Trading Partner Mailbox Access and Encounter Pharmacy Data Guide

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INTRODUCTION

These instructions are intended to assist you with configuring your health information system to communicate with the Oregon Department of Human Services' (OR-DHS) Medicaid Management Information System (MMIS). The instructions begin at the entry point for DHS' MMIS system. Please read these instructions in their entirety before beginning.

Based on the requirements of the HIPAA Transaction Standards for Health Care Claims published in 45 CFR 162.1001 and 162.1102, OR-DHS has elected to use the method of file transfer called Secure File Transfer Protocol (SFTP). To mirror the claims submission process and due to the decommission of the Claims Bulletin Board by the end of year 2005 OR-DHS has elected to use this vehicle for pharmacy data. Files will be deposited and retrieved from a Mailbox at this location.

By definition, a "Mailbox" is the secure area OR-DHS creates on it's SFTP server site where Electronic Data Interchange (EDI) submitters or Prepaid Health Plans may send their inbound pharmacy files containing compliant EDI transactions or receive an outbound file from OR-DHS.

Secure File Transfer (SFTP) client software is required that supports SSH2 connections. **OR-DHS can neither support nor endorse any particular software program.** Any connection settings described herein should be valid for any software that meets the conditions of compliance.

This guide assumes that the reader has already obtained the required software (mentioned above). If you do not have this software, the reader may use an Internet search tool, using the keywords "SFTP SSH client" for the SFTP client software. The search results should yield many different web sites with for cost and for free software. Choose one that is compliant, or use one you already have in place.

CHANGING YOUR PASSWORD

IMPORTANT: For security reasons, you must change your OR-DHS password **before** you can transfer files or log on to the SFTP site. To change your password, you must access the web-based OR-DHS Password Change Utility, using your OR-DHS login credentials, which consist of your username and temporary password. These are provided via your liaison over the telephone. Your password will not expire, but you are encouraged to change it regularly, if you have new staff, etc. Do NOT include the password in e-mails, publish on websites, etc. You are responsible for managing and securing your own password.

The steps for changing your password are as follows:

1. Open your Internet browser, and access the following website: http://apps.dhs.state.or.us/.

2. Find the link for the 'Password Change Utility' on the resulting page, and click on it, choosing 'Yes' to any resulting security messages.

3. Enter the User ID given to you in the space provided, insuring that all letters are in lowercase.

4. Enter the password exactly as given to you by your liaison, or as set by you previously, in the space marked 'Current Password', making sure to use lowercase or uppercase letters as given you by OR-DHS or as set by you previously.

5. Enter a new password in the space marked 'New Password'. **IMPORTANT: Your new password must meet the conditions outlined in the Password Rules section of this manual to be accepted.**

6. Enter the same new password again in the space marked 'Re-enter New Password' for verification purposes, and press the button marked 'Change Password'.

7. If the change was successful, you will see a "Password change attempts completed!" message at the top and no errors listed under the "One or more errors has occurred:" heading.

8. If the change was unsuccessful, the resulting page will look the same, except there will be self-explanatory error messages under the "One or more errors has occurred:" heading.

If you experience failed logins or forget your password, contact your liaison with your user ID #, contact person, and phone number.

LOG IN TO YOUR MAILBOX

In order to send and receive files to and from OR-DHS, you will need to access your assigned Mailbox that resides on the OR-DHS SFTP server. To access your Mailbox, use the "SFTP/SSH2" client mentioned in the Introduction section of this guide.

To configure your "SFTP/SSH2" client software for file transfers, use the following settings (your software may or may not have all of the following settings):

SFTP HOST NAME: ordhs-eft1.hr.state.or.us
USE COMPRESSION: NO
PROTOCOL SELECTION: SSH2
PORT: 22
SERVER TYPE: SFTP USING SSH2
LOGON TYPE: NORMAL
**USERNAME:** *OR-DHS ASSIGNED (See your liaison)*
PASSWORD: *USER DEFINED (As set in the 'Changing Your Password' section of this guide)*
DEFAULT REMOTE DIRECTORY: Leave this section blank.
DEFAULT LOCAL DIRECTORY: *USER DEFINED (YOUR SYSTEM; From where you want to send files to or receive them from the OR-DHS SFTP server)*

The process for logging on and accessing your assigned Mailbox is dependent on the software you are using. OR-DHS cannot provide support for individual software programs.

1. Log in to the SFTP server with your SFTP client software, choosing to accept any security certificates. The username and password are the same as defined in the 'Changing Your Password' section of this guide, and the host name (the server name address as defined above in the settings section. If you fail to correctly log in after three (3) attempts you will be locked out and you must contact your liaison to have your password reset. Contact information is provided in the Password Rules section of this guide.

