Nebraska Medicaid X12 Submission Requirements Manual using Secure File Transfer Protocol (SFTP)
Version 2.3
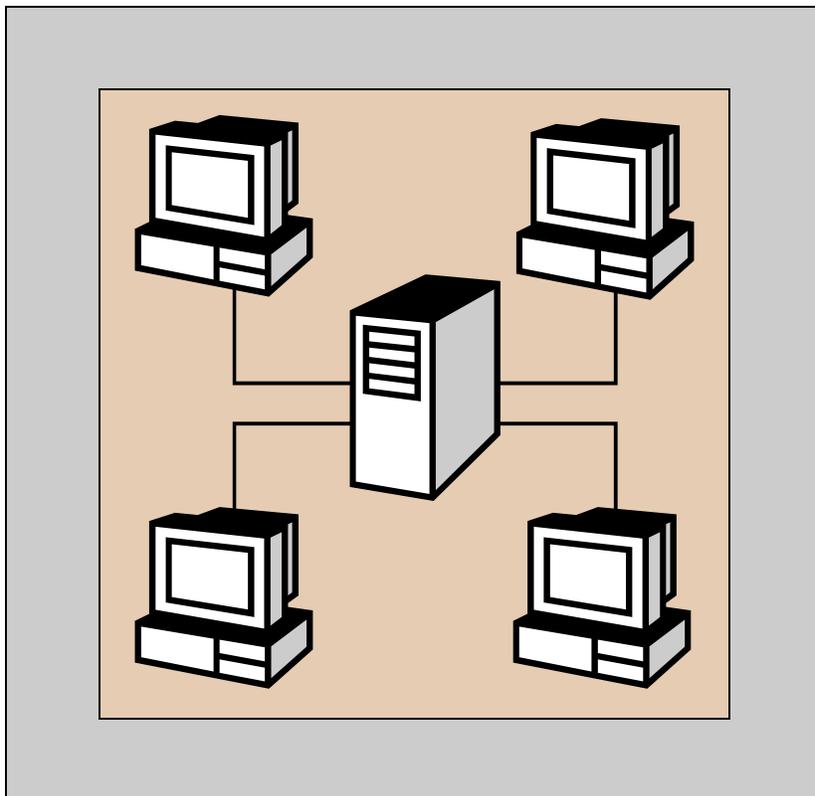
DHHS.MedicaidEDI@Nebraska.gov

EDI Help Desk (866) 498-4357

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Department of Health and Human Services Secure File Transfer Protocol (SFTP) for Nebraska Medicaid

Nebraska Medicaid is supporting Secure File Transfer Protocol (SFTP) in accordance with this manual.

Effective August 15, 2011, Nebraska Medicaid will begin accepting TEST files in X12 Version 5010 format.

Effective January 1, 2012, Nebraska Medicaid will accept PRODUCTION files in Version 5010 format for Trading Partners that have successfully tested with Nebraska Medicaid.

Two trading partner servers exist – one for test and one for production. The Trading Partner ID for the test server will end in a "T" and all files sent to this server will be considered test files. The Trading Partner ID for the production server will end with a "P" and all files sent to this FTP server will be considered production files.

The servers are running 24 hours a day, 7 days a week. The servers are supported by the Department of Health and Human Services staff between the hours of 8:00 A.M. and 5:00 P.M. Monday through Friday, except State and Federal holidays. Visit the following State of Nebraska Web site to view a listing of all Nebraska state holidays: http://www.dhhs.ne.gov/hur/holidays.htm. Please note that the response time may be longer on Sundays due to system maintenance.

The contact for setting up a Trading Partner ID for electronic transactions is the EDI Help Desk at (866) 498-4357. All trading partner ids will start with "EDI" and end with a unique number for each entity. For example, EDI123456789T for test and EDI123456789P for production. These IDs are used to log on to the FTP server. Specific file naming standards are located on pages 4 and 5.

All trading partners must successfully send a file on the test server, and have the file pass a test of our processing system before being granted access to send on the production server.

Minimum System Requirements

- Access to the Internet
  Internet Explorer and Firefox are recommended WEB Browsers

- Compression Software (Nebraska Medicaid will use WinZip)

Inbound Naming Standards (Files Sent to Nebraska Medicaid)

Use the following criteria to name the file being dropped off:

EDI(Trading Partner ID).(Transaction).(Sequence Number).DAT

All files will need to begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

Transaction
HIPAA X12 transaction identifier.
Values are: 270 / 276 / 278 / 837I / 837P / 837D / Multi

Sequence Number
Per Day Sequence Number allows for multiple files to be sent in a single day. This number is four digits.

DAT
All files will need to end with ".DAT".

The following are some examples:

EDI123456789.270.0001.DAT
EDI123456789.276.0001.DAT
EDI123456789.278.0001.DAT
EDI123456789.837I.0001.DAT
EDI123456789.837P.0001.DAT
EDI123456789.837D.0001.DAT
EDI123456789.MULTI.0001.DAT

Nebraska Medicaid recommends that all files sent to Nebraska Medicaid (TEST and PRODUCTION) are compressed (zipped). Using the above examples, these files should be created as follows after they have been compressed.

EDI123456789.270.0001.ZIP
EDI123456789.276.0001.ZIP
EDI123456789.278.0001.ZIP
EDI123456789.837I.0001.ZIP
EDI123456789.837P.0001.ZIP
EDI123456789.837D.0001.ZIP
EDI123456789.MULTI.0001.ZIP

Outbound Naming Standards (Files Sent from Nebraska Medicaid)

EDI(Trading Partner ID).(Transaction).D(Date).T(Time).ZIP

All outbound files begin with "EDI".

Trading Partner ID
Nine-digit number assigned by the EDI Help Desk.

Transaction
HIPAA X12 transaction identifier.
Values are: 271 / 277 / 277CA / 278 / 835 / 834 / 820 / 999 / TA1

Date
Creation Date.

Time
Creation Time.

ZIP
The ".zip" file extension indicates that the file is compressed. Nebraska Medicaid will be using compression on all outbound transactions.

The following are some examples:

EDI123456789.271.D050103.T141002.ZIP
EDI123456789.277.D050103.T141002.ZIP
EDI123456789.277CA.D050103.T141002.ZIP
EDI123456789.278P.D050103.T141002.ZIP
EDI123456789.835.D050103.T141002.ZIP
EDI123456789.820.D050103.T141002.ZIP
EDI123456789.834.D050103.T141002.ZIP
EDI123456789.999.D050103.T141002.ZIP
EDI123456789.TA1.D050103.T141002.ZIP

TA1 Transaction

Nebraska Medicaid will generate a TA1 transaction for every inbound HIPAA X12 transaction received with a value of "1" in the ISA14 element of the ISA segment.

