

## TIN Reference Response File

### Slide 1 of 34 - TIN Reference Response File Introduction

**CMS**  
CENTERS FOR MEDICARE & MEDICAID SERVICES

**COB&R**  
Coordination of  
Benefits and Recovery

# MMSEA Section 111 Group Health Plan

## TIN Reference Response File Introduction

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<https://go.cms.gov/mirghp>.

### Slide notes

Welcome to the Tax Identification Number (TIN) Reference Response File course.

**Slide 2 of 34 - Disclaimer**

## Disclaimer

While all information in this document is believed to be correct at the time of writing, this Computer Based Training (CBT) is for educational purposes only and does not constitute official Centers for Medicare and Medicaid Services (CMS) instructions for the MMSEA Section 111 implementation. All affected entities are responsible for following the instructions found at the following link:

<https://go.cms.gov/mirghp>.

**Slide notes**

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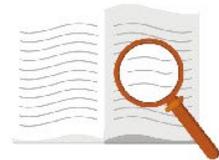
All affected entities are responsible for following the instructions found at this link:

<http://go.cms.gov/mirghp>.

**Slide 3 of 34 - Course Overview**

## Course Overview

- TIN Reference Response File
- TIN Validation



**Slide notes**

This learning module explained the TIN Reference Response File and TIN Validation.

**Slide 4 of 34 - TIN Reference Response File**

## TIN Reference Response File

- RREs will receive a TIN Reference Response File for every TIN Reference File submitted
- System will take approximately 3 business days to
  - Process a TIN Reference File and
  - Create the TIN Reference Response File
- Email notifications will be sent to the Account Manager for the RRE ID when a response file has been transmitted or is available for download

**Slide notes**

Responsible Reporting Entities (RREs) will receive a TIN Reference Response File for every TIN Reference File submitted (i.e., for both test and production TIN Reference File submissions).

The system will take approximately three business days to process a TIN Reference File and create the TIN Reference Response File.

Email notifications will be sent to the Account Manager for the RRE ID when a response file has been transmitted or is available for download.

**Slide 5 of 34 - TIN Reference Response File**

## TIN Reference Response File

- Provides
  - Specific information regarding applicable errors
  - Indication as to whether each TIN Reference File Detail Record was accepted or rejected
  - Values submitted by the RRE
  - Values applied/changed by the BCRC, as applicable

**Slide notes**

The TIN Reference Response File provides RREs with specific information regarding applicable errors found on TIN Reference File Detail Records, an indication as to whether each TIN Reference File Detail Record was accepted or rejected, the values submitted by the RRE and the values applied/changed by the Benefits Coordination & Recovery Center (BCRC), as applicable.

**Slide 6 of 34 - TIN Reference Response File Preparation**

## TIN Reference Response File Preparation

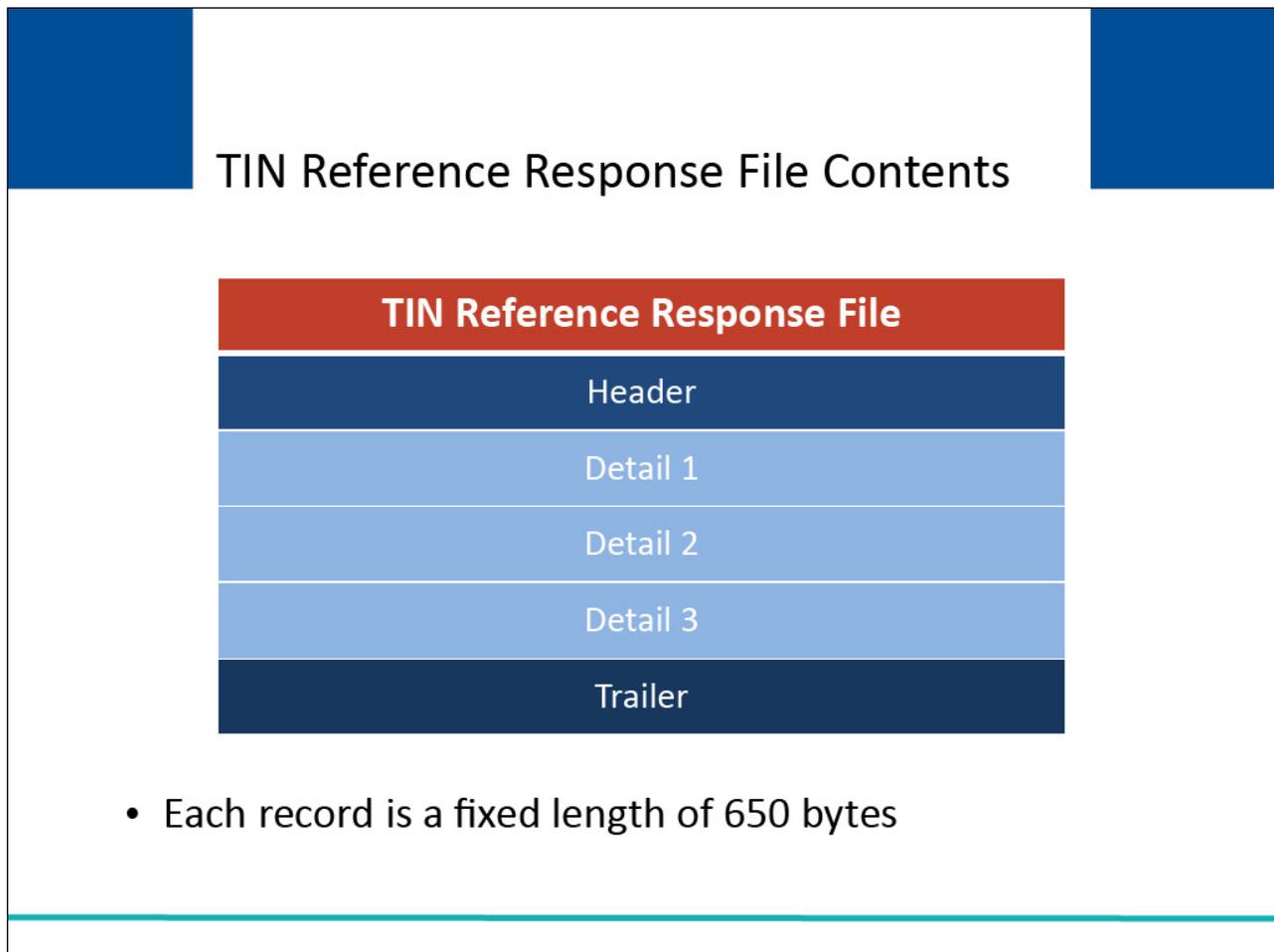
- RREs are encouraged to pre-validate addresses using postal software or online tools such as those found here: <https://tools.usps.com/go/ZipLookupAction!input.action>
- RREs should try to use standard abbreviations and adhere to USPS standards
- Address validation enhancements will “scrub” submitted addresses, but RREs should adhere to standards to improve results

