

# Appendix I

## Trading Partner Electronic Transaction Submission Procedures

### Revision History

Date	Location	Revision
6/17/03	Entire guide (through Appendix IV)	Initial release
10/3/03	Entire guide (through Appendix V)	Added Appendix V: Alaska 835 Payment/Advice Instructions; no changes made to this appendix
12/29/03	<ul style="list-style-type: none"><li>• Entire Appendix</li><li>• Footers</li></ul>	<ul style="list-style-type: none"><li>• Updated the phone number for ECCS Richmond/EDI Department to 1-800-924-6741</li><li>• Modified page numbers</li></ul>

# Alaska Trading Partner Companion Guide

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## I. Introduction

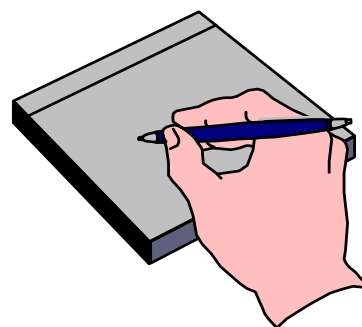
Electronic Transaction Submission was developed to give Alaska Medical Assistance providers the capability for accelerated submission of their Medical Assistance transactions. Effective October 16, 2003, all electronic transactions must be in the format specified by the Health Insurance Portability and Accountability Act (HIPAA). Alaska Medical Assistance has contracted with First Health Services Corporation to assist them in becoming HIPAA compliant for electronic transactions and code sets. First Health is also referred to as the Fiscal Agent in this guide.

Submitting transactions electronically reduces the time for receipt of Medical Assistance transactions to the Medical Assistance Management Information System (MMIS) by eliminating the time-consuming process of document preparation, mailing, transaction receipt, imaging, and data entry. Instead, electronic transactions are transmitted directly to the host system and downloaded to the MMIS on the day of receipt.

This appendix presents the functions and procedures to be followed for electronic submissions. Providers may choose one of the following options for producing HIPAA-compliant electronic transactions:

1. Develop EDI software internally using information technology staff
2. Purchase HIPAA-compliant third-party billing software
3. Use a clearinghouse that can translate data submitted into a HIPAA-compliant transaction

To submit transactions via electronic media, each submitter is required to have a Billing Agent (Trading Partner) Submitter Number. The submitter number is issued by Medical Assistance and is unique to the Billing Agent regardless of the number of enrolled Medical Assistance providers for whom the agent bills. Providers who choose to submit their own claims (via internally developed EDI software or through purchased third-party billing software) are considered to be their own billing agent and will receive one submitter number. Likewise, a clearinghouse that services several different Medical Assistance providers will also receive only one submitter number. Using a valid Billing Agent Submitter Number is required in order to submit transactions electronically.



To get a Billing Agent Number and gain access to the Alaska Medical Assistance system, each submitter must complete the “Billing Agent Information Submission Agreement” and return it to the HIPAA Provider Support Team at First Health Services Corporation.

In addition, each Medical Assistance Provider must complete the “Provider Information Submission Agreement” and return it to the HIPAA Provider Support Team at First Health Services Corporation.

## II. Edits

To electronically submit transactions to Alaska Medical Assistance, the Billing Agent must conform to record formats and specifications as outlined in the federal HIPAA Implementation

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Guides and the Alaska Medical Assistance Trading Partner Companion Guide. All electronic submissions sent to Alaska Medical Assistance after October 15, 2003 must be in the HIPAA-compliant format, which is currently ANSI X12N Version 4010A1.

Before being processed by Alaska Medical Assistance, all files must pass through an X12 compliance check to ensure proper format and compatibility. Remember that transactions suspended or rejected for missing or invalid data reduce the benefits of electronic submission. Therefore, it is to the provider's advantage to ensure complete and accurate information is entered as required for all segments within each transaction.

Alaska Medical Assistance will be supporting the following HIPAA transactions:

270/271	Health Insurance Eligibility Request/Response Verification
276/277	Health Care Claim Inquiry to Request/Response to Report the Status of a Claim
278	Health Care Service to Request/Report Authorizations and Referrals
835	Health Care Claim Payment/Remittance
837	Dental Health Care Claim
837	Institutional Health Care Claim
837	Professional Health Care Claim
NCPDP	National Council for Prescription Drug Programs Batch

Alaska Medical Assistance will be certifying outbound transactions through Level 6, as defined by WEDI/SNIP, using the Claredi<sup>SM</sup> tool. It is strongly suggested that all software used for submitting transactions to Alaska Medical Assistance be pre-tested and certified by an independent certification agent, such as Claredi<sup>SM</sup>, through at least Level 4.

### III. Secure FTP Guidelines

HIPAA Standard Transactions will require that **all Trading Partners** (Billing Agents) use some form of **FTP Server/Client Software** for sending or receiving electronic data. Billing Agents will be required to test this software with transactions and code sets prior to submitting them in production.

