

6.3.2 TIN Validation

CMS uses the following procedures to process and manage TIN Codes.

- On a Claim Input File Detail Record, a TIN/Office Code combination in Fields 52 and 53 must match a TIN/Office Code combination included on a current or previously submitted TIN Reference File Detail Record. (The Office Code field can be left blank if it is not used.)
- All RRE TINs submitted in Field 52 must be valid IRS-assigned tax IDs (except for foreign RRE pseudo-TINs). Only the TIN will be used in this validation. We do not also match on an associated IRS-assigned name and address.
- If you receive a compliance error on a TIN you believe is valid, please contact your EDI Representative. Upon receipt of the appropriate documentation, your EDI Representative will mark the TIN as valid and it will be accepted on subsequent file submissions.
- No validation is done on RRE-assigned pseudo-TINs submitted for foreign RREs other than to check for a 9-digit number beginning with ‘9999’.

6.3.3 Address Validation and TIN Reference Response File

Basic Field Validation

- If an RRE submits a TIN Reference File at the same time as their Claim Input File, the BCRC will process the TIN Reference File first. It will process the Claim Input File after the TIN Reference File processing is complete. RREs may also submit a TIN Reference File alone (without submission of a Claim Input File). In such case the system will process the TIN file in the BCRC’s next scheduled batch cycle. There is no defined file submission timeframe associated with a separately submitted TIN Reference File.
- On all TIN Reference Files submitted, basic field validations will be performed according to the field descriptions in the TIN Reference File layouts in the NGHP User Guide Appendices Chapter V (Appendix B).
- Each RRE TIN will be validated to ensure it is a valid IRS-assigned tax ID. Only the TIN will be used in this validation process. In this step, CMS does not require that any name and address submitted with the TIN necessarily has to match the name and address associated with that TIN by the IRS. (But see “Address Validation,” below.)
- If an error is found on an input TIN Reference File Detail Record during the basic field validation step, the TIN Reference Response File will include a ‘TN’ disposition code and error codes specific to the errors identified (See the TIN Response File Error Codes table in the NGHP User Guide Appendices Chapter V).
- As with other Section 111 file processing, when reports of certain severe errors are generated for TIN Reference Files, notification is sent to RREs via email alerts. “Severe errors” include missing header or trailer records, incorrectly formatted header and trailer records or an invalid record count on the trailer. RREs notified of a severe error must contact their assigned EDI Representative and resubmit a corrected TIN Reference File, as instructed.

Address Validation

In this step, mailing addresses associated with TINs have already been validated.

- TIN Reference File records that pass the basic field validation edits will be further processed by the BCRC using a postal software address analysis tool. This tool will be used to validate and improve the standardization of mailing addresses.
- Non-foreign addresses will be reformatted into the standardized format recommended by the U. S. Postal Service (USPS), so that they can be matched against another database of valid, deliverable addresses. This process will involve such changes as correcting misspellings, changing the order of the individual components of the primary address line(s), and applying standard postal abbreviations, such as RD for “Road.”
- After the address is standardized, it will be matched to the postal database. This matching will include Delivery Point Validation (DPV). When a match to a deliverable address is confirmed, the address is considered valid.
- If a standardized address received by CMS is matched to one that is considered an undeliverable address, such as a vacant lot, the address will be considered invalid.
- The general “return codes” provided by the postal software address analysis tool will be translated into more specific descriptive error codes that will indicate why the address failed to be validated. These descriptive error codes are included in the TIN Response File Error Codes table in the NGHP User Guide Appendices Chapter V (Appendix G).
- Address validation will be applied to the TIN/Office Code Mailing Address submitted in a TIN Reference File Detail Record in Fields 6 – 11, where the TIN/Office Code State (Field 9) is not equal to ‘FC’ (foreign).
- Foreign RRE Addresses, submitted in Fields 12 – 15 on TIN Reference File Detail Records where the State code in Field 9 equals ‘FC’, will *not* be validated in this step. Only the basic field validation steps will apply to the Foreign RRE Address.

TIN Reference Response File

- TIN Reference Response Files will start with a header record, followed by all TIN Reference File Detail Records, and end with a trailer record containing the Detail Record count. Each record is a fixed length of 1000 bytes. The file layout is shown in the NGHP User Guide Appendices Chapter V (Appendix G).
- The TIN Reference Response File Detail Record will contain the submitted TIN/Office Code, a disposition code, ten error code fields, the submitted mailing address, applied mailing address, any submitted foreign RRE address, and an indicator to show whether the system applied changes to the mailing address fields. This file will also include five fields regarding any submitted paperless indicators.
- If a TIN Reference File Detail Record **fails** the TIN and/or TIN address validation, it will be rejected. In such case a corresponding TIN Reference Response File Detail Record will be returned with a value of ‘TN’ in the TIN Disp Code (Field 22).
- **Note:** A TN30 error will be returned on the response file if Field 22 does not contain four numeric digits, all zeroes, or all spaces. However, the error no longer causes records to reject.
- If your address fails validation with USPS, you must visit your local USPS office to correct this issue. Please make the correction immediately, as TN errors delay MSP records posting.
- Associated errors in the TIN Error 1-10 (Fields 23 - 32), as documented in the TIN Response File Error Codes table in the NGHP User Guide Appendices Chapter V (Appendix G)