**Slide notes**

RREs are encouraged to pre-validate employer and insurer/Third Party Administrator (TPA) addresses using postal software or online tools available on the United States Postal Service (USPS) website pages such as the link shown here:

<https://tools.usps.com/go/ZipLookupAction!input.action.%20RREs%20should%20try%20to%20use%20standard%20abbreviations%20and%20adhere%20to%20USPS%20standards>.

The address validation enhancements effective in the BCRC Section 111 system will “scrub” addresses submitted on the TIN Reference File using USPS standards, but it is recommended that RREs attempt to adhere to these standards as well to improve results.

**Slide 7 of 34 - TIN Reference Response File Contents****Slide notes**

The TIN Reference Response File will contain a Header Record, followed by Detail Records for each submitted TIN Reference File Detail Record, followed by a Trailer Record. Each record is a fixed length of 650 bytes.

**Slide 8 of 34 - TIN Reference Response File Contents**

## TIN Reference Response File Contents

- Detail Record
  - Submitted TIN
  - Disposition Code (TIN Disp)
  - Ten error code fields
  - Submitted mailing address
  - Applied mailing address
  - Submitted insurer demand address
  - Applied insurer demand address
  - Submitted TIN indicator
  - Submitted foreign employer address
  - Indicators to show whether the system applied changes to the mailing or insurer demand address fields
- Trailer Record
  - Includes count of the Detail Records only

**Slide notes**

Each Detail Record will include the following:

the submitted TIN,

a disposition code (TIN Disp),

ten error code fields,

the submitted mailing address,

the applied mailing address,

the submitted insurer demand address,

the applied insurer demand address,

the submitted TIN indicator,

the submitted foreign employer address, and

indicators to show whether the system applied changes to the mailing or insurer demand address fields.

The Trailer Record will include a count of the total number of Detail Records included in the submission. This count does not include the Header and Trailer Records.

**Slide 9 of 34 - Severe Errors**

## Severe Errors

- Email notification will go to the Account Manager
  - Missing Header or Trailer Records
  - Incorrectly formatted Header and Trailer Records
  - Invalid record count on the trailer
  - Empty files
- Contact your assigned EDI Representative
  - Resubmit a corrected TIN Reference File

**Slide notes**

As with other Section 111 file processing, certain severe errors may be generated, and notification returned to RREs via email alerts for TIN Reference Files.

These include severe errors for missing Header or Trailer Records, incorrectly formatted Header and Trailer Records, an invalid record count on the trailer, and empty files.

In the event of a severe error, RREs must contact their assigned Electronic Data Interchange (EDI) Representative and resubmit a corrected TIN Reference File as instructed.

