing and may proceed to Phase 2 OSDS Data Testing

### Phase 2: OSDS Data Testing

- Each data submitter will upload a file to their test Inbox via the SFTP
- After OSDS receives the file via the SFTP, the OSDS system will process the file and return the appropriate responses. See section 3.1.6 for the file processing stages and responses generated at each stage of file validation

#### **Guidelines for successful testing:**

- Begin testing with a single transaction type
- Submit a very small file initially, moving to large files once successful submission is achieved
- Retrieve and reconcile response files promptly

## 3.1 Testing Requirements

The OSDS system enables data submitters to conduct end-to-end testing.

In order to utilize the OSDS test environment the following components are required:

- An active Data Submitter Agreement on file with NYSDOH
- An active OSDS Account and User ID with a registered IP address

### **X12 and NCPDP Transaction Versions** 3.1.1

The OSDS accepts and processes only:

- ASC X12 Plan Member Reporting 834 X318 v 5010
- ASC X12 PACDR v 5010
- NCPDP v 4.2

#### **3.1.2 Test Availability and Submission Cutoff Times**

The OSDS will be available continuously for submitting test data transactions and sending associated responses.

### 3.1.3 Submitting Files to OSDS

Before submitting files to the OSDS system, the data submitter must:

#### Off-Exchange Commercial and Medicare Advantage Data Submitters

- 834 X318 must precede the submission of 837 and NCPDP encounters files. Unsuccessful submission of the 834 X318 will cause rejections at the member level for encounters .
- The 834 X318 is only a requirement for Off-Exchange Commercial and Medicare Advantage Data Submitters.

#### For X12 transactions:

- Verify that the OSDS assigned Submitter Identifier is in data element ISA06 (Interchange Sender ID)
  - ✓ For Issuer submissions, the ISA06 Interchange Sender ID must match the Submitter Identifier portion of the User ID in the file name.  
Example:(**Z12345**)
- Verify that the HIOS ID, NAIC ID or the OSDS assigned payer ID is in GS02 Application Sender's Code
- Verify that the value in ISA08 Interchange Receiver ID and GS03 Application Receiver's Code is 'NYSDOH-APD'
- Verify that there is only one ISA/IEA per file
- Verify that there is only one Functional group (GS/GE) for each envelope (ISA/IEA)
- Verify that the ISA13 Interchange Control Number is unique for all submissions
- To receive a submission response, verify that the ISA14 Acknowledgement Requested is populated with a value of '1'
- To indicate a test file, verify that the ISA15 should be set to the value of 'T'

#### For NCPDP transactions:

- Ensure that the Post-Adjudicated History File format is being used (NOT the Post-Adjudication Utilization File format)
- Verify that there is one Header Record (PA), one Trailer Record (PT), and at least one Detail Record (DE)
- Verify that the 806-5C Batch Number is unique for all submissions
- Verify that the 880-K7 Receiver ID is equal to "NYSDOH-APD"
- Verify the OSDS assigned Submitter Identifier is entered in field 879 (Sending Entity Identifier)
- Verify that the Submitter Identifier portion of the User ID in the file name matches the Sending Entity Identifier Example:(**Z12345**)
- Verify that the record/line terminator is a Line Feed (LF)
- Verify that the Batch Header File Type (702-MC) is set to the value of 'T'

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### For all transactions:

- Apply a unique file name with no spaces or special characters in accordance with the file naming conventions listed below (see section 3.1.4)

Test transactions are identified by:

- Setting the appropriate indicator on the inbound file
  - ✓ **ASC X12 Transactions:** For all ASC X12 Transactions, the Usage Indicator (Data Element ISA15) should be set to a value of 'T'.

- ✓ Example:

```
ISA*00*      *00*      *ZZ*OSDS Submitter Identifier *ZZ*NYSDOH-APD
*010806*1200*^*00501*000000008*1*T*:-
```

- ✓ **NCPDP Transactions (Batch Only):**

The Batch Header File Type (702-MC) should be set to a value of 'T'

### 3.1.4 Inbound File Naming Convention

The file naming convention for inbound files exchanged with the OSDS system is:

(Tran Category).(User ID).(Transaction)(Program Suffix).(Frequency).(Date Time).(SEQNO).(DAT)

#### Values for each node

##### Tran Category

TR – Transaction

##### User ID

OSDS assigned Submitter Identifier followed by the five digit HIOS number, NAIC ID prefixed with " N" or the OSDS assigned Payer ID.

(Example: **Z12345**12345, **Z12345N**12345).

