# North Carolina Department of Health and Human Services (NC DHHS)

## Division of Medical Assistance (DMA)
## Division of Mental Health (DMH)
## Division of Public Health (DPH)

Standard Companion Guide Trading Partner Information Instructions related to Transactions based on ASC X12 Implementation Guides, version 005010, for the Replacement MMIS NCTracks starting July 1, 2013

# Preface

Companion Guides (CG) may contain two types of data, instructions for electronic communications with the publishing entity (Trading Partner Information) and supplemental information for creating transactions for the publishing entity while ensuring compliance with the associated ASC X12 Implementation Guide (IG) (Transaction Instructions). Either the Trading Partner Information component or the Transaction Instruction component must be included in every Companion Guide. The components may be published as separate documents or as a single document.

The Communications/Connectivity component is included in the Companion Guide when the publishing entity wants to convey the information needed to commence and maintain communication exchange.

The Transaction Instruction component is included in the Companion Guide when the publishing entity wants to clarify the IG instructions for submission of specific electronic transactions. The Transaction Instruction component content is limited by ASCX12's copyrights and Fair Use statement.

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# 1. Introduction

## 1.1 PURPOSE

This document is intended to provide information from the author of this guide to trading partners to give them the information they need to exchange EDI data with the author. This includes information about registration, certification, connectivity, support, and specific information about control record setup.

## 1.2 SCOPE

This Trading Partner Information Companion Guide is intended as a resource to assist providers, clearinghouses, service bureaus, and all other trading partners of the North Carolina Division of Medical Assistance (DMA), Division of Mental Health (DMH), and Division of Public Health (DPH), Office of Rural Health and Community Care (ORHCC) in successfully conducting Electronic Data Interchange (EDI) of administrative health care transactions using NCTracks, the multi-payer system supporting these payers. This document provides instructions for enrolling as an NCTracks Trading Partner, obtaining technical assistance, initiating and maintaining connectivity, sending and receiving files, testing, and other related information. This document does not provide detailed data specifications, which are published separately by the industry committees responsible for their creation and maintenance.

## 1.3 OVERVIEW

This guide provides communications-related information a Trading Partner needs to enroll as a Trading Partner, obtain support, format the ISA and GS envelopes, submit tests, and exchange production transactions with NCTracks.

Providers who are not enrolled in NCTracks cannot enroll as a Trading Partner until registered and credentialed with NCTracks. Please contact NCTracks Enrollment at 866-844-1113 or visit the following site:

Until Go Live (Until June 21 2013):

https://www.nctracks.nc.gov/provider/providerEnrollment/index.jsp

Post Go Live (July 1 2013):

https://www.nctracks.nc.gov/content/public/providers/provider-enrollment.html

## 1.4 REFERENCES

The NCTracks website contains links to all forms and related information for enrollment as a Trading Partner. Refer to http://www.nctracks.nc.gov/index.html for additional information and a variety of useful quick links such as FAQs, enrollment instructions, and complete set of companion guides on NCTracks.

For NCTracks HIPAA Companion Guides, please visit the following site. Transaction companion guides are also available within the Trading Partner Testing Portal, which is a self-service EDI test site for NCTracks trading partners.

http://www.nctracks.nc.gov/provider/guides/index.html

For NCTracks trading partner enrollment information, please visit the following site:

https://www.nctracks.nc.gov/provider/providerEnrollment/

# 2. Getting Started

## 2.1 WORKING TOGETHER

**NCTracks Support Services Contact Information**
Phone: 1-800-688-6696

Email: NCMedicaid@csc.com

Website: http://www.nctracks.nc.gov/provider/index.html

**Electronic Data Interchange (EDI) Technical Assistance**
Phone: 1-866-844-1113 option 3

Email: NCMMIS_EDI_Support@csc.com

Website: http://www.nctracks.nc.gov/provider/index.html

Companion Guides: http://www.nctracks.nc.gov/provider/guides/index.html

**Provider/Trading Partner Enrollment**
Currently Enrolled Provider (CEP), Billing Agent Enrollment Link (Until June 24 2013):

Phone: 1-866-844-1113

Email: NCMedicaid@csc.com

Website: https://www.nctracks.nc.gov/provider/providerEnrollment/

NCTracks Enrollment Link (Beginning on July 1 2013):

Phone: 1-800-688-6696

Email: NCMedicaid@csc.com

https://www.nctracks.nc.gov/content/public/providers/provider-enrollment.html

## 2.2 TRADING PARTNER REGISTRATION

### 2.2.1 Trading Partner/Providers Enrollment

An Electronic Data Interchange (EDI) Trading Partner is any entity (provider, billing service, software vendor, employer group, financial institution, clearinghouse etc.) that transmits electronic data to or receives electronic data from another entity.

Trading partner registration, which includes electronic signature of the Trading Partner Agreement (TPA), generation of Transaction Supplier Number (TSN) is an on-line process and the instructions are provided below. Clearing houses, service bureaus, trading partner, billing agent, and other entities that intend to exchange electronic transactions with NCTracks must sign the TPA and be enrolled into NCTracks.

**Successful enrollment is required before proceeding with exchange of EDI data.**
Currently Enrolled Provider (CEP), Billing Agent Enrollment Link (Until June 24 2013):

Phone: 1-866-844-1113

Email: NCMedicaid@csc.com

Website: https://www.nctracks.nc.gov/provider/providerEnrollment/

NCTracks Enrollment Link (Beginning on July 1 2013)*:

Phone: 1-800-688-6696

Email: NCMedicaid@csc.com

https://www.nctracks.nc.gov/content/public/providers/provider-enrollment.html

Please note that all entities should obtain an NCID before enrolling into NCTracks (beginning on July 1 2013). Information on how to obtain a NCID is mentioned below:

NCID Registration: https://ncid.nc.gov

NCID FAQs: https://www.ncid.its.state.nc.us/NCID_FAQ2.asp

### 2.2.2 User Provisioning and Mailbox Creation Steps

Any users registered and provisioned in the Billing Agent application on or before June 24 2013 will automatically be provisioned into NCTracks and their mailboxes will be created before go-live.

The following are the steps for those trading partners (clearing houses, billing agents etc.) who will be provisioning themselves post July 1 2013. These steps are usually performed by the office administrator or user administrator. The users whose NCIDs are provisioned to submit or receive X12 transactions will have their own individual mailbox.