2. When logged in successfully, your program window should be divided into at least two parts, as shown in the graphic below.
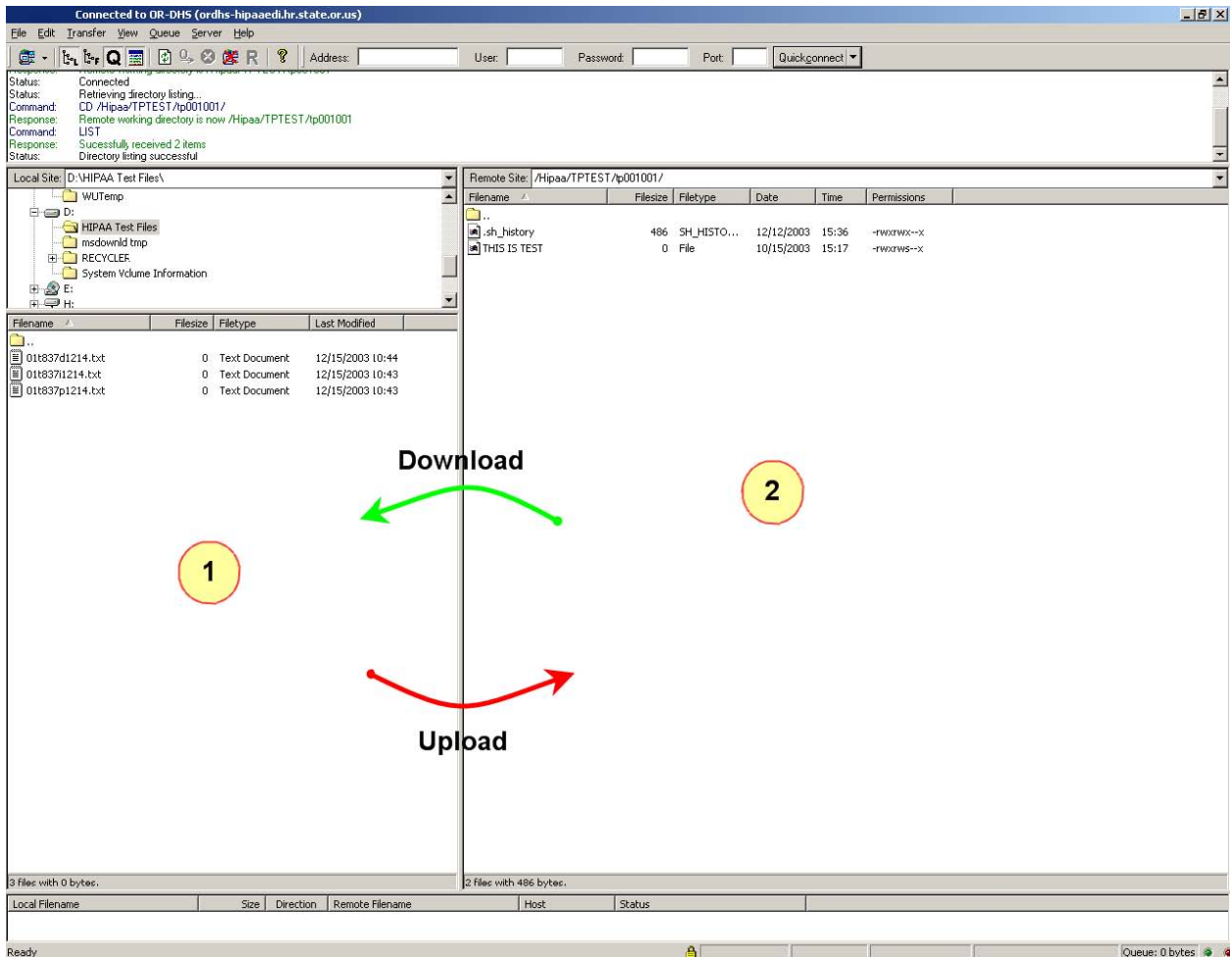
Your SFTP client software program may look slightly different from the screen shot above, but it should be similar. You should see two sections, each with files and/or folders in them. Section #1 in the screen shot shows the files and/or folders in your *Default Local Directory* as defined in the settings section on page 6 of this guide. This is the area on your local system/network where you wish to upload files to, or download files from, the OR-DHS system. Section #2 shows the files and/or folders in your Mailbox on the OR-DHS system.

3. You will see, once connected to your mailbox, a "/", which is called the home folder or path, a "/prod" folder, and a "/test" folder.

4. You are now ready to send or receive files. To perform this task, click on the file you wish to transfer and, holding down the *right mouse button*, simply drag the file from one side of the window to the other.

5. Place *.ENC PROD files in /prod, place TEST files in /test and do not place any files in the home path.

6. You will then be presented with the option to copy or move the file. Choose the option that best suits your needs. You may hold down the *left mouse button* instead. This will instantly move the file to where you drag it.

7. Drag the file from section #1 to section #2 to *upload* the file to your Mailbox. Drag the file from section #2 to section #1 to *download* the file from your Mailbox to your local system. Depending on many factors, including file size, connection rate, etc., the actual transfer may take only a few seconds or as long as a few minutes. You should see a progress bar graphically representing the progress of the transfer.

8. When you are finished transferring files, choose 'disconnect' in the menu system of your software, or close the window. Please do not remain connected to the system without transferring files.