**Slide 10 of 34 - TIN Reference File Validation**

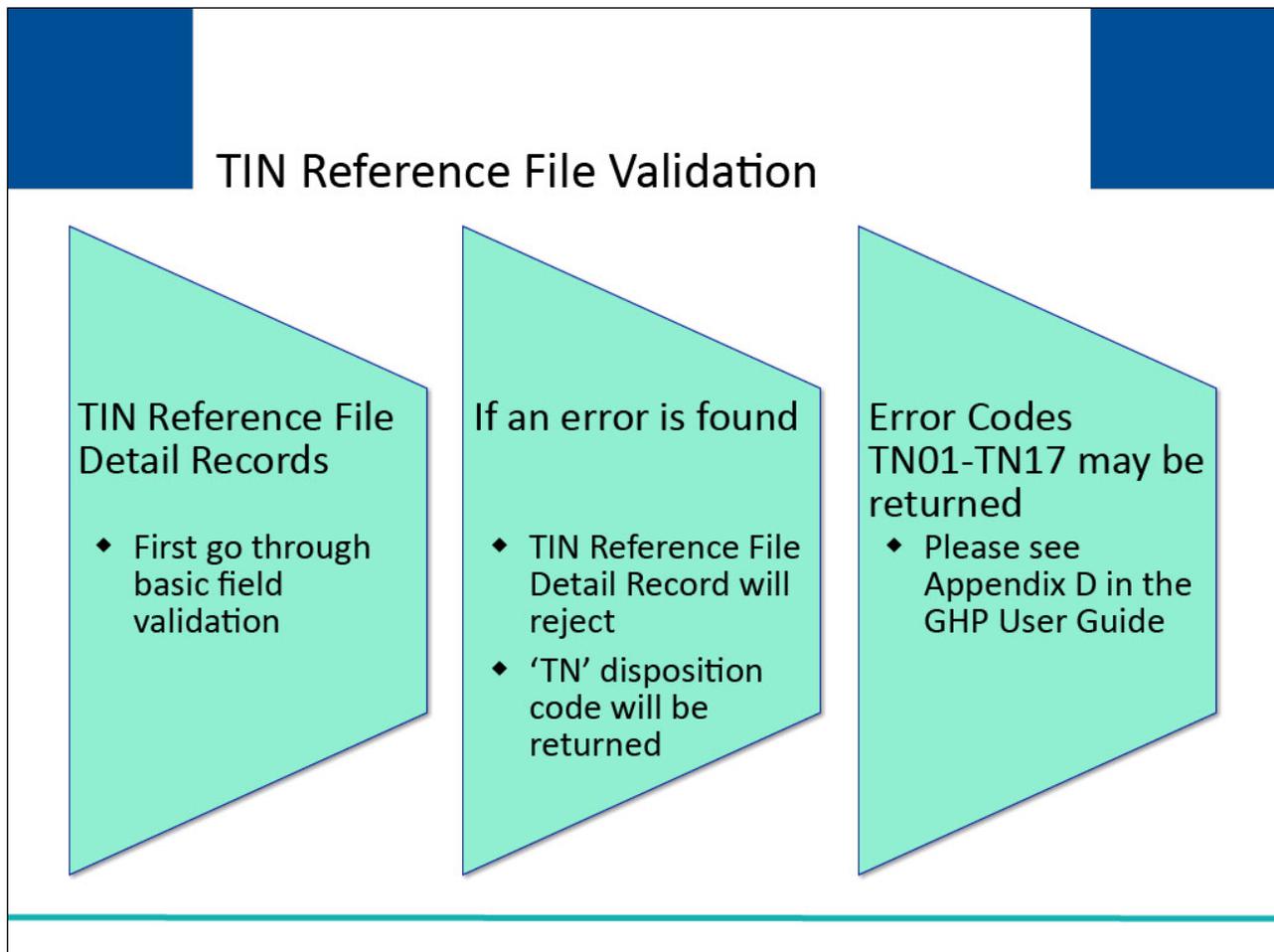
## TIN Reference File Validation

- Once received by the BCRC, the TIN Reference File will be edited to ensure data was submitted as required
- For a TIN Reference File Detail Record to be accepted, it cannot have any errors

**Slide notes**

When the BCRC receives a TIN Reference File, editing will be done to ensure data was submitted as required (i.e., properly formatted and all required elements are present).

In order for a TIN Reference File Detail Record to be accepted, it cannot have any errors.

**Slide 11 of 34 - TIN Reference File Validation****Slide notes**

Basic field validations will be performed according to the field descriptions in the TIN Reference File layouts in Appendix A. Each TIN will be validated to ensure it is a valid Internal Revenue Service (IRS)-assigned tax ID.

If an error is found on a TIN Reference File Detail Record during the basic field validation step, the TIN Reference File Detail Record will be rejected and returned on the TIN Reference Response File with a 'TN' disposition code and error codes specific to the errors identified. Error Codes TN01-TN17 may be returned from this basic field validation process. Please see Appendix D in the GHP User Guide for a description of these Error Codes.

**Slide 12 of 34 - Address Validation**

## Address Validation

- If a TIN Reference File Detail Record passes basic field validation
  - TIN Mailing Address for non-foreign addresses will be reformatted into the standardized format as recommended by the USPS
- Standardized format includes the following changes
  - Correcting misspellings
  - Changing order of individual components of the primary address line
  - Applying standard postal abbreviations

**Slide notes**

If a TIN Reference File Detail Record passes the basic field validation, the TIN Mailing Address for non-foreign addresses (i.e., the State code in Field 6 is not equal to 'FC') will be reformatted into the standardized format as recommended by the USPS.