##### Transaction

837I – Institutional 837

837P – Professional 837

837D – Dental 837

PDP – NCPDP pharmacy

834F – Full File Plan Member Reporting

834C – Correction File Plan Member Reporting

##### Program Suffix

Q – QHP

E – Essential Plan

M – Medicaid

K – CHP

C – Off-Exchange Commercial

A – Medicare Advantage

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### Frequency – Default Weekly

- D – Daily
- W – Weekly
- B – Bi-weekly
- M – Monthly

### Date Time

12 digit date and time stamp (24 hour time, in the format YYMMDDHHMMSS)

### Sequence Number

A sequence number to uniquely identify the file within the timestamp. (This is a 3 digit numeric value)

### File Extension as .DAT

### Example:

#### Inbound Transaction for an 837P Submission:

Transaction Type	Inbound File Name
Professional 837 from a QHP Data Submitter (HIOS Id)	TR.Z1234512345.837PQ.W.200430135202.001.DAT
Professional 837 from a Medicaid Data Submitter (HIOS Id)	TR.Z1234512345.837PM.W.200430135202.001.DAT
Professional 837 from an off-exchange commercial (HIOS Id)	TR.Z1234512345.837PC.W.200430135202.001.DAT
Professional 837 from an off-exchange commercial (NAIC Id)	TR.Z12345N12345.837PC.W.200430135202.001.DAT

#### Inbound Transaction for an 834 Submission:

Transaction Type	Inbound File Name
834 X318 full file from an off-exchange commercial (NAIC Id)	TR.Z12345N12345.834FC.W.200430135202.001.DAT
834 X318 change file from an off-exchange commercial (NAIC Id)	TR.Z12345N12345.834CC.W.200430135202.001.DAT

### 3.1.5 Zip File Naming Convention

The .zip file naming convention for inbound files exchanged with the OSDS system is: (User ID).(Date Time).(ZIP)

#### Values for each node

##### User ID

OSDS assigned Submitter Identifier followed by the five digit HIOS number, NAIC ID prefixed with "N" or the OSDS assigned Payer ID.

(Example: Z1234512345,12345N12345).

##### Date Time

12 digit date and time stamp (24 hour time, in the format YYMMDDHHMMSS)

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File Extension as .ZIP

### 3.1.6 Outbound File Naming Convention

All outbound files sent to the data submitters for download are created using the submitted file name with the exception of the Tran Category.

Examples are listed on the following page.

#### Tran Category:

RJ – Reject File

IA – TA1 X12 or RxFA (Interchange Acknowledgment)

FA – Interchange Acknowledgment (999 or RxTA Report)

HN – Data Reporting Acknowledgment (277DRA, RxCA, 834RL)

#### Examples:

##### Response Transactions for a QHP 837P Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.837PQ.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.837PQ.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.837PQ.W.200430135202.001.DAT
277DRA Acknowledgment	HN. Z1234512345.837PQ.W.200430135202.001.DAT

##### Response Transactions for a MMC 837P Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.837PM.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.837PM.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.837PM.W.200430135202.001.DAT
277DRA Acknowledgment	HN. Z1234512345.837PM.W.200430135202.001.DAT

##### Response Transactions for a CHP 837P Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.837PK.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.837PK.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.837PK.W.200430135202.001.DAT

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Transaction Type	Outbound File Name
277DRA Acknowledgment	HN. Z1234512345.837PK.W.200430135202.001.DAT

### Response Transactions for an Essential Plan 837P Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.837PE.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.837PE.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.837PE.W.200430135202.001.DAT
277DRA Acknowledgment	HN. Z1234512345.837PE.W.200430135202.001.DAT

### Response Transactions for an Off-Exchange Commercial 837P Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.837PC.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.837PC.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.837PC.W.200430135202.001.DAT
277DRA Acknowledgment	HN. Z1234512345.837PC.W.200430135202.001.DAT

### Response Transactions for a QHP NCPDP Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.PDPQ.W.200430135202.001.DAT
RxFA Acknowledgment	IA. Z1234512345.PDPQ.W.200430135202.001.DAT
RxTA Acknowledgment	FA. Z1234512345.PDPQ.W.200430135202.001.DAT
RxCA Acknowledgment	HN. Z1234512345.PDPQ.W.200430135202.001.DAT

### Response Transactions for a MMC NCPDP Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.PDPM.W.200430135202.001.DAT

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<b>Transaction Type</b>	<b>Outbound File Name</b>
RxFA Acknowledgment	IA. Z1234512345.PDPM.W.200430135202.001.DAT
RxTA Acknowledgment	FA. Z1234512345.PDPM.W.200430135202.001.DAT
RxCA Acknowledgment	HN. Z1234512345.PDPM.W.200430135202.001.DAT

**Response Transactions for a CHP NCPDP Submission:**

<b>Transaction Type</b>	<b>Outbound File Name</b>
RJ File Rejection	RJ. Z1234512345.PDPK.W.200430135202.001.DAT
RxFA Acknowledgment	IA. Z1234512345.PDPK.W.200430135202.001.DAT
RxTA Acknowledgment	FA. Z1234512345.PDPK.W.200430135202.001.DAT
RxCA Acknowledgment	HN. Z1234512345.PDPK.W.200430135202.001.DAT