EDI(Trading Partner ID).TA1.D(Date).T(Time).ZIP

All outbound files will begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

Date
Creation Date.

Time
Creation Time.

The following is an example:

EDI123456789.TA1.D050103.T141002.ZIP

Trading Partners will receive a TA1 Interchange Acknowledgment for every HIPAA X12 transaction that is received with a value of "1" in the ISA14 element of the ISA segment.

For Trading Partners that submit multiple files in a day, you may determine which TA1 is associated with each transaction by always submitting a unique value in the ISA13 element of each transaction. Nebraska Medicaid will report your ISA13 value back in the associated TA1 interchange acknowledgment in the TA101 element.

999 Transaction

Nebraska Medicaid will generate a 999 for every inbound HIPAA X12 transaction, but will not accept inbound 999's.

EDI(Trading Partner ID).999.D(Date).T(Time).ZIP

All outbound files will begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

Date
Creation Date.

Time
Creation Time.

The following is an example:

EDI123456789.999.D050103.T141002.ZIP

In the event of the file being rejected because of an invalid envelope, (TA1 rejection), a 999 transaction will not be created.

Trading Partners will receive a 999 Functional Acknowledgment transaction with every file submitted to Nebraska Medicaid. It is the responsibility of the Trading Partners to verify a 999 Functional Acknowledgment is received per file and reviewed to determine if the file processed without errors. If a 999 is not generated, then the file was not able to process or was not received by Nebraska Medicaid. If the inbound file is no longer in the Trading Partners IN folder, and there has been no correspondence about the file from Nebraska Medicaid EDI Help Desk, contact the Nebraska Medicaid EDI Help Desk.

For Trading Partners that submit multiple files in a day, you may determine which 999 transaction is associated with each transaction by always submitting a unique value in the GS06 element of each transaction. Nebraska Medicaid will report your GS06 value back in the associated 999 functional acknowledgment in the AK102 element.

277CA Transaction

Nebraska Medicaid will generate a 277CA (Claims Acknowledgment) transaction for Trading Partners that submit 837 transactions and have elected to receive this transaction in place of the daily ECA report.

EDI(Trading Partner ID).277CA.D(Date).T(Time).ZIP

All outbound files will begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

Date
Creation Date.

Time
Creation Time.

The following is an example:

EDI123456789.277CA.D050103.T141002.ZIP

The 277CA transaction is an acknowledgment of receipt of claim submission(s) at the pre-processing stage. Claims will be reported back to the Trading Partner as either 'accepted' or 'rejected'.

The 277CA transaction may report at the Information Receiver Level, Provider Level, Claim Level and Line level, providing the following information:
- Reports total claims accepted and total claims rejected.
- Reports total accepted billed amounts and total rejected billed amounts.
- Claims that have been accepted are reported with the assigned MMIS claim number.
- Claims that have been rejected are reported with a HIPAA X12 Claim Status Category Code and Claim Status Code(s). Up to 3 may be reported for a claim.
- Service line information is included when a service line causes the rejection of a claim.

ECA Report

The State of Nebraska has created an "Electronic Claim Activity" report to communicate the claims that get rejected or deleted and denied adjustment requests. Rejected claims will be reported the day following claim submission. Deleted claims and/or denied adjustment requests will be reported following our weekly cycle.

Trading Partners that elect to receive a 277CA transaction will not receive the daily ECA Report which reports rejected claims. They will receive the weekly ECA report for deleted claims and/or denied adjustment requests.

EDI(Trading Partner ID).ECARPT.D(Date).T(Time).ZIP

All outbound files will begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

ECARPT
Electronic Claim Activity Report.

Date
Creation Date.

Time
Creation Time.

ZIP
The ".zip" indicates that the file is compressed. Nebraska Medicaid will be using compression on all outbound transactions.

The following is an example:

EDI123456789.ECARPT.D050103.T141002.ZIP

The above ".zip" file will contain one to many reports depending on the number of providers. The naming convention is as follows:

EDI(Trading Partner ID).(Provider Identifier).D(date).T(Time).RPT

The ECA Reject report (daily) will have zeros as the provider identifier.
The ECA Delete report (weekly) will display the NPI, taxonomy and 9 digit zip code for healthcare providers or the 11 digit provider number for atypical providers.

Refund Request

The 835 Transaction does not accommodate Refund Requests. Refund Requests are being reported on an electronic Print Image or a proprietary flat file format.

Refund Request Report:

EDI(Trading Partner ID).RFNDRPT.D(Date).T(Time).ZIP
-or-
Refund Request Data File:

EDI(Trading Partner ID).RFNDDATA.D(Date).T(Time).ZIP

All outbound files will begin with "EDI".

Trading Partner ID
Nine-digit number assigned by EDI Help Desk.

RFNDRPT or RFNDDATA
Refund Request Print Image or Data File.

Date
Creation Date.

Time
Creation Time.

ZIP
The ".zip" indicates that the file is compressed. Nebraska Medicaid will be using compression on all outbound transactions.

The following is an example:

Refund Request Report:
EDI123456789.RFNDRPT.D050103.T141002.ZIP
-or-
Refund Request Data File:
EDI123456789.RFNDDATA.D050103.T141002.ZIP

The above ".zip" file (report or data file) will contain one to many reports depending on the number of providers. The naming convention is as follows:

Refund Request Report:
EDI(Trading Partner ID).(Provider Identifier).D(Date).T(Time).RPT
-or-
Refund Request Data File:
EDI(Trading Partner ID).(Provider Identifier).D(Date).T(Time).DAT

The Provider Identifier is the NPI, taxonomy and 9 digit zipcode for healthcare providers or the 11 digit provider number for atypical providers.

Error Reporting

EDI(Trading Partner ID) D(Date).T(Time) .ERROR..ZIP

The error report file is a generic file that is used to report errors that occurred during the processing of the transaction. These are errors that are different from what is reported on the 999 and ECA Report. Listed below are errors that could be reported within this generic error report:

Duplicate File Report:
Files received must have at least one of the following elements different from previous files or the file will be rejected as a duplicate:

ISA06, ISA09, ISA10, ISA13, GS06, GS08

These files will first generate a 999 indicating the file was accepted for processing, then an error file specifying the duplicate envelope information. These files will not be processed a second time.