This process involves changes like correcting misspellings, changing the order of the individual components of the primary address line, and applying standard postal abbreviations such as RD for "Road".

**Slide 13 of 34 - Standardized Formatting**

## Standardized Formatting

- Applied to the following addresses where the State Code (Field 6) is not equal to 'FC'
  - Insurer/TPA Address (Fields 3-7) where TIN Indicator equals 'I'
  - Insurer/TPA Demand Address (Fields 10-14) where TIN Indicator equals 'I'
  - Employer Address (Fields 3-7) where TIN Indicator equals 'E', 'F', 'S', or 'Z'
- Foreign Employer Addresses with TIN Indicator of 'E', 'S', or 'Z' and where State Code (Field 6) equals 'FC', will not be validated
  - Only basic field validations apply
  - Will not be reformatted

**Slide notes**

Standardized formatting will be applied to the following addresses on TIN Reference File Detail Records that have passed all the basic field validations where the State Code in Field 6 does not equal 'FC':

Insurer/TPA Address in TIN Reference File Fields 3 - 7 where the TIN Indicator equals 'I';

Insurer/TPA Demand Address in TIN Reference File Fields 10-14 where the TIN Indicator equals 'I'; and

Employer Address in TIN Reference File Fields 3 - 7 where the TIN Indicator equals 'E', 'F', 'S', or 'Z' and the State Code in Field 6 is not equal to 'FC'.

Note: Foreign Employer Addresses submitted on TIN records with a TIN Indicator of 'E', 'S', or 'Z' where the State Code in Field 6 equals 'FC' will not be validated in this step.

Only the basic field validations will apply to the Foreign Employer Address. The submitted Foreign Employer Address will not be reformatted in this process.

**Slide 14 of 34 - Address Validation**

## Address Validation

- After the address is standardized, it will be matched against the postal database

When a match is confirmed

- ◆ Address is considered valid

When address is matched to an undeliverable address, it is not considered valid

- ◆ Error Codes TN18-TN29 may be returned
- ◆ Please see Appendix D in the GHP User Guide

**Slide notes**

After the address is standardized, it will be matched against the postal database of valid, deliverable addresses. This matching will include Delivery Point Validation (DPV).

When a match to a deliverable address is confirmed, the address is considered a valid address.

If an address is matched to one that is considered an undeliverable address, such as a vacant lot, the address will not be considered valid, and the TIN Reference File Detail Record will reject.

Error Codes TN18-TN29 may be returned from this validation process. Please see Appendix D in the GHP User Guide for a description of these Error Codes.

**Slide 15 of 34 - TIN Reference Response File Error Codes**

## TIN Reference Response File Error Codes

- Only returned on TIN Reference Response File
  - Not applied and returned on matching MSP Response File Detail Records

**Slide notes**

The TIN Reference File Detail Record errors will only be returned on the TIN Reference Response File. They will not be applied and returned on matching MSP Response File Detail Records.

**Slide 16 of 34 - TIN Reference File Detail Record**

## TIN Reference File Detail Record Fails Validation

- Record rejected and corresponding TIN Reference Response File Detail Record returned with the following values:

Field	Value
TIN Disposition Code (Field 29)	TN
TIN Error Codes 1-10 (Fields 30-39)	Associated TIN Reference Response File Errors
Submitted Name and Submitted Address (Fields 2-7, 14-19, 25-28)	Values originally submitted by the RRE
Applied Addresses (Fields 8-12, 20-24)	Spaces
Submitted TIN Indicator (Field 13)	TIN Indicator originally submitted by the RRE
Mailing Address Change Flag (Field 40)	Space
Demand Address Change Flag (Field 41)	Space

**Slide notes**

If a TIN Reference File Detail Record fails the TIN and/or TIN address validation, it will be rejected and the corresponding TIN Reference Response File Detail Record will be returned with the following values:

the TIN Disposition Code (Field 29) will have a value of ‘TN’;

the TIN Error Codes 1-10 (Fields 30 - 39) will have any associated TIN Reference Response File Errors.

the submitted name and address (Fields 2 - 7, 14 - 19, and 25 - 28) will have the values originally submitted by the RRE;

the applied addresses (Fields 8 - 12 and 20 - 24) will be filled with spaces;

the submitted TIN Indicator (Field 13) will have the value originally submitted by the RRE;

the Mailing Address Change Flag (Field 40) will be filled with a space; and

the Demand Address Change Flag (Field 41) will be filled with a space.