**Response Transactions for an Essential Plan NCPDP Submission:**

<b>Transaction Type</b>	<b>Outbound File Name</b>
RJ File Rejection	RJ. Z1234512345.PDPE.W.200430135202.001.DAT
RxFA Acknowledgment	IA. Z1234512345.PDPE.W.200430135202.001.DAT
RxTA Acknowledgment	FA. Z1234512345.PDPE.W.200430135202.001.DAT
RxCA Acknowledgment	HN. Z1234512345.PDPE.W.200430135202.001.DAT

**Response Transactions for an Off-Exchange Commercial NCPDP Submission:**

<b>Transaction Type</b>	<b>Outbound File Name</b>
RJ File Rejection	RJ. Z1234512345.PDPC.W.200430135202.001.DAT
RxFA Acknowledgment	IA. Z1234512345.PDPC.W.200430135202.001.DAT
RxTA Acknowledgment	FA. Z1234512345v.PDPC.W.200430135202.001.DAT
RxCA Acknowledgment	HN. Z1234512345.PDPC.W.200430135202.001.DAT

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### Response Transactions for an Off-Exchange Commercial 834 x318 Submission:

Transaction Type	Outbound File Name
RJ File Rejection	RJ. Z1234512345.834CC.W.200430135202.001.DAT
TA1 Response	IA. Z1234512345.834CC.W.200430135202.001.DAT
999 Acknowledgments	FA. Z1234512345.834CC.W.200430135202.001.DAT
834 Record Level Response	TR. Z1234512345.834CC.W.200430135202.001.DAT

**Note:** The Date Time and sequence number on outbound files will match the Date Time and sequence number submitted by the submitter on the inbound file to facilitate reconciliation of responses from the OSDS system.

### 3.1.7 File Processing

Each data submitter's file will be picked up and the envelope sections will be verified (ISA/GS for X12 and Header/Trailer for NCPDP). To avoid re-submissions from the data submitter, the system will immediately respond to the inbound file with a file acknowledgement (either a TA1 for X12 or an RxFA for NCPDP) letting them know the OSDS system correctly received their file. For X12, a positive TA1 will only be sent when requested with value of '1' in ISA14. The OSDS system will also check for duplicate Interchange Control/Batch Numbers to eliminate any duplicate processing. For X12 and NCPDP transaction files, if the file size or the file naming convention is unacceptable or a duplicate file name, an RJ File will be immediately returned. All readable test and production inbound file will be put into a Staging Folder for processing.

The validation routine will sort files by the Issuer, date and time, and sequence number within the file name to ensure originals and adjustment/voids are processed in the correct order. Tier I and Tier II editing will be performed.

**Tier I** file level editing includes Compliance Type 1 and Type 2:

- Type 1 (EDI Standard Integrity Testing) validates the basic syntactical integrity of the EDI submission. Type 1 conducts a test for valid segments, segment order, element attributes (e.g., numeric values in numeric data elements, correct field length), validation of X12 or NCPDP syntax, and compliance with X12 rules
- Type 2 (Implementation Guide Requirement Testing) involves testing for Implementation Guide specific syntax requirements, like limits on repeat counts, used and not used qualifiers, codes, elements, loops and segments

**Tier II** level editing includes DOH required business rules:

- Type 5 (HIPAA external code set testing) involves testing for valid Implementation Guide specific code set values and other code sets adopted as HIPAA standards such as ICD-10 or NDC code sets
- The DOH required business rules are contained in the OSDS Companion Guides and Edit Documents



### 3.1.8 X12 837 Response Files for each level of validation

**RJ File Response:** **RJ File Response:** The OSDS system first evaluates the submitted file to verify it is processible. While there are many reasons a file can fall into this category, the most well defined are as follows:

- File size exceeds 50MB
- File size = 0
- File cannot be identified as valid X12 or NCPDP syntax due to improper envelope composition. For example: ISA is not = 106 characters, fixed width formats are not adhered to, etc
- File naming convention is invalid
- Duplicate file name is submitted for X12 PACDR files
- Submitter not approved for production
- Anything else that causes the file content to be deemed unrecognizable and not processible.

**TA1:** When a Data Submitter sends an X12 PACDR file via SFTP, a TA1 will be sent back as a handshake acknowledging the OSDS successfully received the transmission. This acknowledgement will indicate whether the file was rejected or accepted for processing in the OSDS. A positive TA1 will only be sent when requested with value of '1' in ISA14. If the file is rejected, the appropriate error code will be returned.

If the file is accepted for processing, it will be staged for encounter validation.

If a Data Submitter does not receive an RJ or TA1 response, they should create a ticket for OSDS Help Desk through ServiceNow at <https://optum.service-now.com/itss2>.