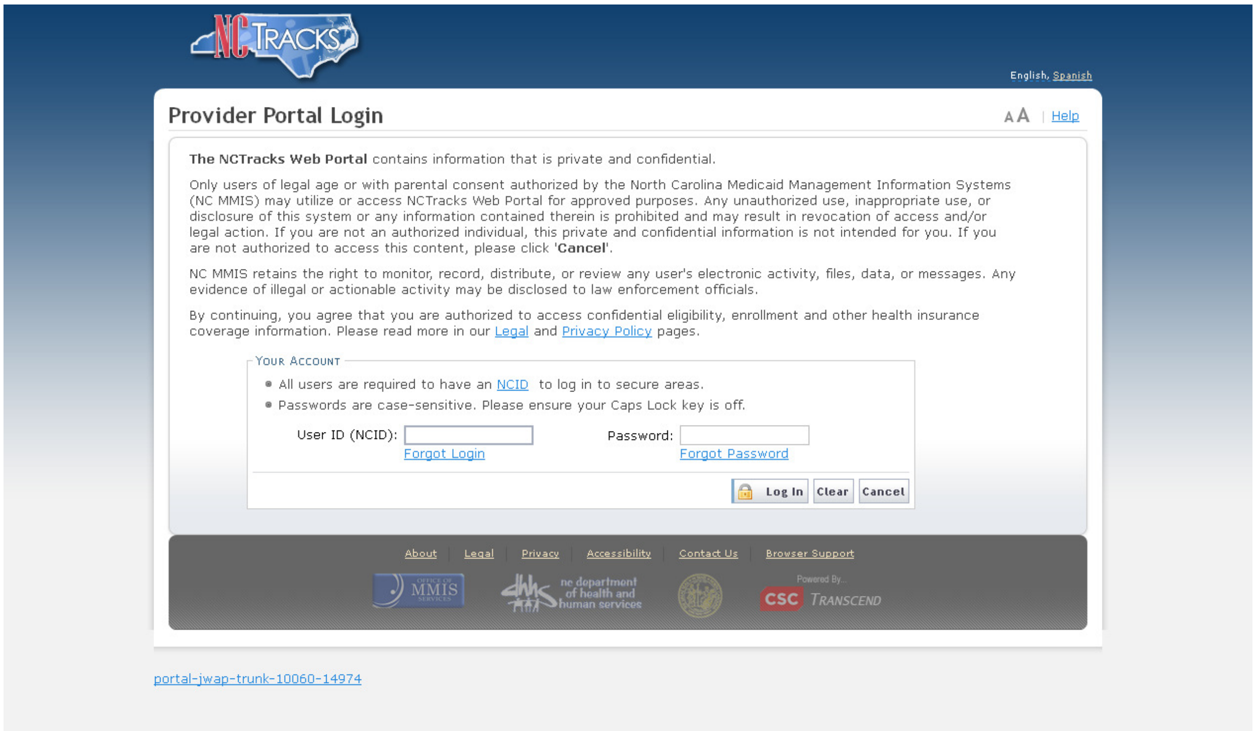
### 2.2.2.1 New User Set Up Instructions

This series of web pages allows the office administrator or user administrator to create a new user in the NCTracks application, post July 1 2013.

**Step 1:**

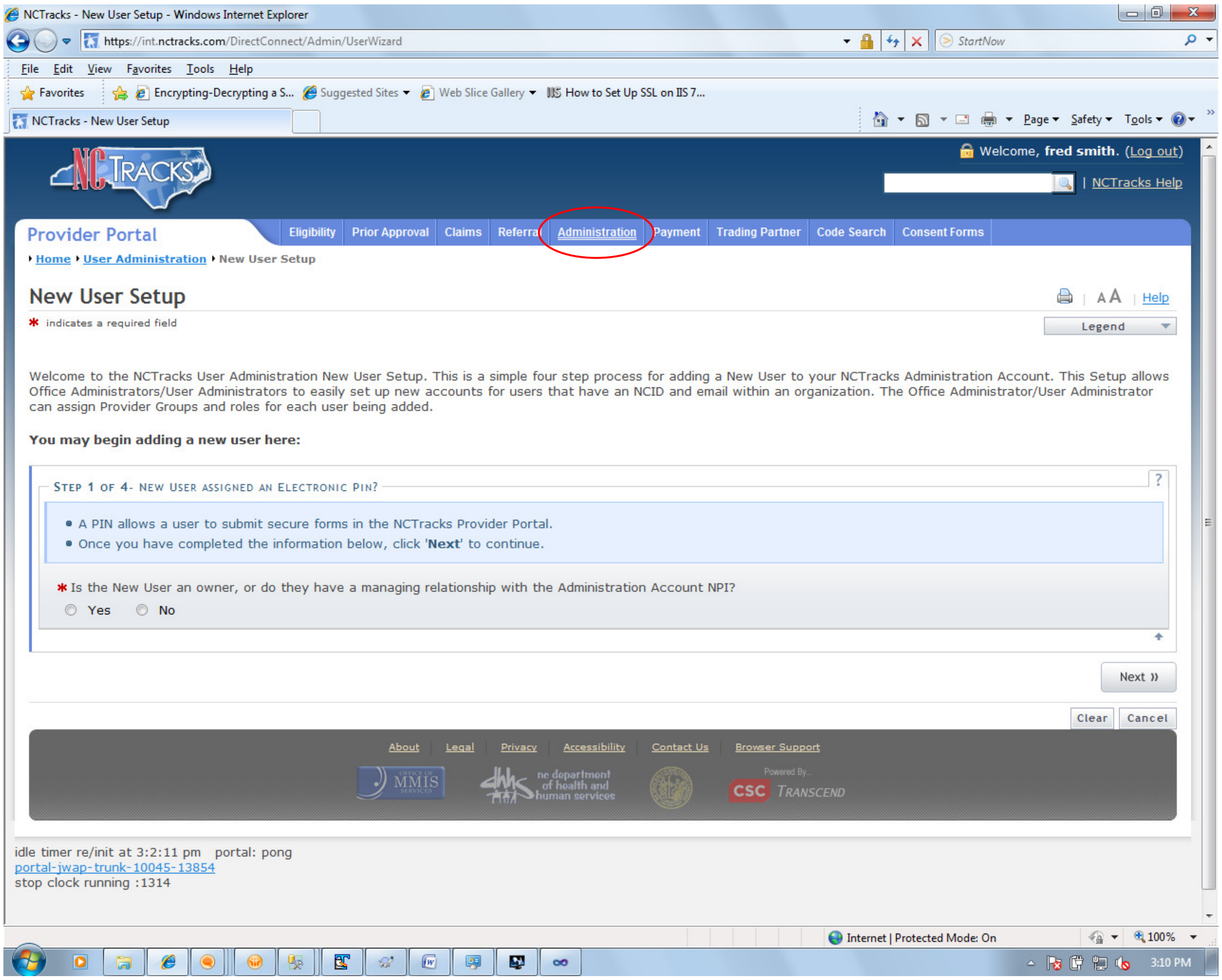
Login into [https://www.nctracks.nc.gov](https://www.nctracks.nc.gov).

Enter your NCID and Password and press Login button.