**Slide 17 of 34 - TIN Reference File Detail Record**

## TIN Reference File Detail Record Fails Validation

- TIN Reference File Detail Records that reject will result in rejection of subsequently processed MSP Input File Detail Records with matching insurer/TPA or employer TINs
- RREs must
  - Correct and resubmit their TIN Reference File Detail Records
  - Resubmit all MSP Input File Detail Records previously submitted with that TIN
  - Submit these records in their next quarterly file submissions or as instructed by their EDI Representative
- Once the corrected TIN Reference File Detail Record is accepted, the corresponding MSP Input File Detail Records can be processed

**Slide notes**

TIN Reference File Detail Records that reject will result in rejection of subsequently processed MSP Input File Detail Records with matching insurer/TPA or employer TINs.

This occurs because the BCRC is unable to match the insurer/TPA or employer TINs on the MSP Input File Detail Record to an accepted TIN Reference File Detail Record.

RREs must make the necessary corrections to their TIN Reference File Detail Records and submit these corrections.

RREs must also resubmit all MSP Input File Detail Records previously submitted with that TIN since these records were not yet accepted.

All records must be submitted in the RREs next quarterly file submission or as instructed by their EDI Representative.

Once the corrected TIN Reference File Detail Record is accepted, the corresponding MSP Input File Detail Records with the matching TIN, can be processed.

**Slide 18 of 34 - TIN Reference File Detail Record**

## TIN Reference File Detail Record Passes Validation

- Record accepted placed in COB database
- Corresponding TIN Reference Response File Detail Record returned with the following values:

Field	Value
TIN Disposition Code (Field 29)	01
TIN Error Codes 1-10 (Fields 30-39)	Spaces
Submitted Name and Submitted Address (Fields 2-7, 14-19, 25-28)	Values originally submitted by the RRE
Applied Addresses (Fields 8-12, 20-24)	Addresses used by the BCRC for subsequent processing
Submitted TIN Indicator (Field 13)	TIN Indicator originally submitted by the RRE
Mailing Address Change Flag (Field 40)	'Y' if the applied address is different than the submitted address; otherwise it will be set to 'N'
Demand Address Change Flag (Field 41)	'Y' if the applied address is different than the submitted address; otherwise it will be set to 'N'

**Slide notes**

If a TIN Reference File Detail Record passes the TIN and TIN address validation, it will be accepted and placed in the Coordination of Benefits (COB) database of valid, accepted TIN Reference File Detail Records.

the TIN Reference Response File Detail Record will be returned with the following values:

the TIN Disposition Code (Field 29) will have a value of '01';

the TIN Error Codes 1-10 (Fields 30 - 39) will be filled with spaces;

the submitted name and address (Fields 2 - 7, 14 - 19, and 25 - 28) will have the values originally submitted by the RRE;

the applied addresses (Fields 8 - 12 and 20 - 24) will be filled with the addresses the BCRC will use for subsequent processing;

the submitted TIN Indicator (Field 13) will have the value originally submitted by the RRE;

the Mailing Address Change Flag (Field 40) will be set to 'Y' if the applied address for the Insurer/TPA or employer (Fields 8 - 12) is different from the submitted address (Fields 3 - 7). If they are the same, Field 40 will be set to 'N'; And

the Demand Address Change Flag (Field 41) will be set to 'Y' if the applied Insurer/TPA Demand Address (Fields 20 - 24) is different from the Submitted Insurer/TPA and Demand Address (Fields 15 - 19).

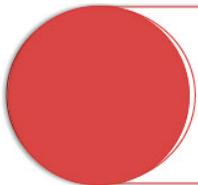
If they are the same, Field 41 will be set to 'N'.

