Minnesota Department of Labor and Industry
      Workers' Compensation Division

Notice of Adoption of Version 3.1 of the Claims Release Standard published by the International Association of Industrial Accident Boards and Commissions and revisions to the corresponding Minnesota implementation guide, for purposes of serving and electronically filing workers' compensation reports and documents with the commissioner

Notice is hereby given that the commissioner of the Minnesota Department of Labor and Industry (DLI) has adopted Version 3.1 of the Claims Release Standard (R3.1) published by the International Association of Industrial Accident Boards and Commissions (IAIABC) and the corresponding Minnesota Release 3.1 electronic filing and implementation guide (Minnesota implementation guide). R3.1 and the Minnesota implementation guide will be used by self-insured employers, insurers and third-party administrators (called trading partners) that are required by law to electronically report workers' compensation claim information to the commissioner on or after August 31, 2020. They will also be used by the trading partners' vendors that facilitate submission of the electronic transactions to DLI on or after August 31, 2020.

Statutory authority and background: The commissioner's authority to adopt the IAIABC Claims Release Standard and the corresponding Minnesota implementation guide is in Minnesota Statutes, section 176.231, subd. 5 (2019, 1st sp. session). Under this law, the adopted versions of the Claims Release Standard and Minnesota implementation guide are not rules under Minnesota Statutes, chapter 14, but they have the force and effect of law as of the effective date, which will be Monday, August 31, 2020.

Minnesota adoption of Claims Release 3.1: Minnesota Statutes, section 176.231requires self-insured employers and insurers to file first reports of workers' compensation injuries (FROI) and subsequent reports of injury (SROI) with the commissioner. The commissioner is adopting R3.1 because it conforms to the most recent claims reporting standard, which includes data elements important to Minnesota claims reporting. This mandate does not affect the method insured employers use to report injuries to their insurance companies or to the commissioner.

The Minnesota implementation guide: The Minnesota implementation guide describes the transfer of data between trading partners and DLI. DLI mandates submission of data using an ACORD XML format, as described in the guide. The Minnesota implementation guide is the Minnesota-specific documentation that technically implements the R3.1 format; it explains how R3.1 is used in the Minnesota workers' compensation system for its FROI and SROI electronic reporting structure. The FROI transaction is used to transmit new and updated claim information; the SROI transaction is used to transmit payment and denial information related to previously submitted claims. R3.1 defines the types of electronic transactions that can be reported. Each of the transactions is associated with one or more record types with various fields. The fields within the transactions are known by specific data element numbers that identify the type of data contained.

Certain fields in the EDI record are validated to enforce database integrity and to inform DLI's trading partners whether the transmission or transaction is accepted or rejected. As the transmission and transaction are validated for consistency and accuracy, acknowledgment transactions are sent back to each trading partner. In the case of a rejected transmission (e.g., a missing header record data element), the acknowledgment record is created and no further processing of that transmission file will take place (i.e., nothing is written to DLI's database). In the case of a rejected transaction, (e.g.,

a missing value for a mandatory field), the acknowledgment record will be created but no further processing of that transaction will take place (i.e., nothing is written to the database for that claim). If rejected, a new transmission or transaction must be submitted.

The adopted R3.1 standard and Minnesota implementation guide will be used in conjunction with all applicable Minnesota workers' compensation statutes and rules that are not replaced by the adopted standard and implementation guide.

Revisions to the Minnesota implementation guide as proposed. On February 18, 2020, DLI published a Notice of Intent to Adopt R3.1 and the corresponding Minnesota implementation guide in the Minnesota *State Register* and on DLI's webpage at www.dli.mn.gov/business/workers-compensation/work-comp-electronic-data-interchange-edi-and-efroi-web-portal. DLI also sent the Notice of Intent to more than 3600 persons representing trading partners and other entities. The comment period ended at 4:30 p.m., on Monday, May 18, 2020. Comments received may be reviewed by contacting DLI at the email or phone number below. Most of the comments involved technical issues or requests for clarification.

After considering the comments, the Minnesota implementation guide as proposed is hereby adopted with the following technical, grammatical and formatting changes or corrections for clarification, accuracy and ease of use. The changes correct typographical errors, provide consistency among the guide and tabs in the appendices and clarify existing requirements.

Minnesota Implementation Guide
- Added ACORD to the title page and page 4
    - Clarify the XML format
- Changed wording from EDI to eFROI/eSROI
    - Match Table of Contents in section 2.4
- Added additional context to attachment and forms returned sections and updated to reference Appendix E
    - Additional explanation of attachments, typographical error in Appendix reference
- Added additional edit for DN0056 for both FROI and SROI transactions
    - Consistency with Element Requirement Table
- Added section to MTC Additional Considerations table to further define UI transactions
    - Additional explanation of UI submission requirements
- Updated the table entitled *MTCs that are returned by DLI and required to be served or sent to the employee*
    - Clarify which MTCs will require forms be served or sent to the employee
- Updated page numbers, Table of Contents numbering, and publication date