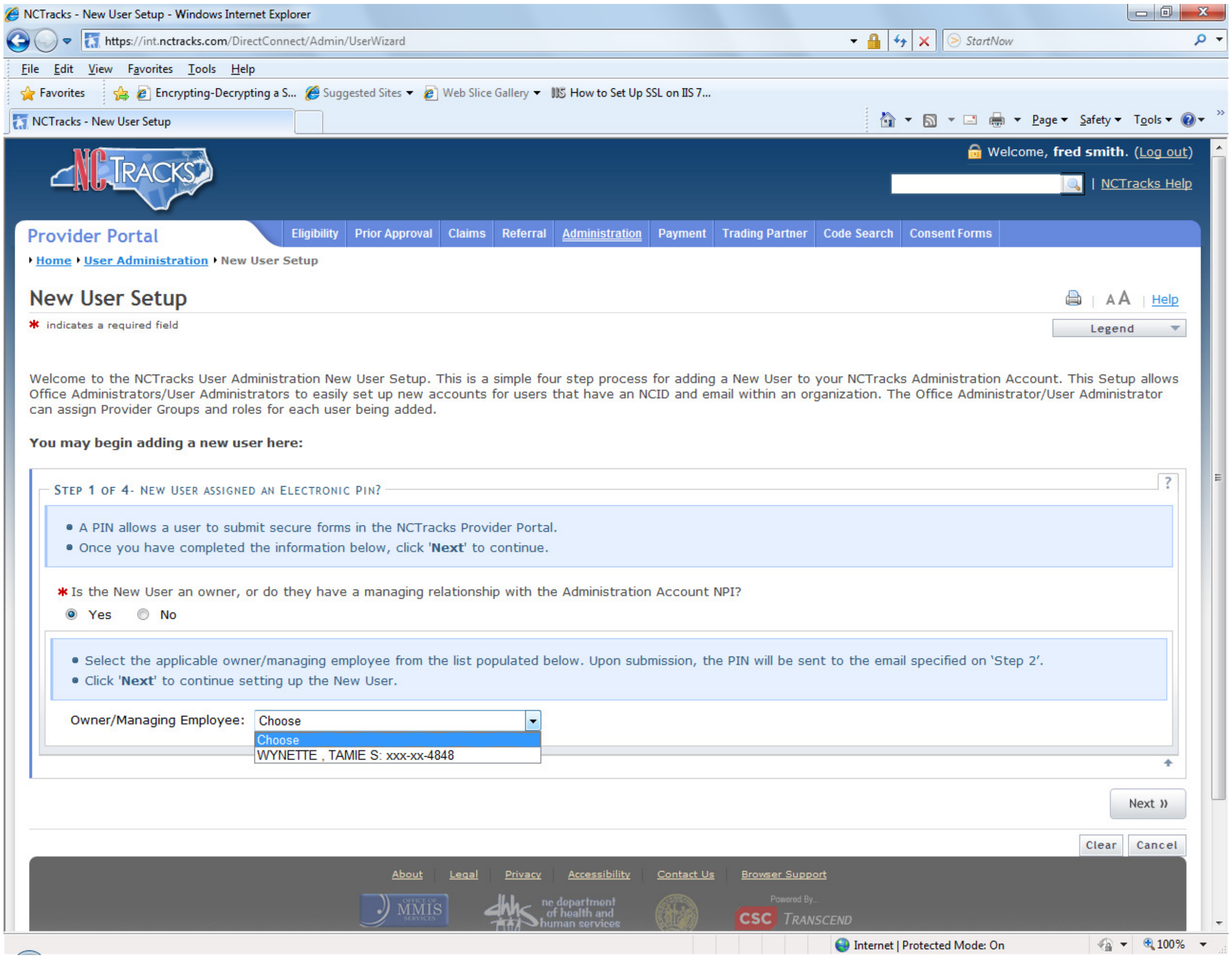


**Step 2:**

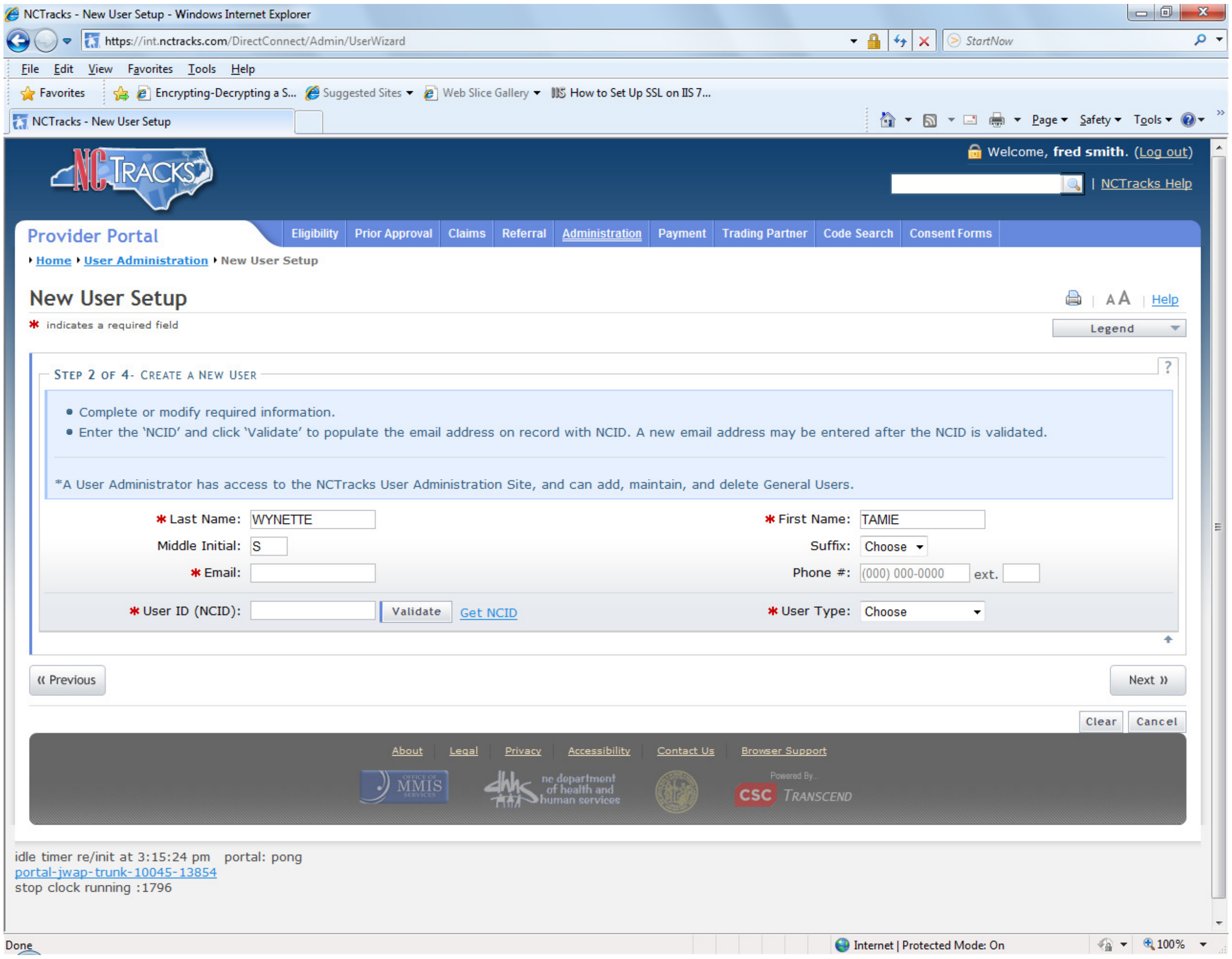
The page in this step determines if the user you are creating is a Owner/Managed relationship user or not. Choose No and press the Next button if you are not creating a managed relationship user.