**Slide 19 of 34 - 01 TIN Disposition Code**

## 01 TIN Disposition Code



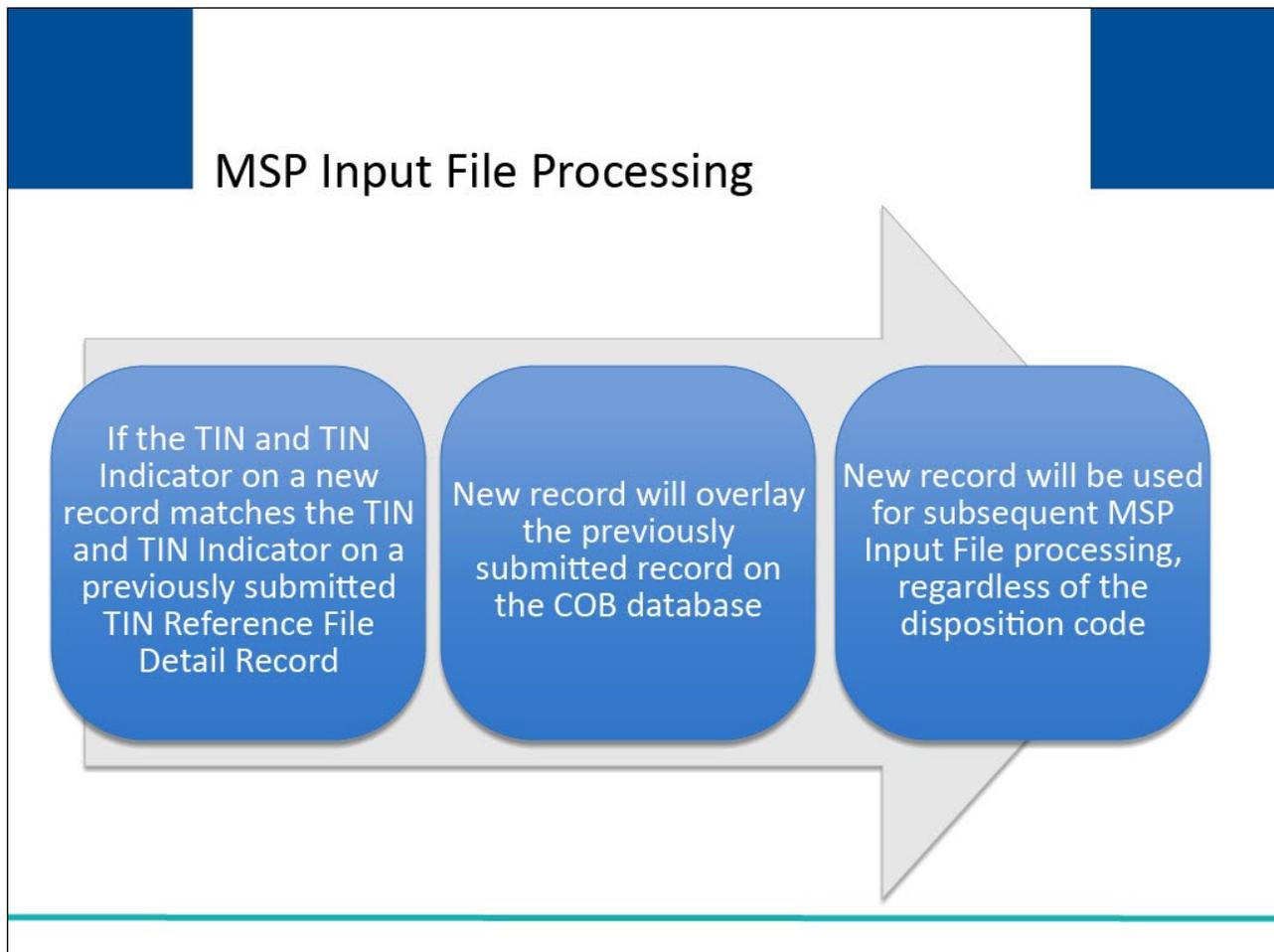
- If Mailing Address Change Flag (Field 40) = Y



- Update internal files with the applied address fields returned

**Slide notes**

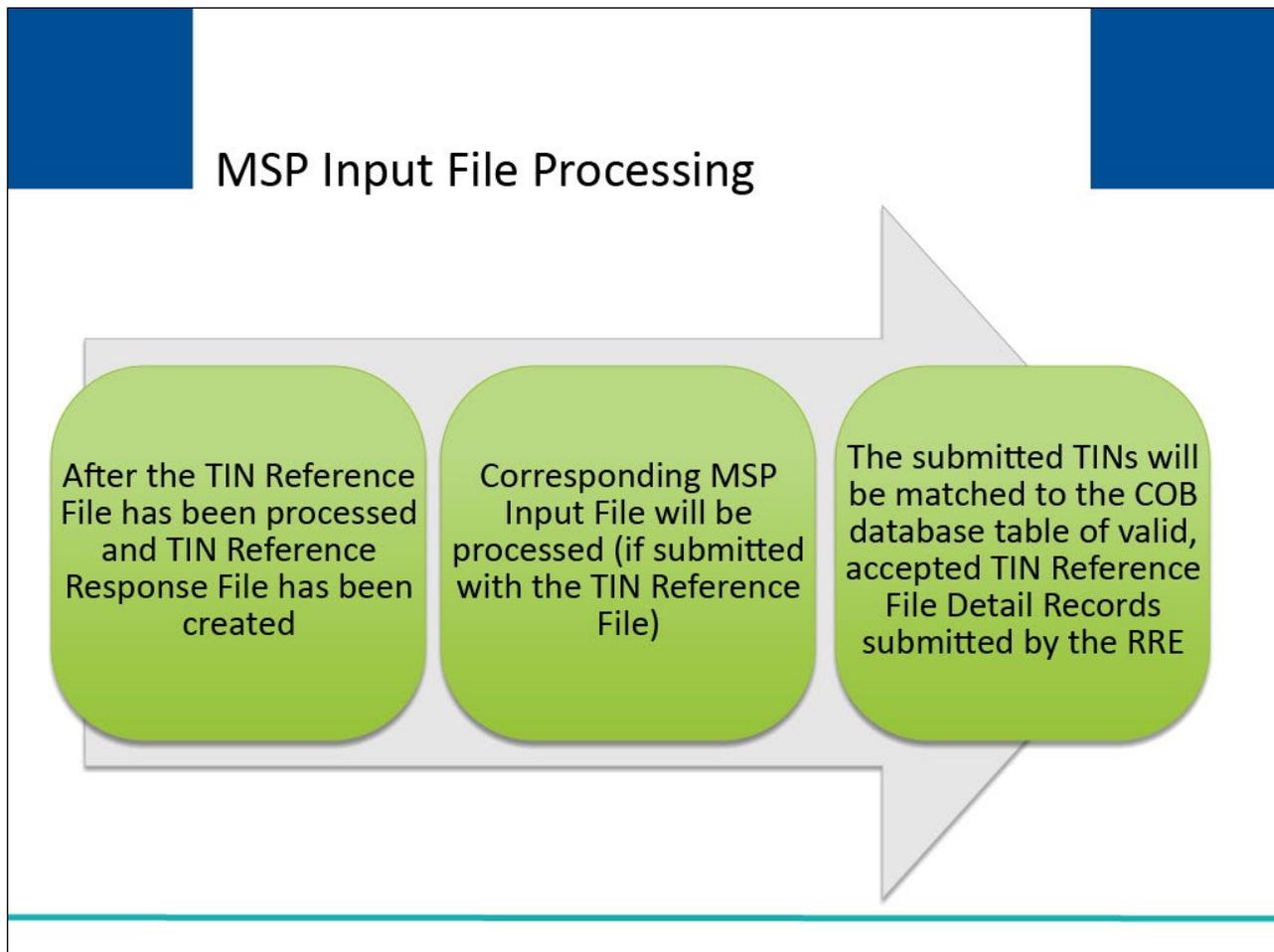
When you receive a 01 disposition code on your TIN Reference Response File and the Mailing Address Change Flag (Field 40) is set to 'Y', you are encouraged, but not required, to update your internal files with the applied address fields returned.