**Note:** DHSS is requiring that clearinghouses, intermediaries, and software vendors provide proof of transaction testing and certification through Level 4, as outlined by WEDI. This certification is a prerequisite for business-to-business testing with DHSS. Certification can be obtained through Claredi<sup>SM</sup> or another certifying entity. Alaska Medical Assistance will be certifying its outbound transactions to Level 6 through Claredi<sup>SM</sup>.

Alaska Medical Assistance is implementing a secure method of transferring files: a File Transfer Protocol (FTP) server that requires a Secure Sockets Layer (SSL) connection by the Billing Agent to ensure that user login and data transmission meets HIPAA privacy and security requirements. All transmissions of data over the FTP connection will be encrypted. All electronic files sent to and received from FHSC must utilize this SSL FTP connection and must be in the HIPAA-compliant format (currently ANSI X12N Version 4010A1). The login to the SFTP server is encrypted as is the actual transferring of files.

By using 128-bit SSL encrypted FTP (SFTP), the Billing Agent and FHSC can safely and securely transmit and receive files over the Internet or Dial-Up connections. When a connection is made between a client and a server using the SSL, all commands and data passing from one

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side to the other will be encrypted and can only be decrypted by the two parties involved in the data transfer.

To successfully connect to the SFTP server, the user is required to have client FTP software that

- Is compatible with the WS-FTP product used by Alaska Medical Assistance
- Supports SSL connections
- Complies with the Internet Standards for FTP protocol (RFC 2246 and RFC 2228 define the SSL FTP standards and can be found at [www.ietf.org](http://www.ietf.org))
- Supports 128-bit Explicit SSL encryption

There are several commercially available client software packages as well as a few software packages available for download.

The following settings are the minimum requirements needed to access the server:

- Hostname: `secureftp.fhsc.com`
- Remote (Control) Port: 21000
- Explicit 128-bit SSL Encryption
- Passive Mode
- A valid username and password (passwords must be at least six characters and must be changed at least every 30 days)
- Secure FTP flag set to ON

**Note:** Billing Agents that reside behind a firewall will also need to allow outbound sessions to be established on ports 21001-21100 for the data channel of the FTP connection.

In addition, to connect to the SFTP server, the Billing Agent must have a valid account that permits access to the server. This account is established when a Billing Agent Submitter Number is assigned as discussed earlier in this appendix.

#### IV. Directory Setup

After establishing a secure SSL FTP connection, the only directories that will be viewable are those associated with the Trading Partner logon. They will be

- INCOMING
- OUTGOING
- TEST
- HOLD

**INCOMING** - A directory for dropping off any transaction, such as a 270, 276, 278, or 837, that is to be put into Production. If the Trading Partner has not successfully tested and been approved for Production, the file will reject and a 997 or TA1 transaction will be generated stating that the file was rejected. If the Trading Partner/Billing Agent has successfully tested and been approved for Production, the file will be processed through the Alaska Medical Assistance system and the proper response will be placed, after processing, in the OUTGOING directory.

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**OUTGOING** – A directory for any file waiting for you to retrieve, such as a 271, 277, 278, 835, TA1, or 997. All files in this directory will remain on the system for 45 days. After that time, the file will be deleted automatically by the system. When you log in, you will be able to retrieve any files still in this directory. It is imperative that you download files regularly and often.

**TEST** – A directory for dropping off any transaction that you desire to have tested. No processing will be done to any file dropped off in the TEST directory until you notify the EDI Department who your Trading Partner is, what you are testing, and who should be notified about the test results. Files in this directory will be deleted every 30 days or once testing of the transaction is completed. You can notify the EDI Department by e-mail at [edivmap@fhsc.com](mailto:edivmap@fhsc.com), by phone at (800) 924-6741, or by fax at (804) 273-6797.

**HOLD** – A directory used by Alaska Medical Assistance during the processing of files. Nothing should be dropped off, picked up, or deleted from this directory.

### V. Testing

The following information is critical to the electronic transaction submission process. Sections A - C apply to all providers/submitters desiring to submit transactions electronically.

#### A. Pre-test Requirements

Once the “Billing Agent Information Submission Agreement” is received, a Billing Agent Submitter Number is assigned to the submitter and a valid account is set up for that Trading Partner on the SFTP server. This submitter number will be used to send test transactions.

#### B. Test Requirements

All electronic submissions sent to Alaska Medical Assistance after October 15, 2003 must be in the HIPAA-compliant format, currently ANSI X12N Version 4010A1.

#### SSL FTP File Transfer

Once the submitter has received the Billing Agent Submitter Number, the following preparations should be completed to enact the actual test transmission.

1. Notify the EDI Department who your Trading Partner is, what you are testing, and who should be notified about the test results.
2. Enter the transactions.

**Note:** The 837 initial test submission should contain between 25 and 50 claims relevant to the provider’s specialty. Other initial transaction submissions have no low limits but should not exceed 50.

3. Connect to the receiving system located at FHSC via the Internet using the URL, login, and password provided. Refer to “FTP Guidelines” earlier in this appendix for more information about connecting to the receiving system.