Trace Report:
The Trace Report is a Translator proprietary report. It is automatically placed in the Trading Partner's Outbox when it is generated. There are two situations that generate a Trace Report:

1. Unable to Process File. If a file is received with invalid control information, the file will not process at all and a Trace Report will be generated. Because these files are unable to process, a 999 will not generate. Examples of invalid control information include:

   - ISA06 and GS02 identifiers do not match our system. Error Message Ex:

   1. Err Lev: 10 Trans: 000 Seg: GS   EDI Line: 2
   (5006) ERROR: tradepartner ID- EDIHELPCCCC   match not found

   - The trading partner has not been set up for the transaction submitted
   - The ISA15 is incorrect

   1. Err Lev: 10 Trans: 837   Seg: ST   EDI Line: 3
   (1228) ERROR: No Tradstat for Tptnr 000000021000 Trans 837   Vers 005010X222A1
   TstInd P Skipping Forward

2. Compliance Failure: If a file has valid envelope information but fails compliance, a trace report will be generated. This Trace Report itemizes errors that occurred, identifying the line that had the error. This is normally accurately stated, but occasionally, an error is reported on a line that is not where the error occurred. As an example, the trace report may report an error that the claim amount did not balance to the line amounts, which is true, but it was true of the claim ABOVE it, and not the claim that was reported to be wrong on the trace report. This occurs because the sum is not finalized until it gets to the next claim. (The report lists the error where it ended the tally). Because these files do process through compliance, a 999 will also be created.

<u>File Naming Convention:</u>
This error will occur when a trading partner sends a file that does not meet the naming standards outlined in the manual. The file name of the file that is in error will be included in the report.

Testing Results

EDI(Trading Partner ID).Test.Results.*Date.*zip

When a testing Trading Partner submits an 837 test transaction, a Test results file is automatically placed in the Trading Partner's Outbox after a file review has been completed. The test file includes a Test Results Spreadsheet, Error Code Description, and Summary Feedback Statement in a single file. The Test Results Spreadsheet and the Error Code Description are Excel Documents, and the Summary Feedback Statement is a Word document.

Transaction Flows - 27x

The following diagram depicts the data flow of the 270/271, 276/277 and the 278 Request and Response transactions:

Trading Partner

\EDI123456789\OUT\

\EDI123456789\IN\

27x Compliance Map

TA1 Interchange Acknowledgment

999 Functional Acknowledgment

27x Inbound Map Processing

Text Error Message

ALLTP/27x/Upload

MainFrame Processing

27x Outbound File

27x Outbound Map Processing

27x Compliance Map
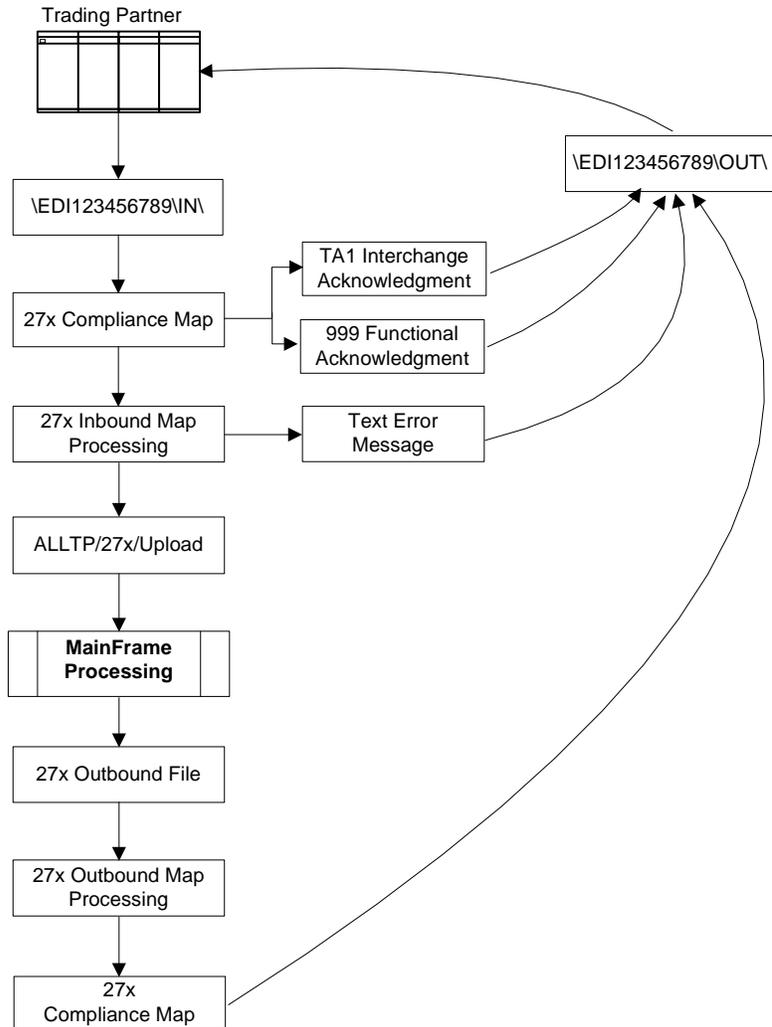
270/271 - X12 Process
276/277 - X12 Process
278 - X12 Process

Transaction Flows – 837/835

The following diagram depicts the data flow of the 837 inbound transactions and the 835 outbound transaction and other reports that may be generated from the 837.
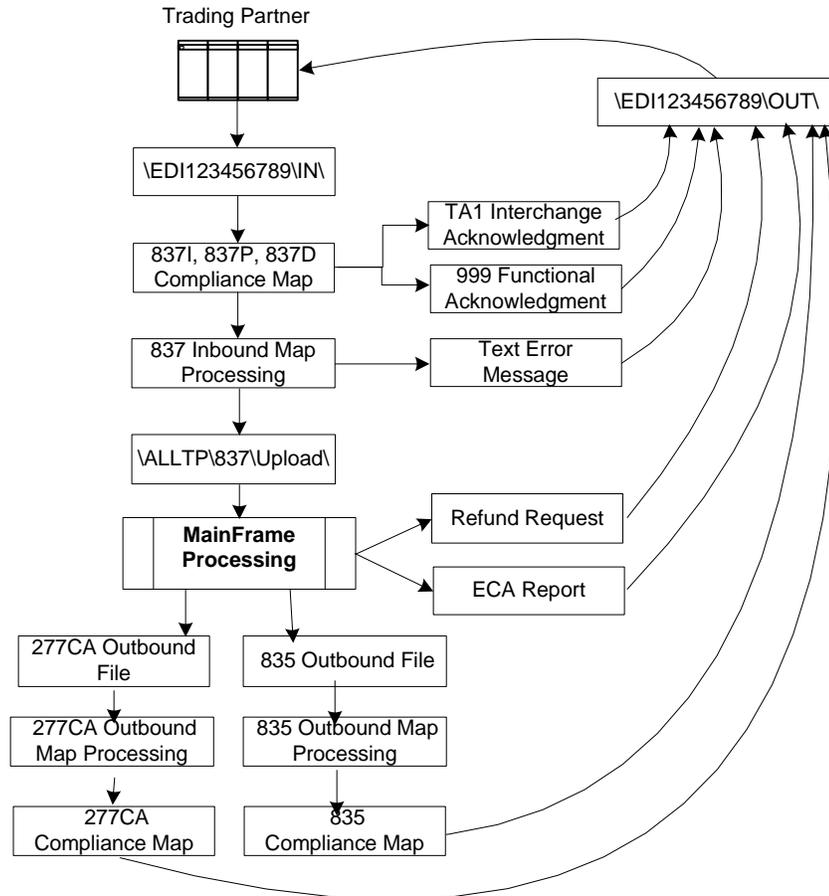
837 / 835 - X12 Process