**Slide 20 of 34 - MSP Input File Processing****Slide notes**

If the TIN and TIN Indicator on a new TIN Reference File Detail Record match the TIN and TIN Indicator on a previously submitted record, then the new record will overlay the previously submitted record on the COB database.

The new record will be used for subsequent Medicare Secondary Payer (MSP) Input File processing, regardless of the TIN disposition code returned.

As a result, a new TIN Reference File Detail Record in error can replace a previously existing TIN Reference File Detail Record that was valid and vice versa.

**Slide 21 of 34 - MSP Input File Processing****Slide notes**

After the RRE's TIN Reference File has been processed and the TIN Reference Response File has been created, the corresponding MSP Input File will be processed if it was submitted with the TIN Reference File.

The Insurer/TPA TIN (MSP Input Field 22) and Employer TIN (MSP Input Field 21) will be matched to the COB database table of valid, accepted TIN Reference File Detail Records submitted by the RRE.

**Slide 22 of 34 - MSP Input File Processing - Match Found****MSP Input File Processing - Match Found**

Submitted TIN can be matched to an accepted TIN Reference File Detail Record and MSP Input File Detail Record is accepted

MSP information will be used to create an MSP occurrence and will be used in subsequent processing by Medicare and passed to the CRC

**Slide notes**

If the submitted TIN can be matched to an accepted TIN Reference File Detail Record on the BCRC database and the MSP Input File Detail Record is accepted, the MSP information will be used to create an MSP occurrence and will be used in subsequent processing by Medicare and passed to the Commercial Repayment Center (CRC).

**Slide 23 of 34 - MSP Input File Processing - No Match Found**

## MSP Input File Processing - No Match Found

- If submitted TIN cannot be matched to an accepted TIN Reference File Detail Record
  - MSP Input File Detail Record will reject with an SP Disposition
  - Errors will be specific to insurer/TPA TIN and employer TIN
- Refer to errors returned on the TIN Reference Response Files to determine the cause of the reject

**Slide notes**

If the TIN submitted on the MSP Input File cannot be matched to an accepted TIN Reference File Detail Record, the MSP Input File Detail Record will be rejected and returned on the MSP Response File with an 'SP' disposition code and an error code indicating that a valid TIN Reference File Detail Record could not be found.

These errors will be specific to the insurer/TPA TIN and the employer TIN but will not provide information as to why the TIN record was rejected.

RREs will have to refer to the errors returned on their TIN Reference Response Files to determine what caused the corresponding TIN record to be rejected.

**Slide 24 of 34 - MSP Input File Processing - No Match Found**

## MSP Input File Processing - No Match Found

- If MSP Input File Detail Record rejected because its Insurer/TPA TIN had no matching Insurer/TPA on the COB database of valid TINs

Error	Description
SPT1	No matching, valid TIN Reference File Detail Record was found for the <b>Insurer/TPA TIN</b> submitted

**Slide notes**

If the MSP Input File Detail Record rejected because the Insurer/TPA TIN submitted in Field 22 had no matching Insurer/TPA TIN on the COB database of valid TINs, the record will reject with an SPT1 (no matching, valid TIN Reference File Detail Record was found for the Insurer/TPA TIN submitted).

**Slide 25 of 34 - MSP Input File Processing - No Match Found**

## MSP Input File Processing - No Match Found

- If MSP Input File Detail Record rejected because its Employer TIN had no matching Employer TIN on the COB database of valid TINs

Error	Description
SPT0	No matching, valid TIN Reference File Detail Record was found for the <b>Employer</b> TIN submitted

**Slide notes**

If the MSP Input File Detail Record rejected because the Employer TIN submitted in Field 21 had no matching Employer TIN on the COB database of valid TINs, the record will reject with an SPT0 (no matching, valid TIN Reference File Detail Record was found for the Employer TIN submitted).