- TIN Reference File TIN, Office Code, name and mailing address in the Submitted TIN, Submitted Office Code/Site ID, Submitted TIN/Office Code Mailing Name and Address (Fields 3 - 11)
- Spaces in the Applied TIN/Office Code Mailing Address (Fields 12 - 17)
- Spaces in the TIN/Office Code Address Change Flag (Field 33)
- If a TIN Reference File Detail Record **passes** the TIN and TIN address validation, it will be accepted and a TIN Reference Response File Detail Record returned with:
 - A value of '01' in the TIN Disp Code (Field 22)
 - TIN Reference File TIN, Office Code, name and mailing address in the Submitted TIN, Submitted Office Code/Site ID, Submitted TIN/Office Code Mailing Name and Address (Fields 3 - 11)
 - Addresses the BCRC will use for subsequent processing in the corresponding Applied TIN/Office Code Mailing Address (Fields 12 - 17)
- The following fields will receive warning codes for invalid values. For these, the record will not be rejected.
 - TN37 (Invalid TIN/Office Code Paperless Indicator) (Field 23)
 - TN39 (Invalid Recovery Agent Paperless Indicator (Field 24)TN38 (TIN does not match to an MSPRP account) or TN40 (Recovery Agent TIN does not match to an MSPRP account) (Field 25)
- If the Applied TIN/Office Code Mailing Address (Fields 12 - 17) is different from the Submitted TIN/Office Code Mailing Address (Fields 6 – 11), the TIN/Office Code Address Change Flag (Field 33) will be set to 'Y'. If they are the same, Field 33 will be set to 'N'.
- If there was a TIN Reference File Detail Record previously submitted that matches the new TIN Reference File Detail Record being processed, the new record will overlay the prior record on the COB database and the new record will be used for subsequent Claim Input File processing, regardless of the TIN Disp (disposition) Code returned. New but erroneous TIN records can replace previously existing TIN records that were valid, and vice versa. **Errors on TIN Reference File records will result in the rejection of subsequently processed Claim Input File Detail Records that have matching RRE TIN/Office Codes.** TIN records returned with errors must be corrected and resubmitted in order for the corresponding Claim Input File Detail Records to process correctly.
- The system will take approximately 3 to 7 business days to process a TIN Reference File and create the TIN Reference Response File. If an RRE submits a TIN Reference File with its Claim Input File, the system will process and produce the TIN Reference Response File first. RREs may also submit a TIN Reference File without submission of a Claim Input File and the system will proceed with processing the TIN file in the next scheduled batch cycle.
- TIN Reference Response Files will be created for both test and production TIN Reference File submissions.
- RREs are encouraged to update their internal systems with the applied address fields returned.
- RREs are encouraged to pre-validate RRE addresses using postal software or online tools available on the USPS website, such as https://tools.usps.com/go/ZipLookupAction_input.

Processing TINs on the Claim Input File

- The TIN and Office Code/Site ID (Claim Input File Fields 52 and 53) will be matched to the COB database table of valid, **accepted** TIN Reference File records submitted by the RRE.
- If a match is found, the TIN/Office Code information will be used in subsequent processing of claim information by Medicare and also be passed to the BCRC.
- If a match is not found to a valid TIN record, the Claim Input File Detail Record will be **rejected** and returned on the Claim Response File with a ‘SP’ disposition code and a TN99 error code, indicating that a valid TIN/Office Code record could not be found. This error will not provide information as to why the TIN record was rejected. **RREs will have to refer to the errors identified and returned on their TIN Reference Response Files** to determine what caused the matching TIN record to be rejected. An RRE will then need to resubmit corrected TIN Reference File records, and also to resubmit the corresponding Claim Input File Detail Records that were rejected, either in their next file submission or as instructed by their EDI Representative.

Direct Data Entry (DDE) TIN and TIN Address Validation

Although NGHP DDE reporters do not submit TIN Reference Files, they do submit the same TIN information online. The Section 111 COBSW does some basic editing of the TIN and associated address and will continue to do so.

- All TIN edits applied to TIN Reference File records will be applied, in the batch process, to TIN information submitted via DDE after the claim has been submitted.
- Checks to ensure the TIN is a valid, IRS-assigned TIN (except for a foreign RRE pseudo-TIN) and to validate addresses will only be performed in batch.
- If a TIN error is found during batch processing, the claim will be marked complete but an ‘SP’ disposition will be returned. The associated TN errors will be displayed on the Claim Confirmation page and must be corrected by editing the invalid fields. Once corrected, the claim report must be resubmitted for processing.
- Refer to the TIN Response File Error Codes table in the NGHP User Guide Appendices Chapter V (Appendix G) for a list of possible TIN errors that could be returned for a claim submitted via DDE.
- TIN information from DDE submissions will be added to the COB database TIN table and transmitted to the BCRC as is done for TIN Reference File processing.
- RREs are encouraged to pre-validate RRE addresses using postal software or online tools available on the USPS website pages, such as https://tools.usps.com/go/ZipLookupAction_input.

6.4 Total Payment Obligation to the Claimant (TPOC) Reporting

The TPOC Amount refers to the dollar amount of a settlement, judgment, award, or other payment **in addition to or apart from ORM**. A TPOC generally reflects a “one-time” or “lump sum” settlement, judgment, award, or other payment intended to resolve or partially resolve a claim. It is the dollar amount of the total payment obligation to, or on behalf of the injured party in connection with the settlement, judgment, award, or other payment. Individual