Testing Requirements

Required Forms for Direct Testing/Production Submission:

    Nebraska Medicaid Trading Partner Agreement
    Nebraska Medicaid Trading Partner Profile
    Nebraska Medicaid Trading Partner Authorization

Nebraska Medicaid's testing region will mirror the production region. Trading Partners must submit a minimum of two test files of 20 - 25 claims each where the majority of claims process correctly. Each file should contain different claims than in previous files. It is recommended that EPSDT claims be tested if available. Vision claims should also be tested if you plan to submit them in production. In addition, if you intend to submit COB in production, you need to submit COB in test.

Files received before 2:30 p.m. will be processed on the day they are received. If they are received after 2:30 p.m. they will be processed with the next days test files.

The production cutoff time for processing is 5:30 p.m.

Notes:

- It is the responsibility of the trading partner to delete the files that they have downloaded from their "OUT" folder. Failure to do this could result in the files being downloaded multiple times.

- Files will be available for 31 days. It is the trading partner's responsibility to download all of their files within this timeframe. All files that are older than 31 days will be deleted from their "OUT" mailbox.

Prior to using the SFTP client, you must have installed software for SFTP client for Windows such as WinSCP.

Download and Install WINSCP

Instructions to download and install WINSCP follow. This, or similar software would need to be installed before running script files to connect to Nebraska Medicaid's SFTP server.

1) Download the **WinSCP** software from
   http://winscp.net/eng/download.php
   These instructions detail version 4.2.9.

2) To start the install process double click **winscp429setup.exe**.

3) On the Security Warning screen, select **Run**.

4) On the Setup Language screen, select **OK**.

5) On the Welcome screen, select **Next**.

6) On the License Agreement screen, select **Next**.
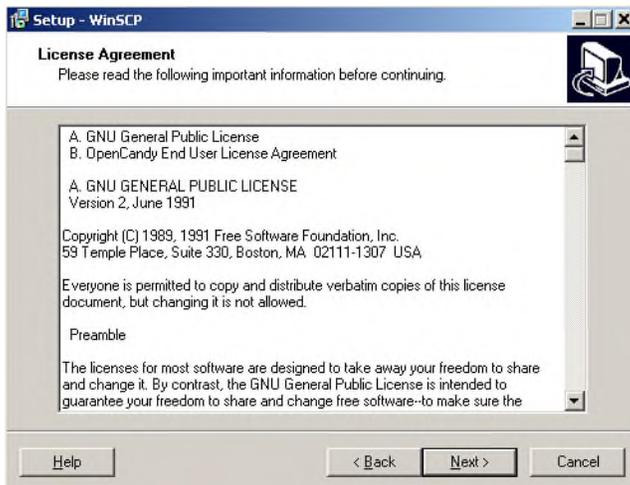
7) On the Setup type screen, select **Next**.
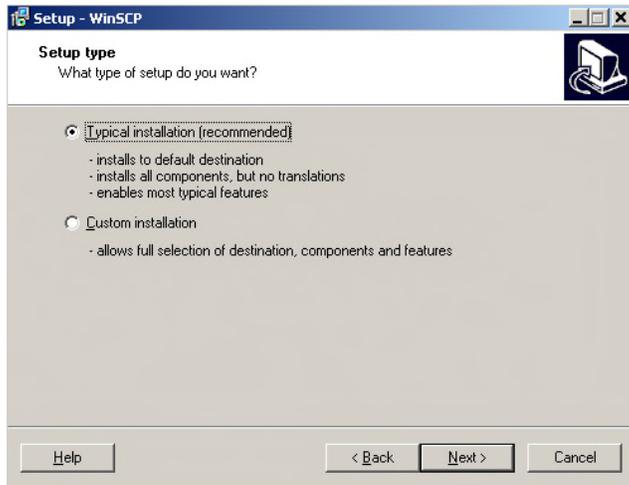
8) The installation may ask if you want to install additional software such as "kikin for IE" or "Google Chrome", we selected "**Do not Install…**" then **Next**.

9) On the Initial user settings screen, select **Explorer interface**, then **Next**.

10) On the Ready to Install screen, select **Install**.
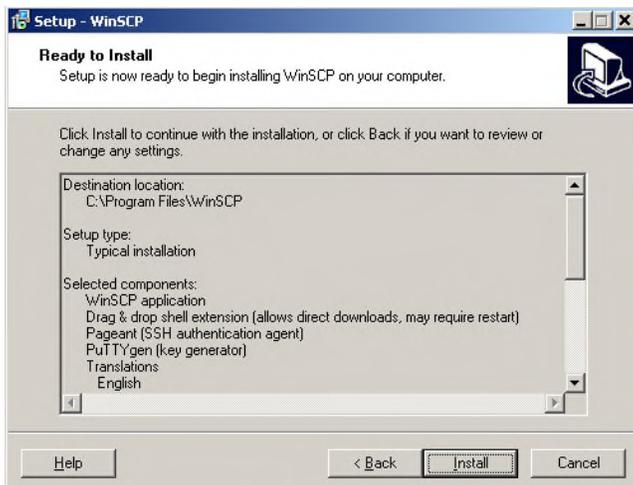
11) On the Completing the WinSCP Setup Wizard screen, deselect "Launch…" and select **Finish**.