**Slide 26 of 34 - MSP Input File Processing - No Match Found**

## MSP Input File Processing - No Match Found

- When an MSP Input File Detail Record rejects due to TIN related errors
  - Resubmit with corrected TIN Reference File Detail Records
  - Resubmit records in the next quarterly file submission or as instructed by the EDI Representative

**Slide notes**

An MSP Input File Detail Record that rejects due to TIN related errors must be resubmitted with the corrected TIN Reference File Detail Record.

These records should be resubmitted in the next quarterly file submission or as instructed by the EDI Representative until each record successfully processes.

**Slide 27 of 34 - TIN Reference Response File Transmission**

TIN Reference Response File Transmission

TIN Reference Response File will be transmitted back in the same manner sent

**Slide notes**

The TIN Reference Response File will be transmitted back to you in the same manner that you sent your input file.

**Slide 28 of 34 - SFTP and HTTPS Transmissions**

## SFTP and HTTPS Transmissions

- SFTP file submitters
  - TIN Reference Response Files placed in RRE's MSP Response mailbox on the SFTP server
  
- HTTPS file submitters
  - TIN Reference Response Files placed on the Section 111 COBSW
    - Retrieve test files from Test Results page
    - Retrieve production files from the File Processing Results page

**Slide notes**

For Secure File Transfer Protocol (SFTP) file submitters, the TIN Reference Response Files will be placed in the RRE's MSP Response mailbox on the SFTP server.

For Hypertext Transfer Protocol over Secure Socket Layer (HTTPS) file submitters, the TIN Reference Response Files will be placed on the Section 111 COB Secure Website (COBSW).

HTTPS file submitters will retrieve their test files from the Test Results page and their production files from the File Processing Results page.

**Slide 29 of 34 - SFTP and HTTPS Transmissions**

## SFTP and HTTPS Transmissions

- System sends email when file has been processed
- Available for 180 days
- May be downloaded more than once
- Cannot be deleted by RRE
- Removed by the BCRC after 180 days

**Slide notes**

When the TIN Reference File has been processed and the corresponding response file is ready for download, the system will send an e-mail to the Account Manager assigned to the RRE ID.

SFTP and HTTPS TIN Reference Response Files will remain available for download for two calendar quarters (180 days). There is no limit to the number of times a file can be downloaded in that time.

The RRE or its agent is responsible for downloading the response files. The RRE cannot delete response files. The BCRC will automatically remove these files after 180 days.

**Slide 30 of 34 - SFTP and HTTPS Transmissions**

**SFTP and HTTPS Transmissions**

**Production Files**

- PCOB.BA.MR.GHPTIN.RESP.Dccyymmdd.Thhmmsscc.TXT

**Test Files**

- TCOB.BA.MR.GHPTIN.RESP.Dccyymmdd.Thhmmsscc.TXT

- Dccyymmdd is 'D' followed by a date (century/year/month/day)
- Thhmmsscc is 'T' followed by a time (hours/minutes/seconds/centiseconds)

**Slide notes**

The naming convention for SFTP and HTTPS files will be as follows:

Production: PCOB.BA.MR.GHPTIN.RESP.Dccyymmdd.Thhmmsscc.TXT, and

Test: TCOB.BA.MR.GHPTIN.RESP.Dccyymmdd.Thhmmsscc.TXT.

'Dccyymmdd' is 'D' followed by a date formatted as century/year/month/day and 'Thhmmsscc' is 'T' followed by a time formatted as hours/minutes/seconds/centiseconds.

The date and timestamp used in the response file names are generated by the BCRC when it creates the response file.

**Slide 31 of 34 - Connect:Direct via CMS Electronic File Transmissions**

## Connect:Direct via CMS Electronic File Transmissions

- RREs must contact their EDI Representative to provide the destination dataset information
- The BCRC will use dataset names provided when response files are returned

**Slide notes**

RREs using Connect:Direct via CMS EFT must contact their EDI Representative to provide the destination dataset information for the TIN Reference Response Files.

The BCRC will use the dataset names provided by the RRE when they send response files back.

**Slide 32 of 34 - Course Summary**

## Course Summary

- TIN Reference Response File
- TIN Validation



**Slide notes**

This learning module explained the TIN Reference Response File and TIN Validation.

**Slide 33 of 34 - Conclusion**

You have completed the TIN Reference Response File course. Information in this course can be referenced by using the GHP User Guide's table of contents and any subsequent alerts. These documents are available for download at the following link:  
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**Slide 34 of 34 - GHP Training Survey**



If you have any questions or feedback on this material,  
please go the following URL:  
[https://www.surveymonkey.com/s/GHPTraining.](https://www.surveymonkey.com/s/GHPTraining)



**Slide notes**

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