PASSWORD RULES

Your OR-DHS system password must be eight alphanumeric characters in length and is case sensitive. For full security, we recommend using both lower and upper case letters in your password. Do not use passwords containing personal information or words found in a dictionary. You may not re-use a previously used password for a new password. You are allowed three incorrect login attempts before the system will lock you out. If this occurs, or if you forget your password, please call or e-mail your liaison.

PASSWORD RULES IN DETAIL

IMPORTANT: Only the first 8 characters in the password are checked for compliance with these rules.

1) **Length = 8** (Minimum length of the password.)
2) **Minimum Alpha = 3** (Minimum number of alpha characters in password.)
3) **Minimum Numeric = 2** (Minimum number of numeric characters.)
4) **Mixed Case = Recommended** (For security we recommend using both lower and upper case letters in your password.)
5) **Maximum Character Repeats = 4** (Maximum number of same characters that can appear in the password.)
6) **Minimum Different Characters = 3** (Minimum number of characters in the new password that were not in the old password.)
7) **Login Retries = 3** (Number of invalid attempts before user is locked out.)

PHARMACY DATA TESTING REQUIREMENTS

Pre-test file configuration

Before submitting any pharmacy test file you must first include the Sender Identification (ID) number in the header portion of the NCPDP format at the 880-K1 field. The Sender ID (ncpdpxxx) is a unique number assigned and previously given to you by the OR-DHS Testing Coordinator.

TEST FILE NAMING CONVENTION

Please use the following naming convention for the inbound test file names you submit/upload to the OR-DHS Mailbox:

- The first two position(s) indicate the file number
- Followed by a three digit 'PHP OR-DHS designated name' for the PHP submitting encounter pharmacy test data'
- _rx_ to indicate pharmacy data (use the underscore, not dash key)
- 2-digit month and 2-digit day indicating the date the file is submitted
- File Extension: '.enc'

Examples:
01planname_rx_mmdd.enc OR 01planname_rx_0609.enc

When you are ready to test and have placed a data file in your Mailbox, send an email to your liaison. Please include "Pharmacy Test File" and your Mailbox number (ex. "tp123456") in the subject line. In the body of the e-mail, please include your organization name, contact information and the file name(s) submitted. Receipt of your e-mail is our signal to process your file.

Upon completion of the testing process, your encounter data liaison will notify you of the results via email. Please allow up to 7 OR-DHS business days for test results.

In addition to passing data testing your data file must also meet the following requirements:

• Pharmacy data tests must be sent from the submitter's site
• Send only one test file at a time. Do not send another test file until you receive the test results
• Test file must contain between 25 – 100 claims

NOTE: You may submit test files as many times as you feel is necessary.

SUCCESSFUL TESTING

To pass from testing to Production, your test must have no formatting issues or data integrity issues.

After successful testing is completed, you will be moved from test to Production. This is a provisional pass based on a submitter's performance in Production. The naming conventions of submission files are different for Production.

RE-TESTING RULES

Re-testing is required if any of the following apply (you must also notify OR-DHS before any new submissions):

• Software changes (new vendor, version updates, etc).
• Production claims that have formatting problems.
• Submission site changes.
• Change of computer platform.

PRODUCTION PHARMACY DATA FILE NAMING CONVENTION

Please use the following naming convention for the inbound file names you submit/upload for production to the OR-DHS Mailbox:

- The first two positions indicate the file number.
- Followed by 'ep' for encounter pharmacy data.
- 2-digit month, 2-digit day and 2-digit year indicating the date the file is submitted.
- File Extension: '.mco' – indicating that the file is encounter pharmacy data.

Examples:
01epmmddyy.mco or 01ep060904.mco

IMPORTANT NOTE: Once the transmission is complete, change the extension of ".mco" to ".enc". This is required to ensure a complete data transfer. If the transmission aborts and the extension is not changed to ".enc", DHS will not extract the file.

When you send a file for production and have placed a data file in your Mailbox, send an email to your liaison. Please include "Pharmacy Production File" and your Mailbox number in the subject line. In the body of the e-mail, please include your organization name, contact information and the file name(s). Receipt of your e-mail is our signal to process your file. This e-mail account is for notification of submission only.

SUBMISSION TIMES

OR-DHS will process all NCPDP encounter pharmacy data files once per week. Files will be extracted at 8AM each Wednesday. Submission files must be received by OR-DHS no later than close of business each proceeding Tuesday. OR-DHS will not ensure processing of pharmacy data files sent Wednesday morning.

OUTBOUND NCPDP RESPONSE FILE INFORMATION

The response file format will use your input file name, preceded with the 'picked up' date stamp and the extension changed to .rsp, to indicate a return file. Please note that the date stamp is NOT the process date but rather the date that the file was received in the OR-DHS MMIS system.

Example:

Input File Name: 01ep032105.enc
Response File Name: 20050322_01ep032105.rsp

OR-DHS will place these files in the appropriate mailbox the following day of processing. Processing occurs Wednesdays, with the response file in your mailbox on Thursday.