12) Open WinSCP the first time to add the Nebraska server key to your computer's cache.
   a) Start WinSCP via Start/All Programs.
   b) Enter the below **Host name** and **Port number**, **your Trading Partner User name** and **password**, then select **Login**.
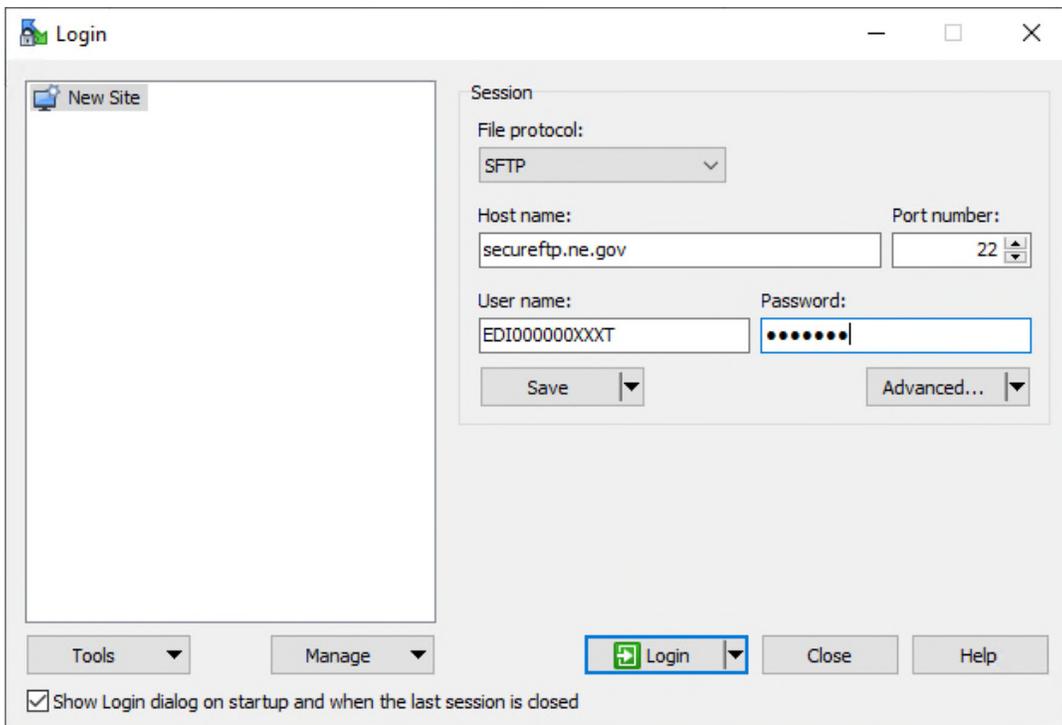
13) The first time you login, you are given an option to add the servers key fingerprint, select **Yes**.
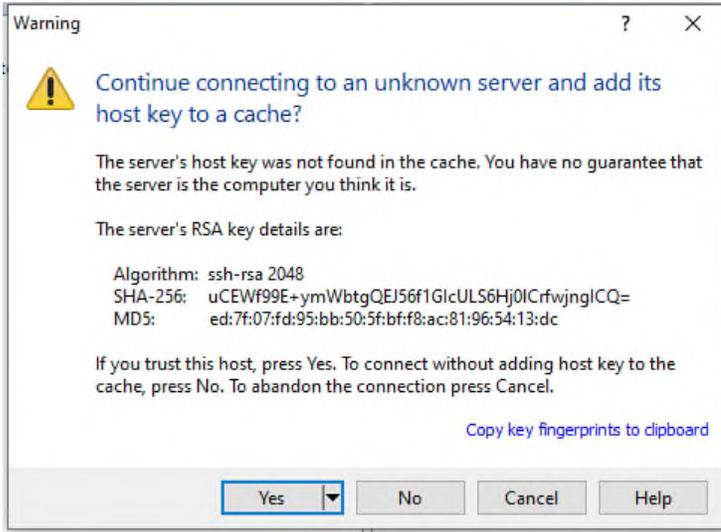
14) This will take to the IN and OUT Folders.
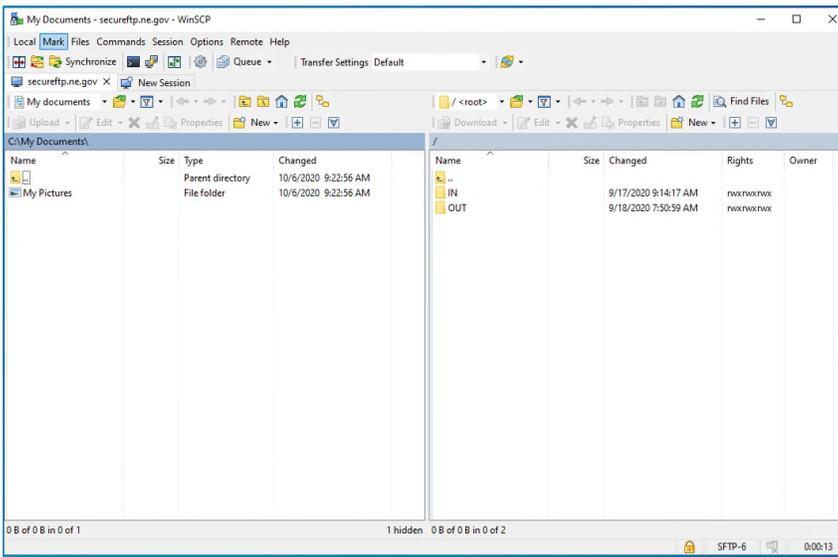
Scripting to Connect to Nebraska Medicaid

Commands to upload files to Nebraska Medicaid and download files from Nebraska Medicaid can be scripted and executed from a batch file or a command prompt. Following are examples of the command prompts and of scripting files.