#### **999:**

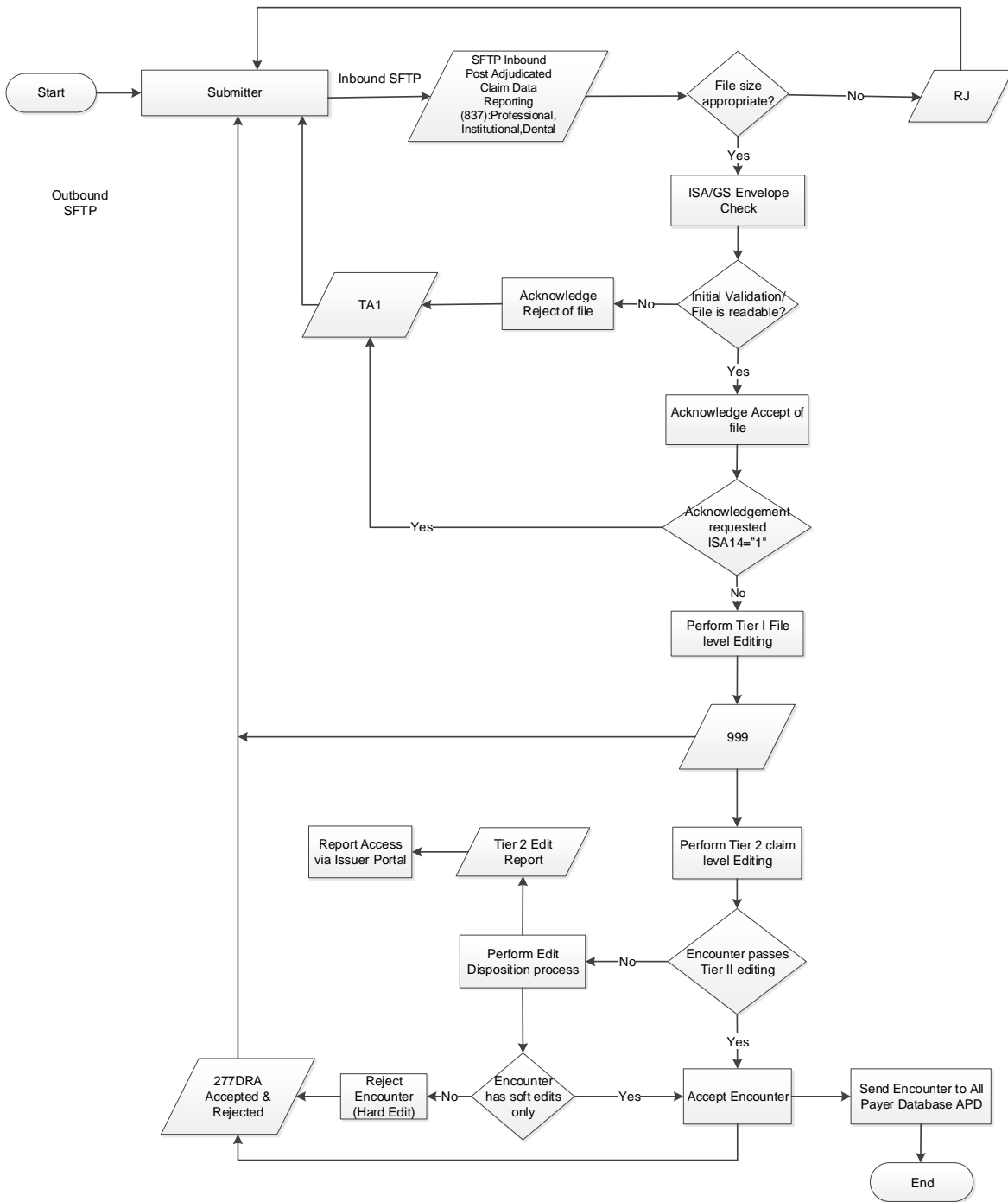
A 999 Functional Acknowledgment transaction is generated for all X12 files that do not fail TA1 level validation.

The purpose of the 999 response is to report the accept or reject status of each transaction (ST/SE) within a file. The determination of whether a transaction has passed or failed is determined at the Tier I level as defined in Section 3.1.7 File Processing. The 999 response will be created for both accepted and rejected transactions. When a submitter opts to submit using multiple ST/SE within a single file, it is possible one or more ST/SE may be rejected while the rest are accepted.

**277DRA:** The 277DRA acknowledgement is a redesign of the 277CA, which is specific for the PACDR X12 transactions, to report soft and hard edits. The OSDS process will check to ensure that functional edits are met (external code sets and logical validation). The 277DRA will be created with the results of Tier II editing. The status of each claim (accepted or rejected) will be reported on the 277DRA using standard X12 codes.

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**Figure 2: X12 Submission / Acknowledgement / Response Process**



### 3.1.9 NCPDP Response Files for each level of validation

**RJ File Response:** **RJ File Response:** The OSDS system first evaluates the submitted file to verify it is processible. While there are many reasons a file can fall into this category, the most well defined are as follows:

- File size exceeds 50MB
- File size = 0
- File cannot be identified as valid NCPDP syntax due to improper envelope composition.
- File naming convention is invalid
- Duplicate file name is submitted NCPDP files
- Submitter not approved for production
- Anything else that causes the file content to be deemed unrecognizable and not processible.