If you are creating a managed relationship user choose Yes and select the Owner/Managing Employee from the drop down. Press the Next Button.

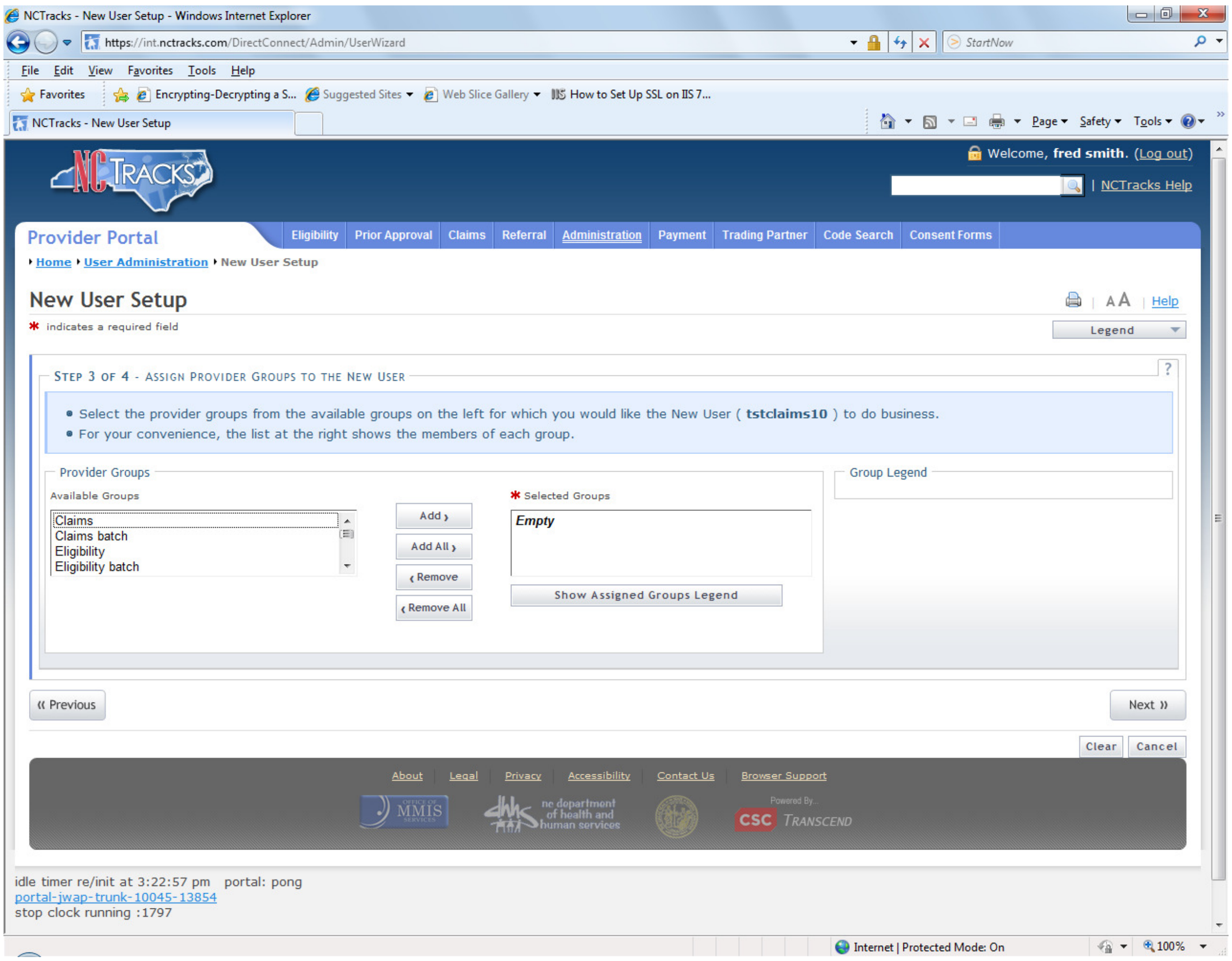


**Step 3:**
At a minimum enter all the required data elements for the page. When entering the User Id which is an NCID press the Validate button to make sure the NCID is valid. The system will populate the Email address with the email address that was used when the NCID was created. Press the Next button.



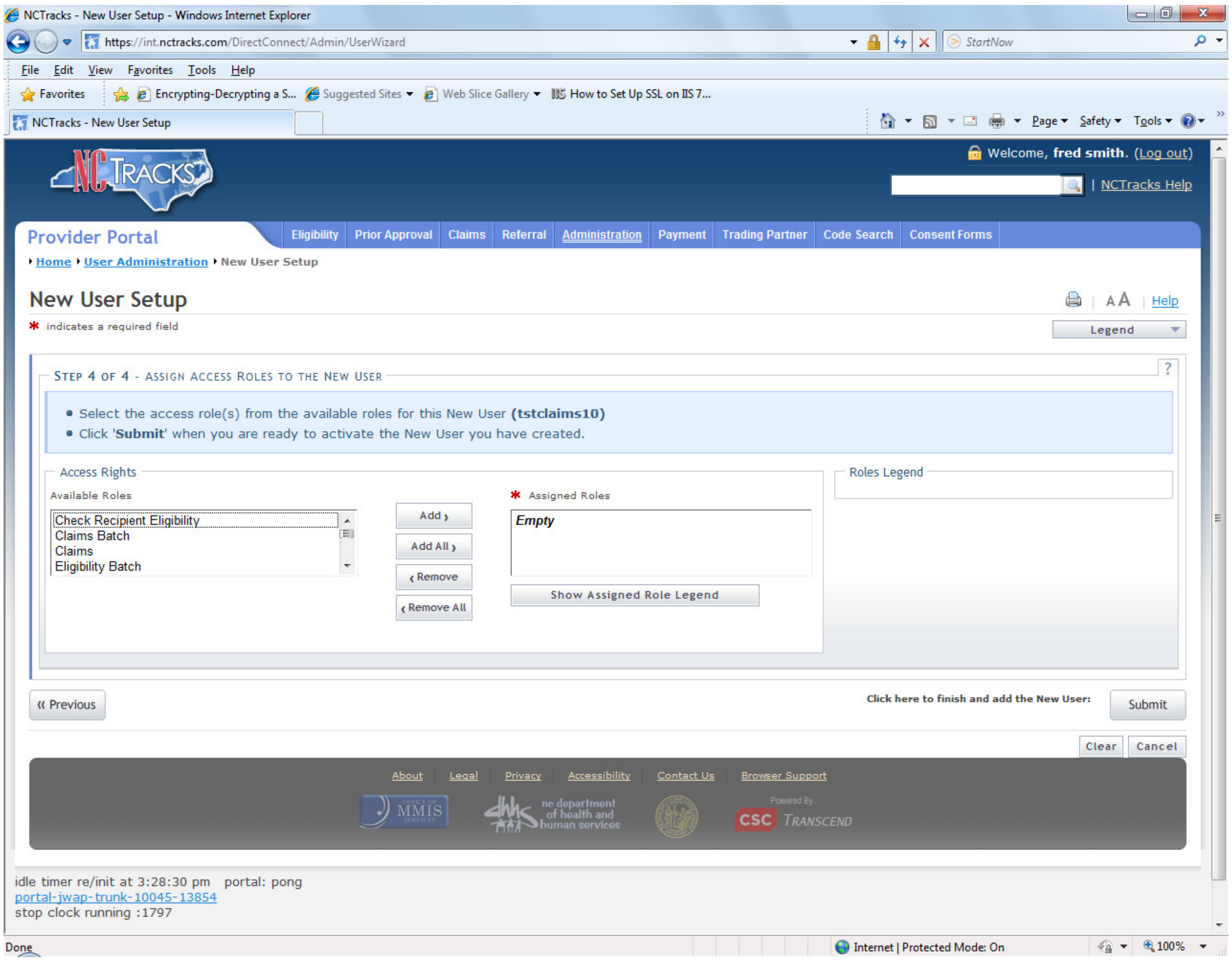
**Step 4:**
Select an X12 transaction list from the left hand list and use the Add button to add this Provider Group to the right hand list. This right hand list is the Selected Provider Groups for the user you are creating. This group contains the provider NPIs that the user can bill on behalf. To view the NPIs in each Provider Group select a Provider Group on the right hand side list and press the Show Assigned Groups Legend button. A list of all the NPIs of that selected group will display in the Group Legend found at the far right of the page.