1) Launch the MS-DOS window by clicking on **Start** button and click on "Run". The following window should be displayed:
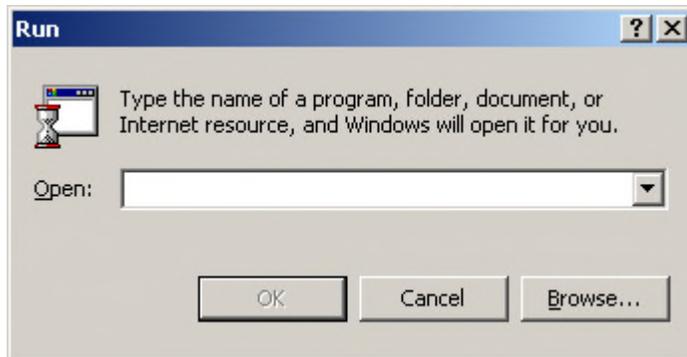
2) Enter "CMD" and press Enter and the following MS-DOS window should be displayed:
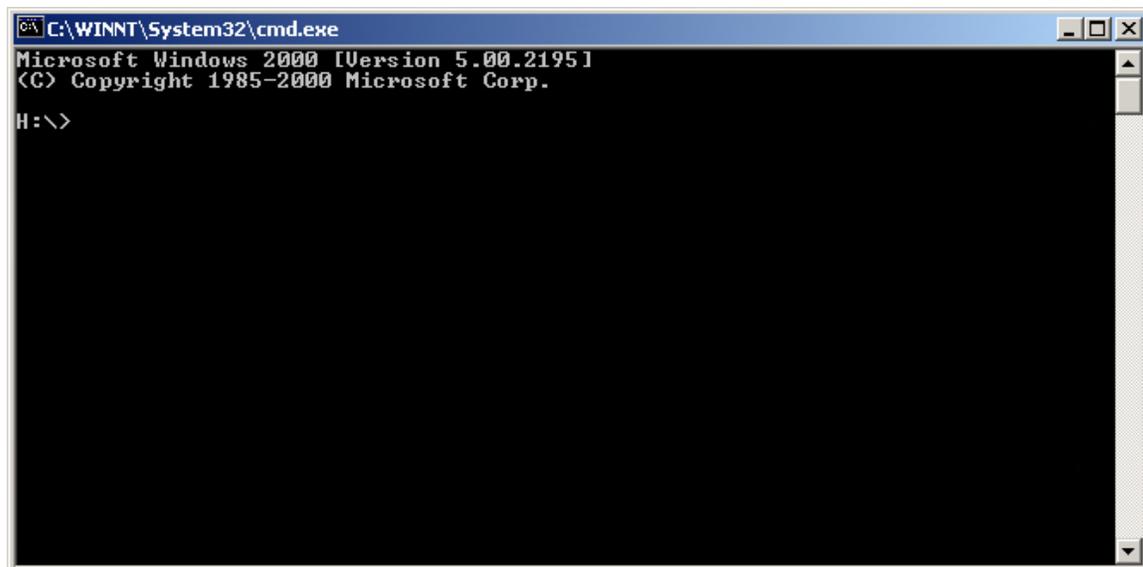
3) Be sure to change to the WinSCP subdirectory and enter the script name you wish to run and the path the script is at and the path where the Log need to be saved.
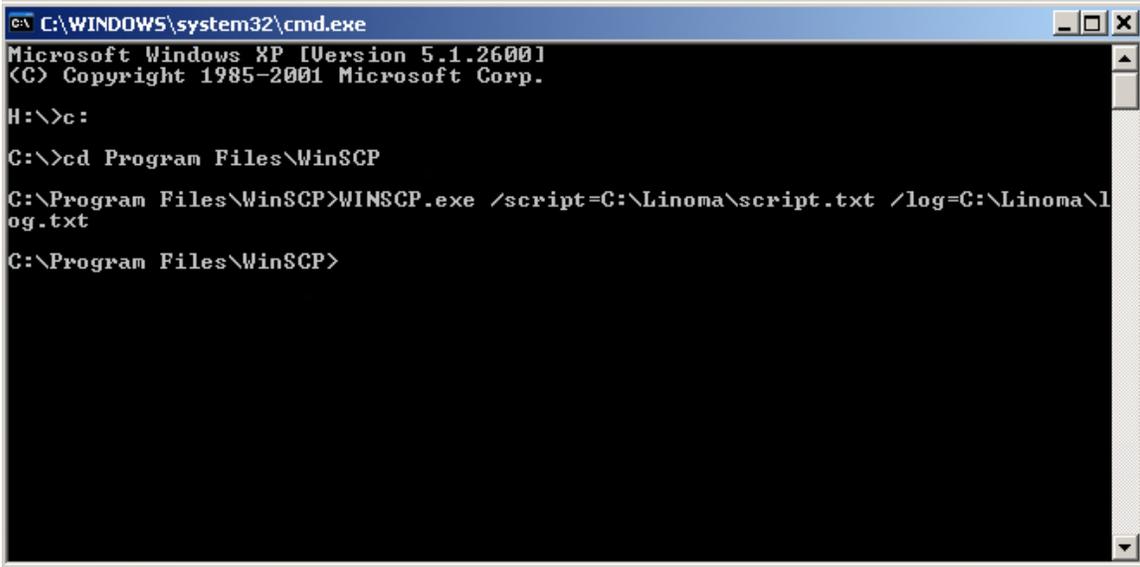
```
C:\WINDOWS\system32\cmd.exe                                          _ □ ×
Microsoft Windows XP [Version 5.1.2600]
(C) Copyright 1985-2001 Microsoft Corp.

H:\>c:

C:\>cd Program Files\WinSCP

C:\Program Files\WinSCP>WINSCP.exe /script=C:\Linoma\script.txt /log=C:\Linoma\l
og.txt

C:\Program Files\WinSCP>
```

An example of a script to sent files to Nebraska Medicaid follows.

```
# ************
# ************ Connect using a password
Open EDI123456789T:YourTestPassword@secureftp.ne.gov:22
# ************ Force binary mode transfer
Option transfer binary
option batch on
# ************ Disable overwrite confirmations that conflict with the previous
option confirm off
# ************ Change the mode directory
cd /IN
# ************ Upload the file to
put YourFilepath
# ************ Disconnect
#close
# ************ Exit WinSCP
exit
```

An example of a script to download and delete files from Nebraska Medicaid follows.

```
# ************
# ************ Connect using a password
Open EDI123456789T:YourTestPassword@secureftp.ne.gov:22
# ************ Force binary mode transfer
Option transfer binary
option batch on
# ************ Disable overwrite confirmations that conflict with the previous
option confirm off
# ************ Change the mode directory
cd /OUT
# ************ Download specific file to the local directory c:\
get EDI123456789*.zip YourDestinationFolderPath
#
# ************  remove files in OUT directory
rm EDI123456789.*
# ************ Disconnect
#close
# ************ Exit WinSCP
exit
```

1) Launch Internet Explorer. Depending on your Internet options, you will see your default "home" page.