**RxFA (File Acknowledgement):** The RxFA will be sent back to verify that the OSDS successfully received the transmission and the file is readable/unreadable. The RxFA will indicate if the file is accepted or rejected. If the file is rejected, the appropriate error codes will be returned.

If the file is accepted, it will be staged for encounter validation.

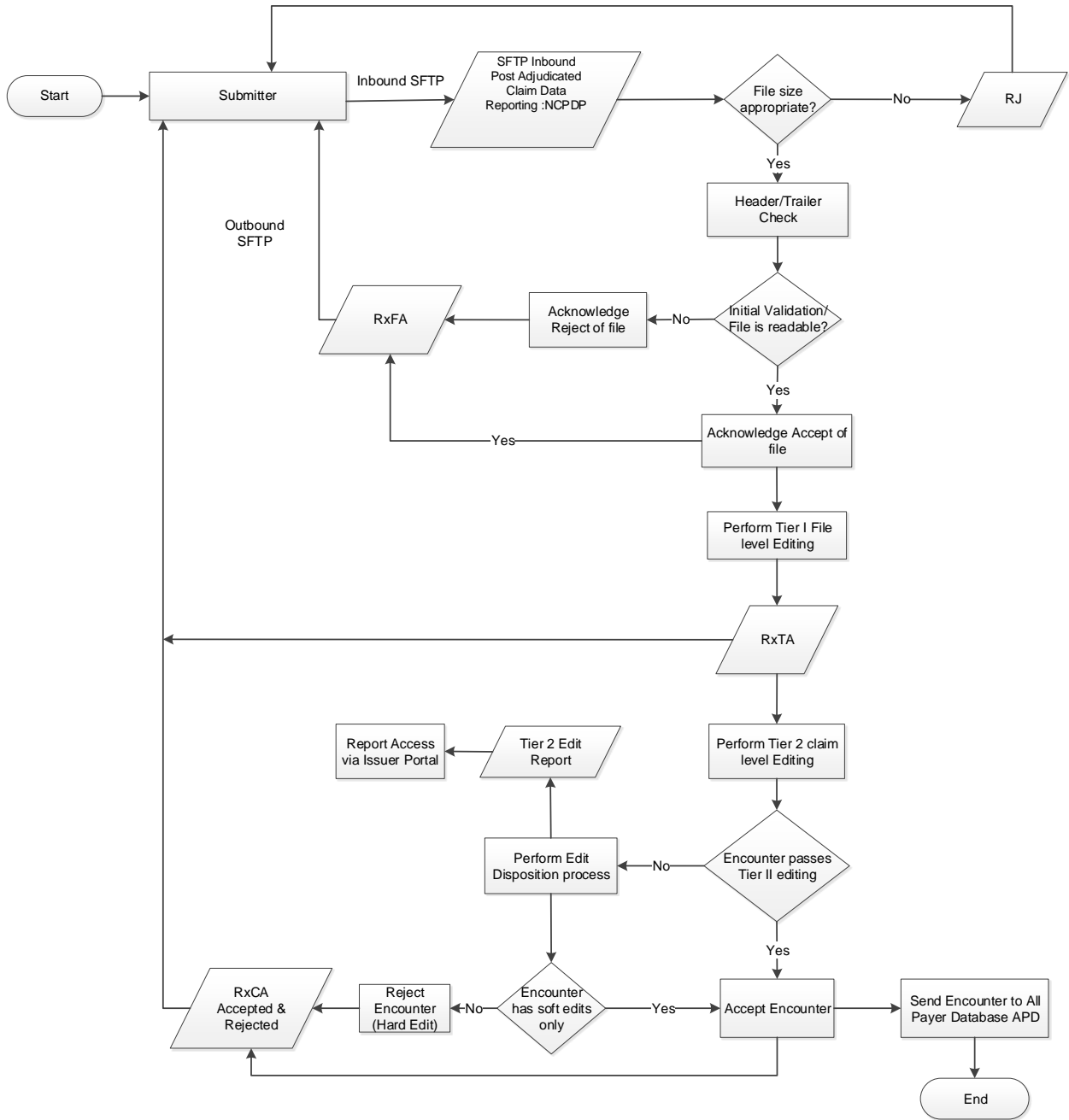
**RxTA (Transaction Acknowledgement):**

The purpose of the RxTA is to report the accept or reject status of each file. The determination of whether a file has passed or failed is determined at the Tier I level as defined in Section 3.1.7 File Processing. The RxTA response will be created for both accepted and rejected files.

**RxCA (Claim Acknowledgement):** The OSDS process will check to ensure that functional edits are met (external code sets and logical validation). The RxCA will be created with the results of Tier II editing. Each claim (whether accepted or rejected) will be reported on the RxCA. Multiple file rows per claim may be generated on the file for each edit failed by a claim. The edits will be identified using proprietary OSDS edits. The status (accepted or rejected) of each claim will be reported using proprietary OSDS codes.