After selecting all the X12 transaction lists this user will use in the Provider Portal, press the Next Button.

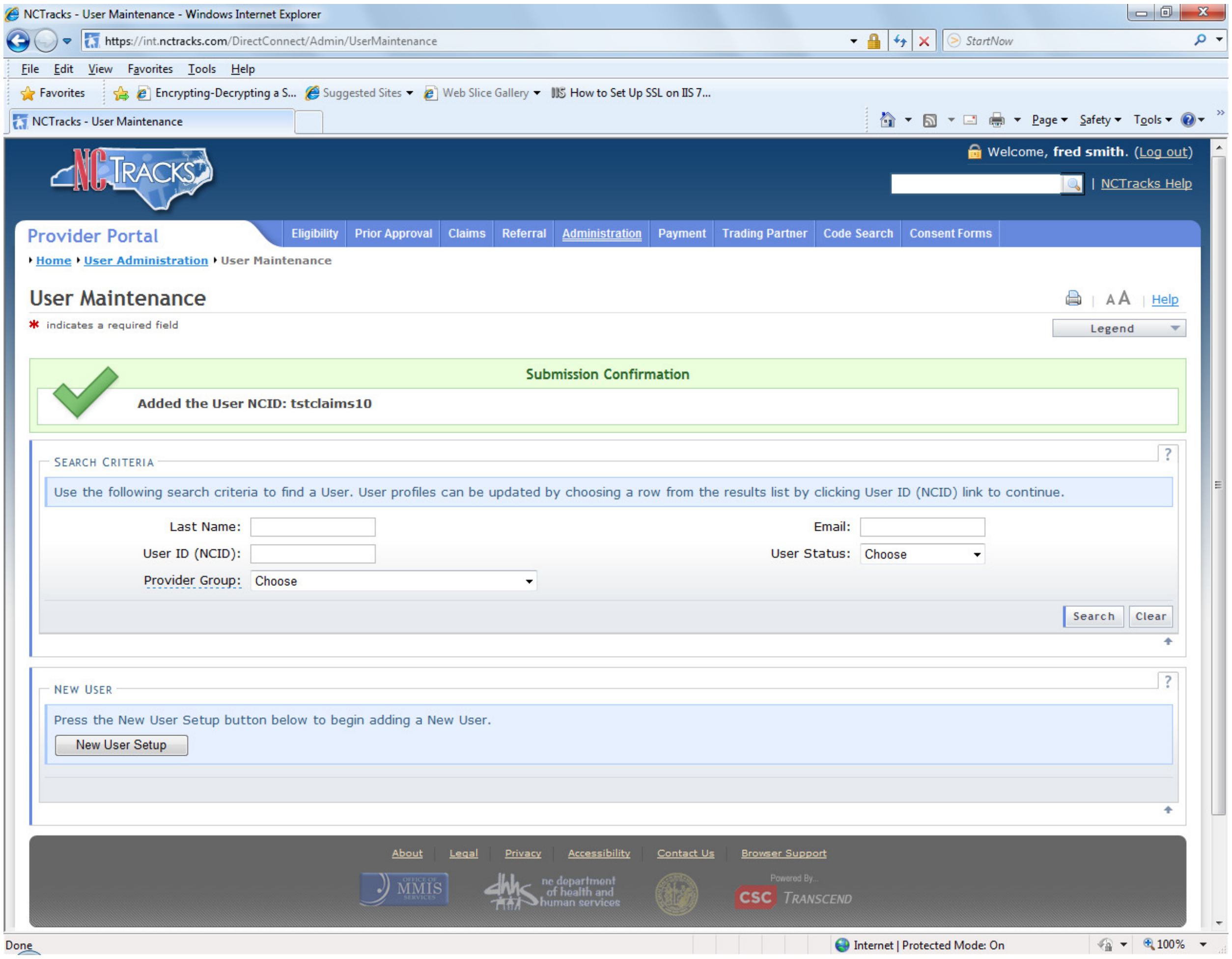


**Step 5:**
Select a Role from the left hand list and use the Add button to add this Role to the right hand list. This right hand list is the Assigned Roles for the user you are creating. This group contains the role the user can perform in the provider portal. To see what role each available role contains select a Role on the right hand side list and press the Show Assigned Role Legend button. A list of all the roles of that selected Role will display in the Roles Legend found at the far right of the page.

After selecting all the Roles for this user, press the Next Button.



This page displays the results of the New User Setup. The User NCID was added as a user.