2) The URL for the SFTP software is
   https://secureftp.ne.gov/login

   After entering the URL and pressing Enter, you will be prompted for your User Name and Password.
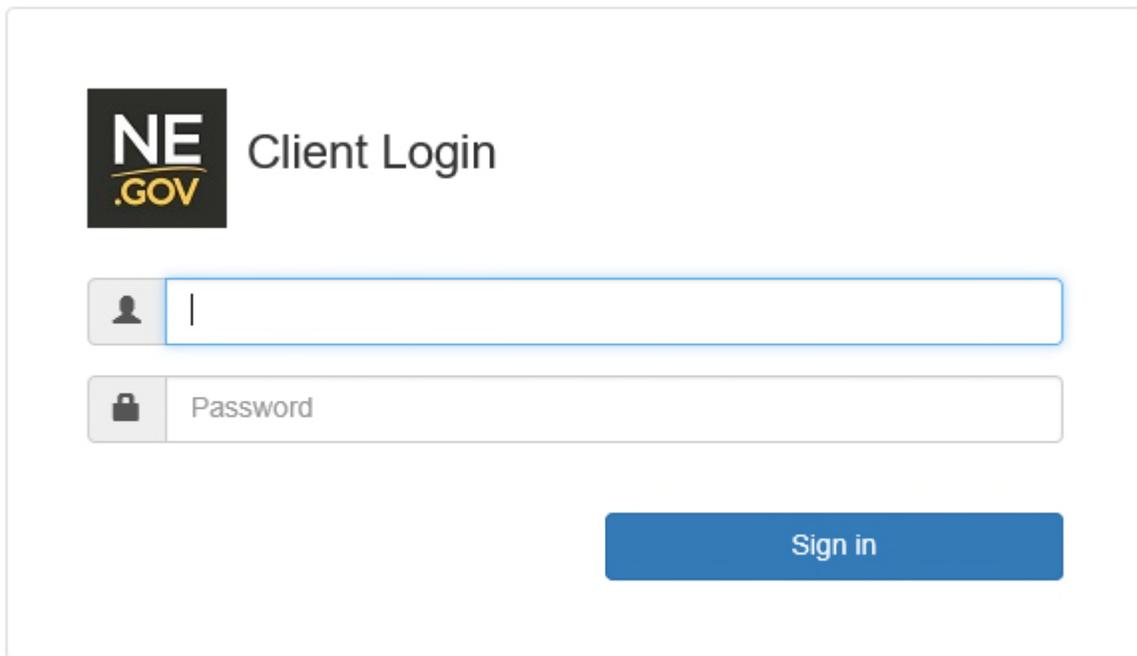
Enter your User Name and Password and click **Login**.
Note: Remember to use "T" for Test and "P" for Production.

3) The following screen will be displayed. To open a folder, double-click on the folder.
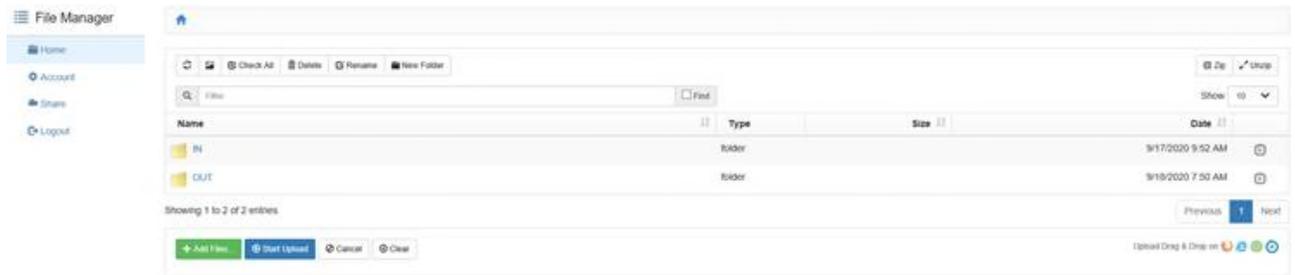
Note:
To copy files to your "IN" box, proceed to Step 4.
To copy files from your "OUT" box, proceed to Step 9.

4) To copy files to your "IN" box you will need to first CLICK the IN Folder.
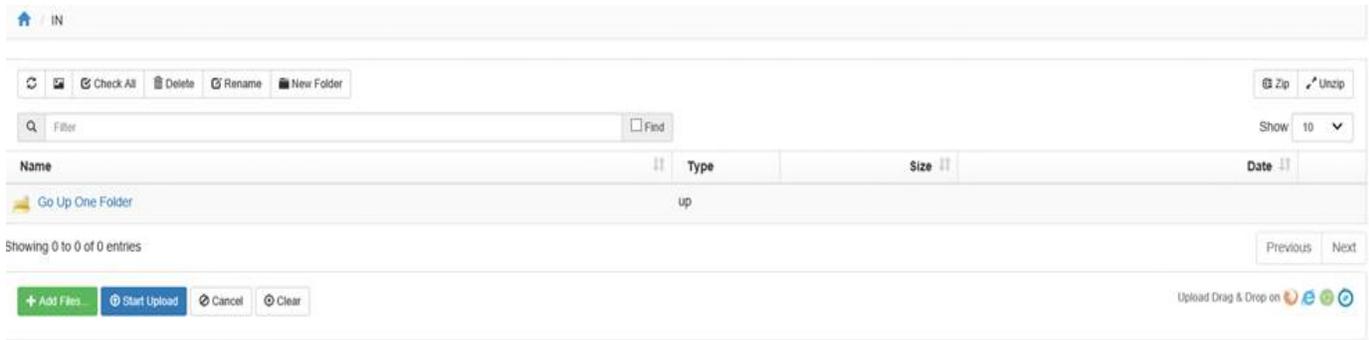
5) Select the Add files… button to browse for files to send to Nebraska Medicaid for processing.

6) Browse your computer to select files at a time to upload.
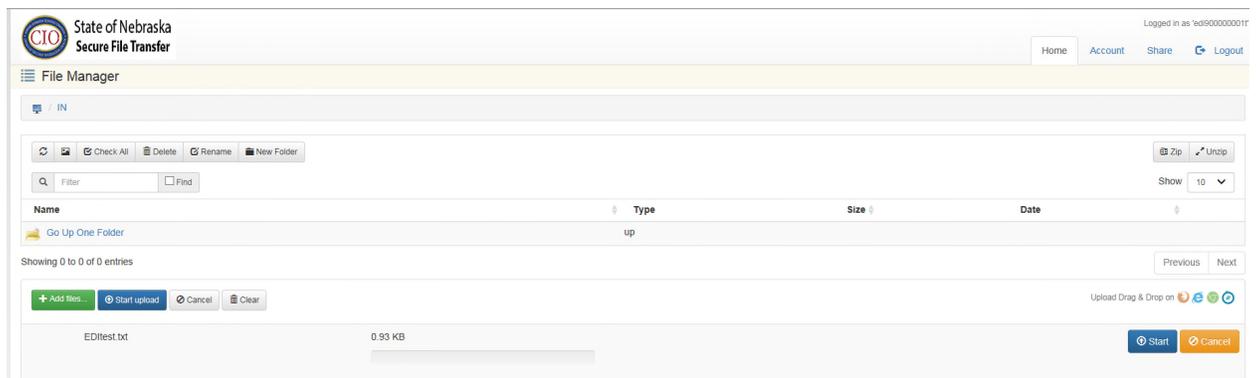
7) Press the Start button when files are selected.