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**Figure 3: NCPDP Submission / Acknowledgement / Response Process**



### 3.1.10 X12 834 Response Files for each level of validation

**RJ File Response:** **RJ File Response:** The OSDS system first evaluates the submitted file to verify it is processible. While there are many reasons a file can fall into this category, the most well defined are as follows:

- File size exceeds 50MB
- File size = 0
- File cannot be identified as valid X12 or NCPDP syntax due to improper envelope composition. For example: ISA is not = 106 characters, fixed width formats are not adhered to, etc
- File naming convention is invalid
- Duplicate file name is submitted for X12 PACDR files
- Submitter not approved for production
- Anything else that causes the file content to be deemed unrecognizable and not processible.

**TA1:** When a Data Submitter sends an X12 Member Plan Reporting (834) file via SFTP, a TA1 will be sent back as a handshake acknowledging that the OSDS successfully received the transmission. This acknowledgement will indicate whether the file was rejected or accepted for processing in the OSDS. For X12 a positive TA1 will only be sent when requested with value of '1' in ISA14. If the file is rejected, the appropriate error code will be returned.

If the file is accepted for processing, it will be staged for member validation.

If a Data Submitter does not receive a RJ or TA1 response, they should create a ticket for OSDS Help Desk through ServiceNow at <https://optum.service-now.com/itss2>.

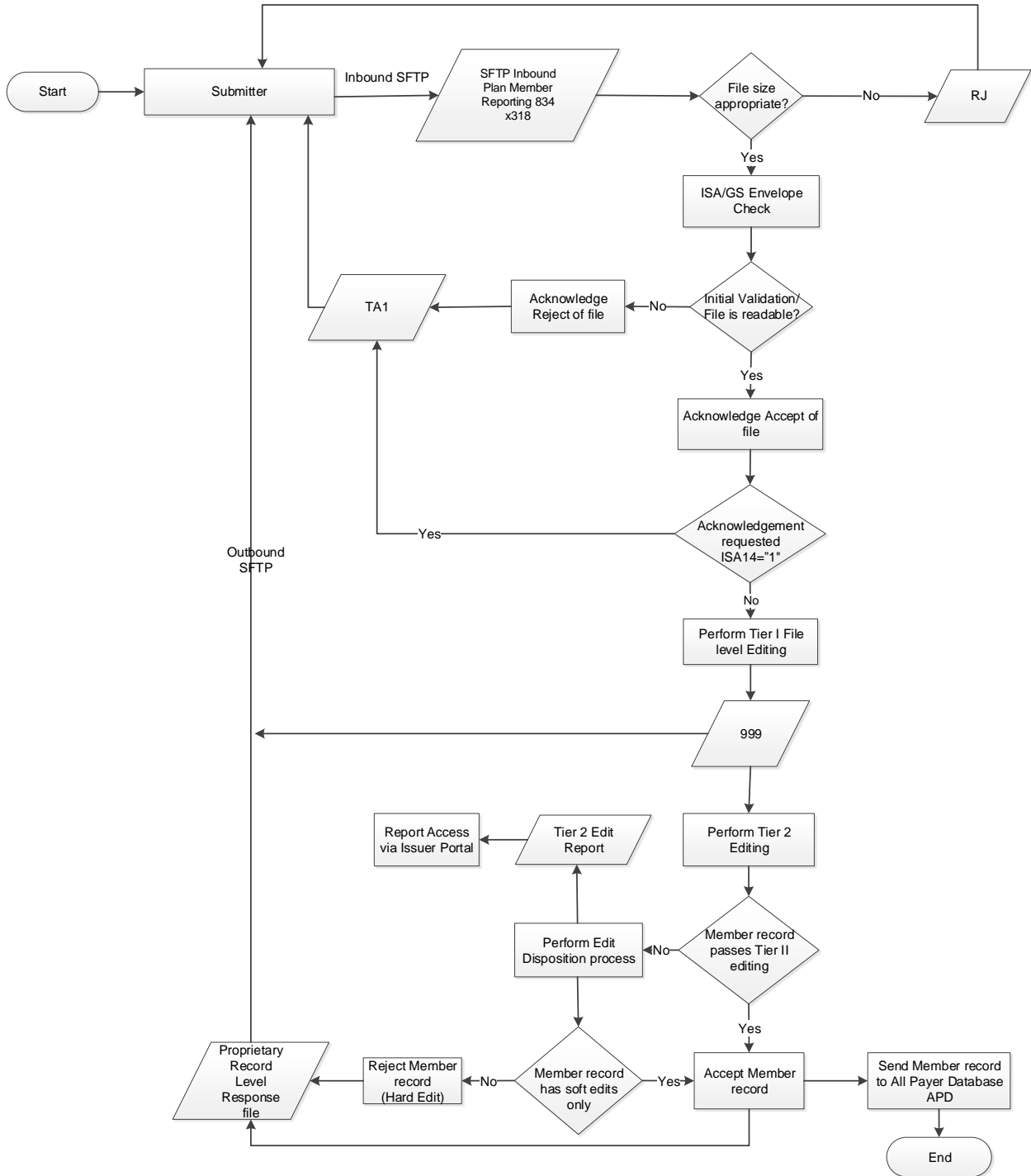
**999:** A 999 Functional Acknowledgment transaction is generated for all X12 files that do not fail TA1 level validation.