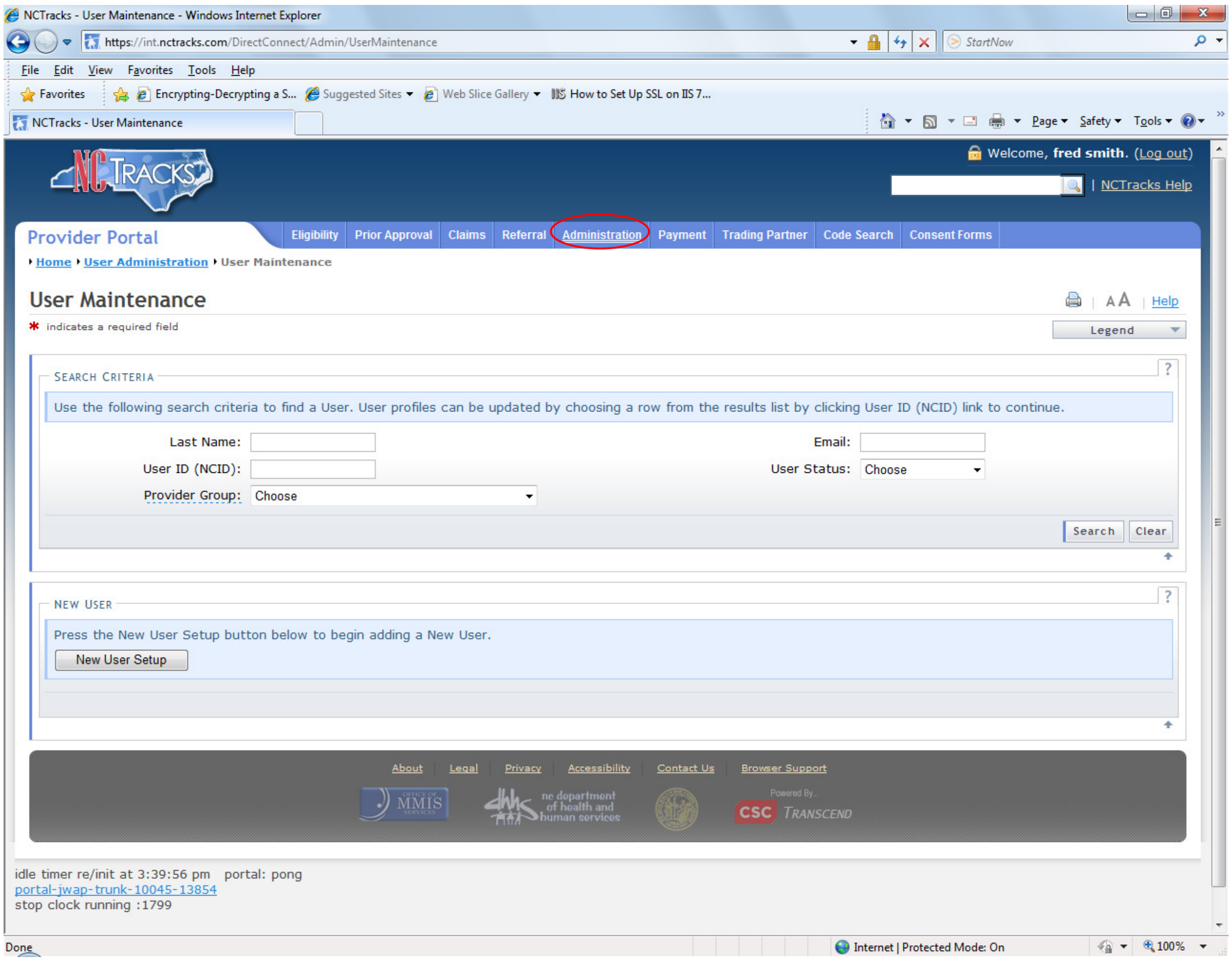


### 2.2.2.2 User Maintenance Set Up Instructions

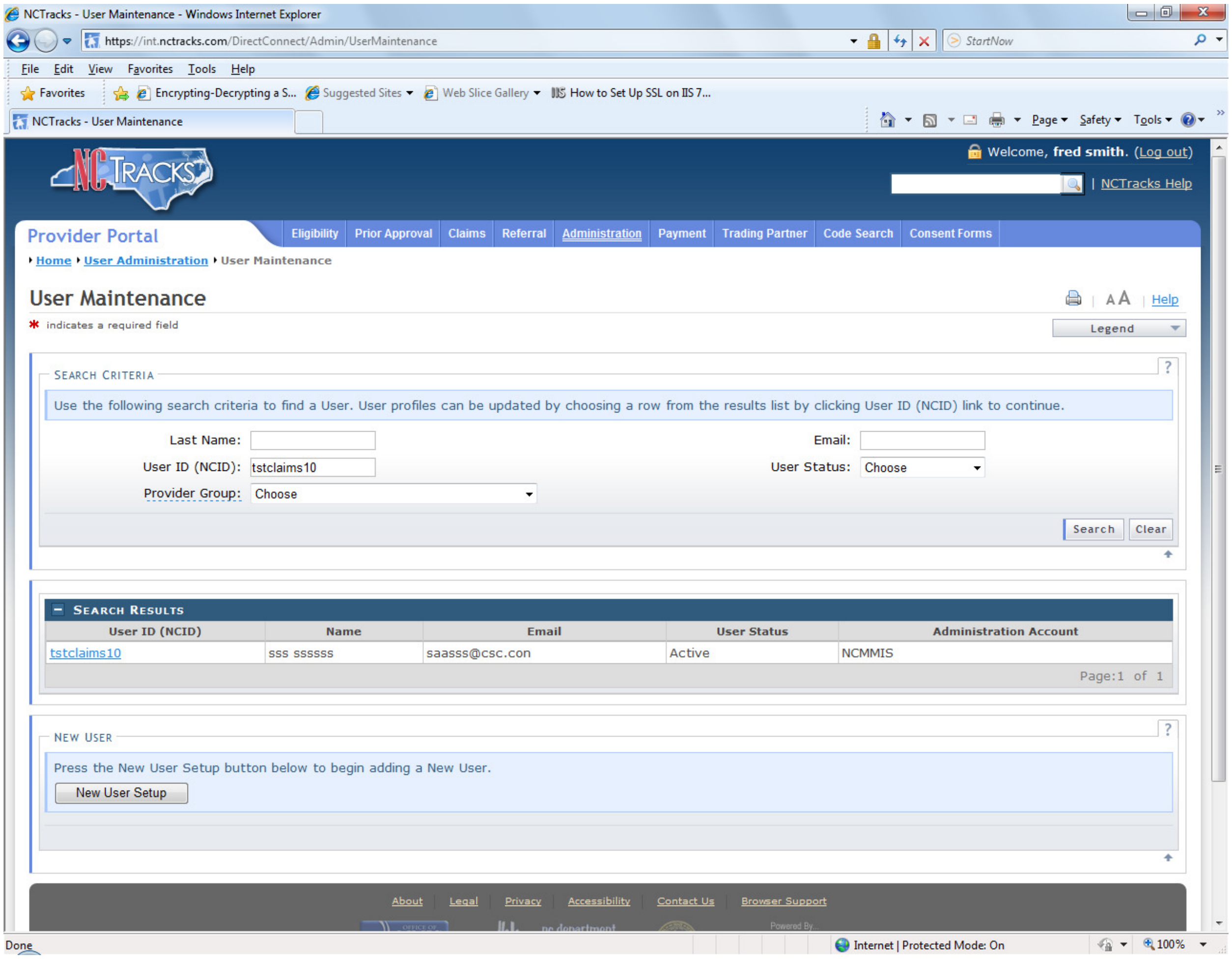
This series of web pages allows the office administrator or user administrator to change a user's demographic information, Provider Groups and Roles for the Provider Portal.

**Step 1:**

This page allows you to search for a user to change their data or go the New User Setup pages.