The file(s) will appear as shown below when successfully uploaded.
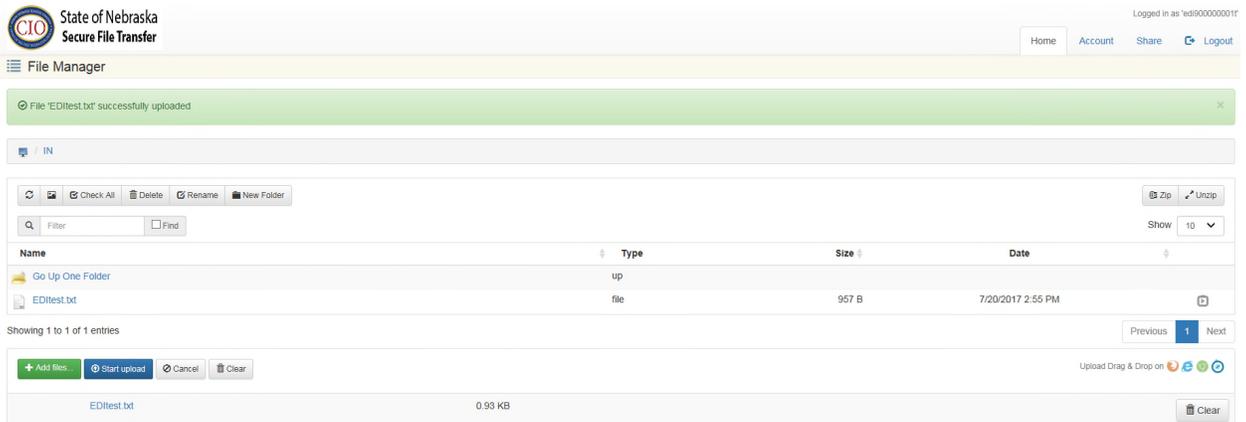
8) When finished, logout of State of Nebraska Secure File Transfer site.

The IN folder is redisplayed with the file(s) that have been uploaded. Files processed and deleted by Nebraska Medicaid shortly after being uploaded.

When files are present in the IN folder a Delete Button will appear on the screen. Security will not allow Trading Partners to delete files from this folder.

9) To receive files from Nebraska Medicaid, CLICK the "OUT" folder.
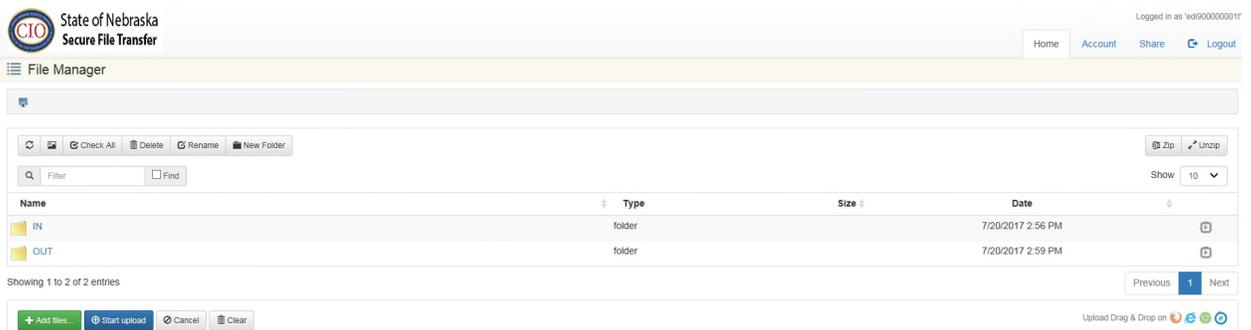
10) A list of files that are available to you will be displayed.
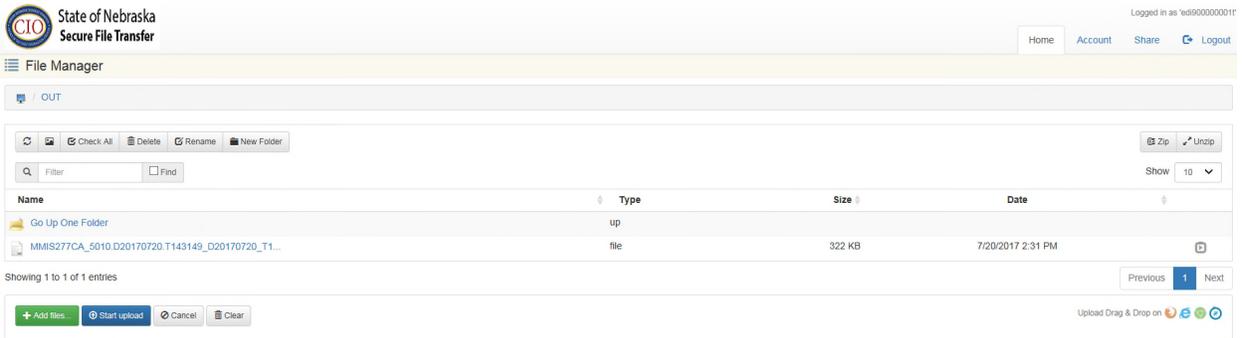
11) Each individual file can be selected and opened or saved to the location of your choice.

Although an Upload button appears on the screen, security will not allow Trading Partners to upload files to this folder.

Click on arrow to expand the file. See circled in RED below.
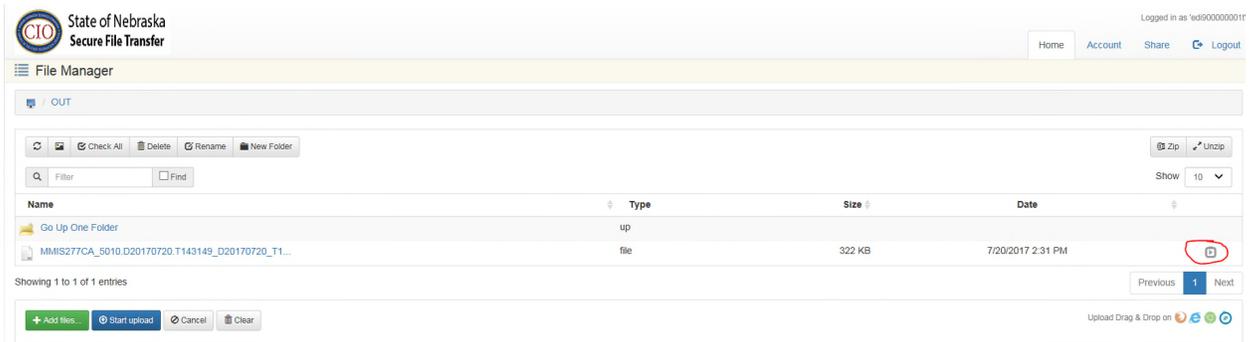
12) Click the Download button to retrieve the file.

13) Choose where you want to put the download on your system.

Do you want to open or save **MMIS277CA_5010.D20170720.T143149_D20170720_T143150.txt** (322 KB) from **secureftp.ne.gov**?

14) The file may be deleted or will be automatically deleted after 30 days.

15) Logout of your session when you have completed file transferring to or from Nebraska Medicaid.