The purpose of the 999 response is to report the accept or reject status of each transaction (ST/SE) within a file. The determination of whether a transaction has passed or failed is determined at the Tier I level as defined in Section 3.1.7 File Processing. The 999 response will be created for both accepted and rejected transactions. When a submitter opts to submit using multiple ST/SE within a single file, it is possible one or more ST/SE may be rejected while the rest are accepted.

**834 Record Level Response:** The OSDS will provide a detailed report for each member record. This proprietary report is generated after the business edit validation process, and includes a status for each record. This report also includes all the edit reasons that apply to the member record which indicates an accepted, rejected and/or warning for the received record

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**Figure 4: 834 x318 Submission / Acknowledgement / Response Process**



## 4 Production Submissions

Once the data submitter has successfully completed testing each transaction type, they will be approved to submit production files to OSDS. Files submitted to the production environment prior to approval being granted will not be processed.

Successful testing is defined as being able to exchange files with the OSDS, submit at least 6 files with 40 or more records having an acceptance rate of 90% and to be able to process the associated response files.

### 4.1 Guidelines for Sending Production Files

Before submitting the production files to OSDS, the data submitter must:

**For X12 transactions:**

- Verify that the OSDS assigned Submitter Identifier is in data elements ISA06 (Interchange Sender ID) and GS02 (Application Sender's Code) is the Issuers HIOS ID, NAIC ID or OSDS assigned Payer ID
- Verify that the value in ISA08 and GS03 is 'NYSDOH-APD'
- Verify that there is only one ISA/IEA per file
- Verify that there is only one Functional group (GS/GE) for each envelope (ISA/IEA).

**For NCPDP transactions:**

- Verify that the OSDS assigned Submitter Identifier is in the Sending Entity Identifier fields in the History Header Record
- Verify that there is just one Header Record (PA) and one Trailer Record (PT)
- Verify that there is at least one Detail Record (DE)

**For all transactions:**

- Limit the file size up to 50 MB per file
  - If your file is greater than 50 MB, the file must be split into multiple parts less than 50 MB and put into a single Zip file.
  - If you have a multiple part file in a Zip file, each file must be a standalone file following the file formatting requirements for each file type and naming conventions listed in Section 3.1.4. Each file will be processed separately.
  - The .zip file naming convention listed in Section 3.1.5
- Apply a unique file name with no spaces or special characters in accordance with the file naming conventions listed in Section 3.1.5
- Upload the production file to the inbox
- Set the appropriate production indicator on the inbound file (P). Example:

**ASC X12 Transactions** For all ASC X12 Transactions set the Usage Indicator (Data Element ISA15) to a value of 'P'. Example:

ISA\*00\*      \*00\*      \*ZZ\*Test Prof1      \*ZZ\*NYSDOH-APD      \*010806\*1200\*\*00501\*000000008\*1\*P\*:-

**NCPDP Transactions**

Setting the Batch Header File Type (702-MC) to a value of 'P'

## **4.2 Production Availability**

The production environment is available 24 hours a day, 7 days a week excluding scheduled maintenance periods.

## **4.3 File Naming Convention**

The file naming convention is the same used in Sections 3.1.4 and 3.1.5.

## **4.4 File Processing**

Files processed in production follow the same path outlined in Section 3.1.6.



## 5 Resources

### Useful Websites

The registry for the National Provider Identifier (NPI) is the National Plan and Provider Enumeration System (NPPES), at:

<https://nppes.cms.hhs.gov/NPPES/Welcome.do>

Other resources pertaining to the National Provider Identifier:

<https://www.cms.gov/Regulations-and-Guidance/Administrative-Simplification/NationalProvIdentStand/index.html>

Implementation Guides and non-medical code sets are at:

<http://store.x12.org/>

The HIPAA statute, Final Rules, and related Notices of Proposed Rulemaking (NPRMS) are available at:

<https://www.cms.gov/Regulations-and-Guidance/Administrative-Simplification/HIPAA-ACA/StatutesandRegulations.html>

<http://aspe.hhs.gov/datacncl/adminsim.shtml>

Information from CMS about ICD-9 and ICD-10 codes:

<https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/HospitalAcqCond/Coding.html>

<https://www.cms.gov/ICD10/>

Quarterly updates to the HCPCS code set are available from CMS at:

<https://www.cms.gov/Medicare/Coding/HCPCSReleaseCodeSets/HCPCS-Quarterly-Update.html>

(CPT-4, or Level 1 HCPCS, is maintained and licensed by the American Medical Association and is available for purchase in various hardcopy and softcopy formats from a variety of vendors.)