Appendix A. R3.1 MN Element Requirement Table
- FROI Conditional Requirements Tab
    - Added AQ to MTC list for DN0006
        - Consistency with Minnesota Implementation Guide
    - Added additional requirement for DN0042, DN0154, and DN0206 for AQ.
        - Consistency with Minnesota Implementation Guide
    - Removed MTC 02 from following: DN0119, DN0120, DN0121, DN0122, DN0123
        - Consistency with FROI Element Requirements Tab
    - Added MTC 02 to following: DN0185, DN0314

- Consistency with FROI Element Requirements Tab
- FROI Element Requirements Tab
    - Updated DN0016 to K Update for 02 Changes only
        - Consistency with SROI Element Requirements Tab
- SROI Conditional Requirements Tab
    - Added 400 to values list for DN0216
        - Consistency with Edit Matrix – Valid Values Tab
    - Clarified requirements for DN0256
        - Clarification/additional explanation of edit
    - Updated language for DN0433 to reference Benefit Credit Code C
        - Typographical error
- FROI 02 Exceptions Tab
    - Updated language for the exceptions to match SROI 02 Exceptions
        - Consistency with SROI 02 Exceptions Tab
- Event Benefit Conditional Requirements Tab
    - Added following conditions to DN0192: Required for Event Benefit Segments if Number of Benefits (DN0288) is > 0 and MTC (DN0002) is AP, IP, PY, RB, SX or 02
    Not required for Benefit Type Code (DN0085) 250 (Employer Paid Temporary Total
        - Consistency with IAIABC Event Benefit Segment Requirements
    - Added row for DN0211
        - Consistency with Event Benefit Segment Requirements Tab and Minnesota Implementation Guide
    - Added following conditions to DN0087, DN0090, DN0091, DN0174, DN0175, and DN0211: Must be valid numeric unless Benefit Type Code (DN0085) is 5XX
        - Consistency with Event Benefit Segment Requirements Tab
- SROI Element Requirements Tab
    - Updated DN0130, DN0131, DN0132, and DN0133 to Y for all 02 Changes
        - Correction of incorrect code

Appendix B. R3.1 MN Edit Matrix
- DN-Error Message Tab
    - Added Error Message regarding Match Data for DN0270
        - Consistency with edits in Minnesota Implementation Guide
    - Removed Error Message for numeric values for DN0206
        - Consistency with edits in Minnesota Implementation Guide
- Population Restrictions Tab
    - Added restrictions to the following DNs to match MN Implementation Guide edits: DN0006, DN0027, DN0031, DN0032, DN0036, DN0037, DN0041, DN0050, DN0051, DN0052, DN0061, DN0062, DN0064, DN0070, DN0074, DN0076, DN0134, DN0137, DN0149, DN0159, DN0172, DN0176, DN0187, DN0192, DN0193, DN0196, DN0199, DN0203, DN0205, DN0206, DN0211, DN0223, DN0237, DN0249, DN0256, DN0270, DN0273, DN0274, DN0275, DN0276, DN0277, DN0278, DN0279, DN0282, DN0283, DN0284, DN0286, DN0287, DN0289, DN0292, DN0294, DN0314, DN0329, DN0403, DN0404, DN0405, DN0406, DN0407, DN0408, DN0424, DN0428, DN0436

- Consistency with Minnesota Implementation Guide
- Sequencing Tab
  - Added clarification for AQ and FROI UR sequencing requirements
    - Clarification of existing edit
  - Added requirement of 2b or 2c event for ER and RB transactions
    - Consistency with MN Sequencing Tab
  - Added clarifying language for CA transactions following SX transactions
    - Clarification of existing edit
  - Added UI as applicable MTC to precede FROI 02 transactions
    - Consistency with MN Sequencing Tab
  - Added AP as applicable MTC to precede CA and SA transactions
    - Consistency with MN Sequencing Tab
  - Updated MTCs able to be submitted directly after AQ transactions
    - Consistency with MN Sequencing Tab
- MN Sequence Tab
  - Added UI as applicable MTC to precede FROI 02 transactions
    - Additional edit
  - Added AP as applicable MTC to precede CA and SA transactions
    - Additional edit
  - Updated MTCs able to be submitted directly after AQ transactions
    - Additional edit

Appendix C. R3.1 Event Table
- FROI Tab
  - Removed paper form name from FROI 02
    - Change in form requirement
- SROI Tab
  - Added form name for CB transactions
    - Change in form requirement

How to obtain Claims Release 3.1 and the Minnesota implementation guide: The adopted Minnesota implementation guide is available electronically for viewing and downloading on DLI's website at www.dli.mn.gov/business/workers-compensation/work-comp-electronic-data-interchange-edi-and-efroi-web-portal.The adopted Claims Release R3.1 is copyrighted by and can be purchased from the IAIABC at www.iaiabc.org. Any person may arrange to review a paper copy of R3.1 and the Minnesota implementation guide at DLI by contacting DLI at campus.ediguide.DLI@state.mn.us or 651-284-5011.

Dated: May 22, 2020

Nancy J. Leppink, Commissioner
Department of Labor and Industry