You can search for a user by entering one or more of the Search Criteria data elements and pressing the Search button. If you leave the Search Criteria blank and press the Search button all the users will display.



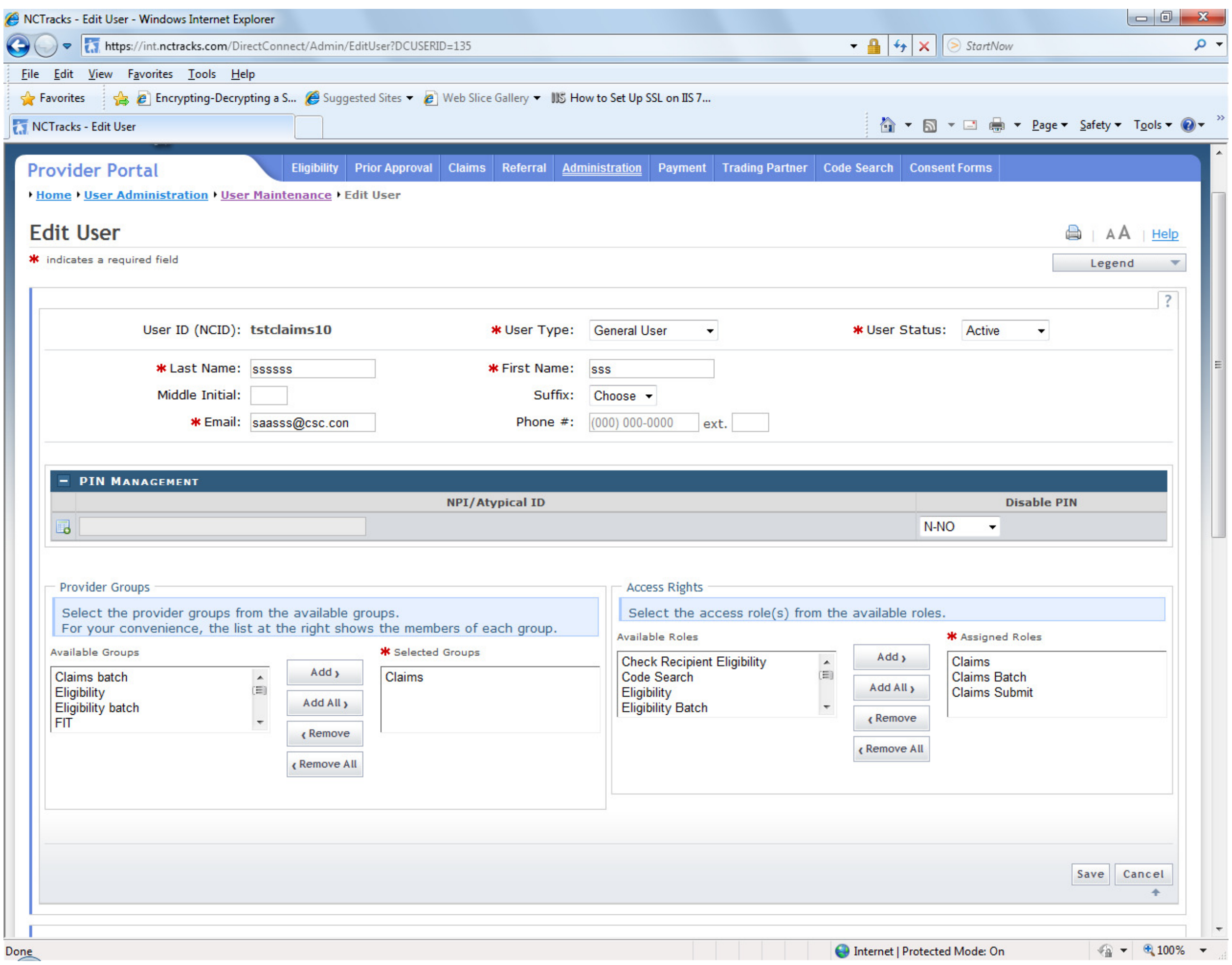
**Step 2:**
After searching for a user select the User ID (NCID) found in the Search Results grid to go to the edit user page.

On the Edit User page you can change the Users demographic information found at the top of the page. You can also change the Provider Groups and Roles assigned to the user.

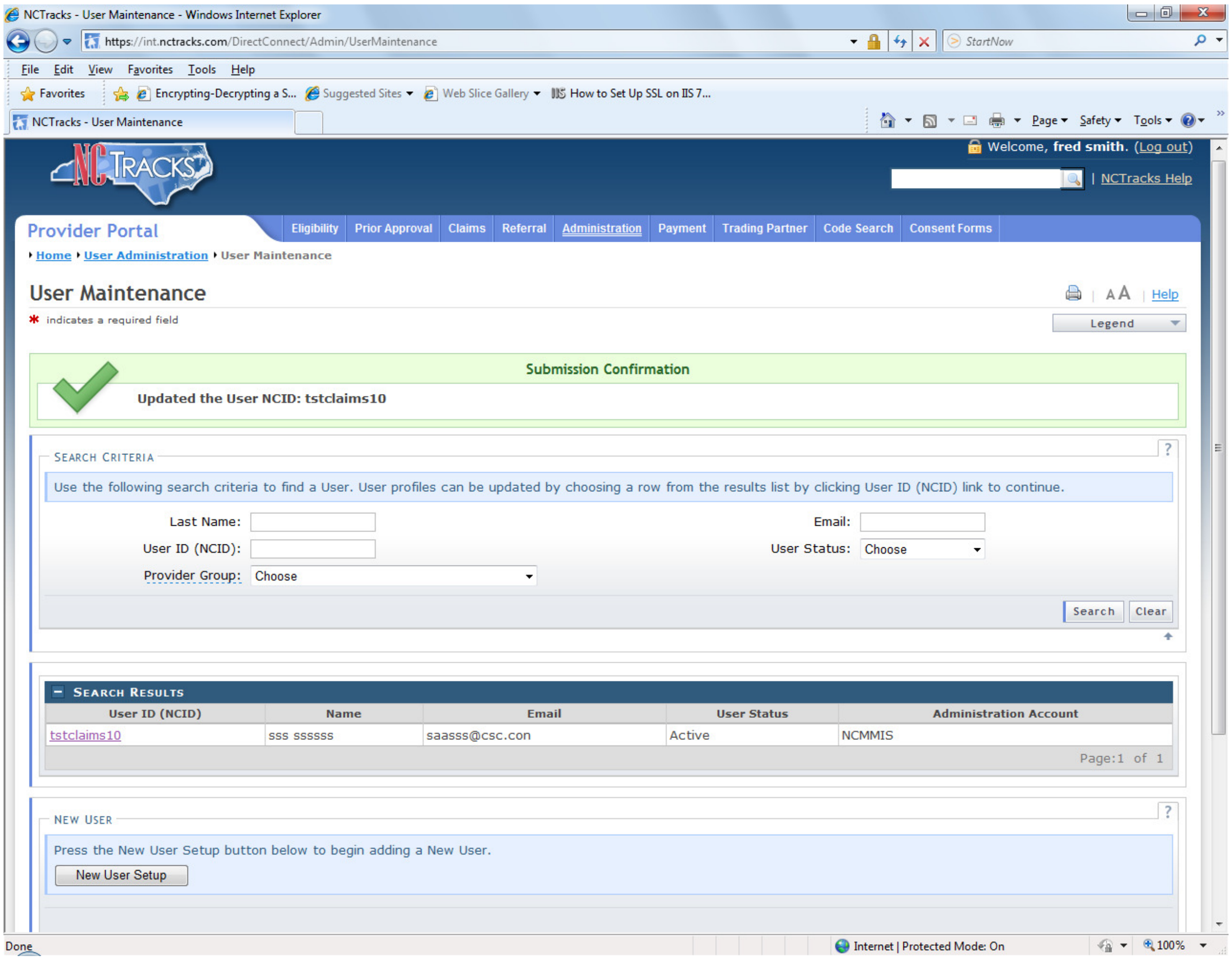
The Pin Management grid allows you determine if an NPI assigned to the user is pin worthy meaning you can disable or enable the NPI for PIN checking when submitting a Provider Application. The Pin Management grid displays the NPI/Atypical NPIs assign to the user. If you enable the PIN for this NPI/Atypical NPI then during the submission of a Provider Application a request will be made to the user to enter their PIN. If you disable the PIN then no request for a PIN is made during the submission of the Provider Application.