Information at the Federal level about Medicaid can be found at:

<http://www.cms.hhs.gov/home/medicaid.asp>

The CMS online Manuals system includes Transmittals and Program Memoranda at:

<http://www.cms.hhs.gov/Manuals/>

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Place of Service Codes is listed in the Medicare Claims Processing Manual and is maintained by CMS, available online at:

<https://www.cms.gov/Regulations-and-Guidance/Guidance/Manuals/Downloads/clm104c26.pdf>

Information Security and Standards:

NIST 800-53a Rev4 Publication:

<http://nvlpubs.nist.gov/nistpubs/SpecialPublications/NIST.SP.800-53Ar4.pdf>

National Institute of Standards and Technology:

<http://www.nist.gov/>

Accounting for Disclosure:

<https://www.govinfo.gov/content/pkg/FR-2011-05-31/pdf/2011-13297.pdf>

## 6 Data Submitter Information Change Summary

Version	Date	Section(s) Changed	Change Summary
1.0	9/4/19		Initial Draft of Data Submitter Information Companion Guide for the OSDS
1.1	10/25/19	2.1, 2.2.1, 3, 3.1.3, 3.1.4, 3.1.5, 3.1.7, 3.1.9, 4.1	<ul style="list-style-type: none"> <li>• Updated OSDS contact information</li> <li>• Updated information for the EDI registration</li> <li>• Updated information on the OSDS assigned Submitter Identifier (ISA06), values for GS02) and NCPDP Sending Entity Identifier</li> <li>• Updated User ID for the inbound file naming convention and added program suffix for Medicare Advantage</li> <li>• Updated User ID for the outbound file naming convention</li> <li>• Updated contact information in 3.1.7 and 3.1.9</li> <li>• Updated OSDS assigned Submitter Identifier for X12 and NCPDP</li> </ul>
1.2	11/22/19	2.1, 2.2.1, 3.1.3, 3.1.4, 3.1.7, 3.1.9 and 4.1	<ul style="list-style-type: none"> <li>• Updated verbiage with OSDS Help Desk</li> <li>• Change verbiage for off-exchange commercial to include Medicare Advantage</li> <li>• Added naming convention for .zip file</li> <li>• Updated verbiage for EDI Registration</li> </ul>
1.3	2/5/20	2.3, 3.1.4, 3.1.6	<ul style="list-style-type: none"> <li>• Updated verbiage for SFTP Connectivity</li> <li>• Updated Example, (added program suffix), on Inbound Transaction for an 834 Submission.</li> <li>• Updated Example, (added program suffix), on Response Transactions for an Off-Exchange Commercial 834 x318 Submission</li> </ul>
1.4	4.10.2020	3.1.3, 3.1.6, 3.1.8, 3.1.9, 3.1.10	<ul style="list-style-type: none"> <li>• Submitter Id, X12, NCPDP</li> <li>• Update to descriptions and examples</li> <li>• Update to 999 descriptions and Flow Charts</li> <li>• Update to RxTA descriptions</li> <li>• Update to 999 descriptions</li> </ul>

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1.5	5.15.2020	3.1.8, 3.1.9, 3.1.10	<ul style="list-style-type: none"> <li>Added clarification due to Nystec UAT Finding for RJ ... “ if there is something wrong within the file that is causing it to be unrecognizable and un able to process.”</li> </ul>
1.5	6/10/2020	3.1.8, 3.1.9, 3.1.10	<p>Updated the language for RJ:</p> <p><b>RJ File Response:</b> The OSDS system first evaluates the submitted file to verify it is processible. While there are many reasons a file can fall into this category, the most well defined are as follows:</p> <ul style="list-style-type: none"> <li>File size exceeds 50MB</li> <li>File size = 0</li> <li>File cannot be identified as valid X12 or NCPDP syntax due to improper envelope composition. For example: ISA is not = 106 characters, fixed width formats are not adhered to, etc</li> <li>File naming convention is invalid</li> <li>Duplicate file name is submitted for X12 PACDR files</li> <li>Submitter not approved for production</li> <li>Anything else that causes the file content to be deemed unrecognizable and not processible.</li> </ul>
1.6	6/16/2020	3.1.6	<p>Outbound File Naming Convention &gt; Response Transactions for an Off-Exchange Commercial 834 x318 Submission:</p> <ul style="list-style-type: none"> <li>Update: Response Transactions for an Off-Exchange Commercial 834 x318 Submission:</li> <li>834 Record Level Response was changed to “TR” as the response as listed as “HN”</li> </ul>
1.7	10/1/2020	3.1.4	<p>Enhanced the example for the control number/sequence number.</p> <p>Sequence Number</p> <p>A sequence number to uniquely identify the file within the timestamp. (This is a 3 digit numeric value)</p>

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1.8	6/26/2024	3.1.9	RJ File Response; removed mention of X12 examples: <del>X12 or, For example: ISA is not = 106 characters, fixed width formats are not adhered to, etc., for X12 PACDR</del>
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