**Note:** The URL for connecting to FHSC is **secureftp.fhsc.com**. The login will be provided with your written notification of a Billing Agent Submitter Number. The password will be faxed or phoned to you separately. In the event of

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difficulties in transmission, please contact the EDI Department at (800) 924-6741 or via e-mail at [edivmap@fhsc.com](mailto:edivmap@fhsc.com).

Upon completion of the transmission, the submitter will receive confirmation via a 997 or TA1 Transaction, which will include a Media Control Number (MCN), e.g., MCN X7040001. The MCN will serve as the submitter's confirmation of the test submission. A technical analyst will evaluate the test file in the order it was received. The EDI Department can be contacted by e-mail at [edivmap@fhsc.com](mailto:edivmap@fhsc.com), by phone at (800) 924-6741, or by fax at (804) 273-6797 for confirmation of receipt.

### **C. Test Results Notification**

- **Test Turnaround Schedule**

Tests will normally be completed within two working days. Because all test results must be reviewed by a technical analyst before the corresponding response will be placed in the OUTGOING directory, this turnaround time may have to be extended during times of high-volume testing, such as during the initial implementation period. If you do not receive a 997 within two working days or do not get the appropriate final response (271, 277, 835, etc.) within five working days, please contact the EDI Department at (800) 924-6741 or e-mail them at [edivmap@fhsc.com](mailto:edivmap@fhsc.com).

- **Successful Test Submissions**

For every test that is approved by an EDI Technical Analyst, the submitter will be notified by a phone call and an e-mail or fax advising of the successful test. The notification will also include the date that actual transactions will start being accepted in production.

- **Unsuccessful Test Submissions**

If a test transmission is evaluated as unacceptable, the submitter will be notified by the EDI Coordinator by telephone. If requested, a report identifying the errors that resulted in the disapproval can be faxed to the submitter. Another test is required.

## **VI. Actual Transaction Submissions**

When a submitter receives notification of a successful test, the notification will also include the date that electronic submission of actual production transactions will be accepted. The following guidelines and procedures are to be observed for the appropriate submission media.

### **SSL FTP File Transfer**

The host receiving system is available to receive transmissions from approved submitters seven days a week, twenty-four hours a day. On-site assistance from the EDI Department is available Monday through Friday, 8:00 a.m. to 5:00 p.m. AST.

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### VII. Password Change

As part of the Alaska Department of Health and Social Services's requirements for HIPAA Security, passwords must be at least six characters long and must be changed **at least** every 30 days.

If passwords are forgotten, a new password can be assigned by calling the EDI Department at (800) 924-6741 between 8:00 AM and 5:00 PM AST any weekday except holidays.

- *If the password has **not** expired yet, follow the steps below to change the password:*

1. Successfully authenticate to the FTP server.
2. Execute a SITE command called **chgpsw** with the following syntax:  
*Username oldpassword newpassword newpassword*

**Example:** SITE chgpsw username oldpassword newpassword newpassword

**Note:** The process for executing a SITE command varies depending on the FTP client you are using. Please see your software documentation for more information.

3. Wait for the command to execute and the servers to process the request. Once the process has been completed, you will receive one of the following messages:

Message	Meaning
Password successfully changed!!!	The process completed successfully and the password has been changed.
SERVERNAME/USERNAME: Password did not match	The old password was not entered correctly. Please enter the command again with the correct password.
New Passwords do not match – Error!	The new password specified was not re-typed correctly. Please try again.
Not Enough Arguments – Error!	One of the values needed was missing. Verify that all of the required information is provided and try again.
New and Old Password must be different – Error!	New passwords are required to be different than the current password or any of the prior six passwords. Choose a different new password and try again.

**Note:** Other errors similar to the ones listed above may be encountered. Most of them should be specific enough to identify what caused the error, but if there are any difficulties or concerns, please contact the EDI Coordinator as defined below.

- *If the password has already expired and the expired password is known, contact the FHSC Help Desk at (800) 448-0360. The password will be reset, so the procedures listed above can be followed. The Help Desk is available Monday through Friday from 6:00 AM until 8:00 PM EST, except on holidays. For assistance with emergencies outside of normal business hours, a message can be left at the phone number listed above and it will be forwarded to on-call personnel.*

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- *If the password has already expired and the expired password is **not** remembered, contact the EDI Department at (800) 924-6741. The EDI Department will authenticate the Trading Partner and issue a new password. Their normal working hours are Monday through Friday from 8:00 AM until 5:00 PM AST, except on holidays.*
- *If the password is not remembered, contact the EDI Department at (800) 924-6741. The EDI Department will authenticate the Trading Partner and issue a new password. Their normal working hours are Monday through Friday from 8:00 AM until 5:00 PM AST, except on holidays.*

### VIII. Transaction Submission Policy

All transactions submitted to Alaska Medical Assistance must comply with all HIPAA and Alaska Medical Assistance mandated guidelines.

Transactions received by noon on Tuesday will be processed in the Tuesday-night cycle.

For any questions related to transaction submission, please continue to refer to the appropriate billing manuals for the provider types for which submissions are being generated. Questions pertaining to billing should be directed to First Health Services Corporation at (907) 561-5650 or (800) 770-5650 (toll-free in Alaska).