A Provider Application can be found in the Provider Portal and is based on an NPI/Atypical NPI.

Once you have made your changes to the users information press the Save button.



**Step 3:**
This page displays the results of the Edit User. The user was updated.



### 2.2.3 Requirements for Electronic Data Interchange

An Electronic Data Interchange (EDI) Trading Partner is any entity (provider, billing service, software vendor, employer group, financial institution, clearing houses etc.) that transmits electronic data to or receives electronic data from another entity.

**For information about available NCTracks Access methods, refer to the Communication Protocols in Section 4.2.**

Prior to establishing electronic access with NCTracks, any entity that plans to exchange electronic data with NCTracks needs to obtain a **Transaction Supplier Number (TSN)** through the enrollment process mentioned in Section 2.2.1. In addition to TSN, all trading partners are also required to go through the **certification** process that is outlined in section 3 below.

A TSN is used to identify a submitter. TSN may also be used, in conjunction with a NPI/API, to set up electronic routing of Remittance Advices.

### 2.2.4 Supported Transactions

NCTracks supports several HIPAA compliant electronic health care transactions. The table below lists the inbound and outbound 5010 transactions supported by NCTracks. NCTracks does not support any of the 4010 transactions and NCPDP 5.1 transactions. NCTracks supports processing of both Fee For Service and Encounter claims.

| | Direct Response(s) | | Routed Response(s) |
|---|---|---|---|
| **Request** | **Batch** | **Real-Time** | **Batch Only** |
| 270 | F-FILE, TA1, 999, 271 | GS99, TA1, 999, 271 | N/A |
| 276 | F-FILE, TA1, 999, 277 | GS99, TA1, 999, 277 | N/A |
| 834I | F-FILE, TA1, 999 | N/A | N/A |
| | | | 834O |
| | | | 820 |
| 837I | F-FILE, TA1, 999 | GS99, TA1,999, U277 | 835, 277P (only for Pended claims) |
| 837P | F-FILE, TA1, 999 | GS99, TA1,999, U277 | 835, 277P (only for Pended claims) |
| 837D | F-FILE, TA1, 999 | GS99, TA1,999, U277 | 835, 277P (only for Pended claims) |
| NCPDP (B1, B2, B3, E1, N1, N2, N3) | N/A | GS99; NCPDP D.0 | NCPDP D.0 responses, 835 |

# 3. Testing and Certification Requirements

## 3.1 TESTING REQUIREMENTS

The NCTracks Trading Partner Testing Portal enables trading partners to conduct self-service testing of inbound EDI transactions. Sample outbound transaction files are also available for testing.

### 3.1.1 NCTracks Trading Partner Testing Portal Enrollment and Access

NCTracks Trading Partner (TP) Testing Portal (through the Ramp Management Tool) is provided to enable NCTracks trading partners to independently test inbound batch EDI (Electronic Data Interchange) transactions in a self-service environment. Trading Partner Agreement (TPA) has to be signed in the TP testing portal before submitting the test transactions.

Test transactions submitted to the Trading Partner Testing Portal undergo compliance level validation and certain specific NCTracks validations relative to X12 compliance. The NCTracks Trading Partner Testing Portal is designed to lead a trading partner through the required steps to receive certification to submit EDI transactions. These steps are defined in a program for each transaction the trading partner intends to submit.

### 3.1.2 NCTracks Trading Partner Testing Portal Supported Transactions

The NCTracks Trading Partner Testing Portal supports testing and certification of the following 5010 X12 inbound transactions:

- 270 – Eligibility Inquiry
- 276 – Claims Status Request
- 834I – Benefit Enrollment and Maintenance
- 837I – 837 Institutional claim
- 837P – 837 Professional claim
- 837D – 837 Dental claim

**Note**: Switch vendors who submit NCPDP transactions will not be going through the certification process. Additionally, after getting certified, the TPs will not be submitting these transactions into any NCTracks test regions.

### 3.1.3 NCTracks Trading Partner Testing Portal – Outbound Transactions

Outbound transactions are not supported through the NCTracks Trading Partner Testing Portal. This includes the 271, 277, 820, 834 outbound, and 835 transactions.

However, NCTracks will provide a sample X12 file for trading partners to download and perform testing of their software using NCTracks generated outbound transactions. The sample file will contain generic data and will not be customized for a given trading partner or provider. There will not be any further validation or certification process on any of the outbound transactions.

### 3.1.4 NCTracks Trading Partner Testing Portal Availability and Support

The NCTracks Trading Partner Testing Portal is a self-service portal so it is generally available for testing at all times.

Support will be available during normal business hours, from 9 AM to 5 PM EST, by calling the NCTracks EDI Support Team at 1-866-844-1113, Option #3 or emailing at NCMMIS_EDI_Support@csc.com .

## 3.2 CERTIFICATION REQUIREMENTS

NCTracks certifies transaction compliance and requires certification from any external entity to submit inbound X12 transactions. The NCTracks Trading Partner Testing Portal is designed to lead a trading partner through the required steps to receive certification to submit EDI transactions. These steps are defined in a program for each transaction the trading partner intends to submit.

TPs will receive an invite with a log on ID and password via email from Trading Partner Testing Portal.

TPs will download the TPA, sign, and upload the TPA into Trading Partner Testing Portal.

TPs will sign up for the programs (aka Transactions) for which they need certification.

TPs will submit test transactions into the TP testing portal to be validated for compliance checking and NCTracks rules.

TPs can log issues into RM or can call or email the EDI helpdesk.

Once the TPs are certified in RM, they will have the opportunity to submit the surveys associated with the program.

For TPs who had received the original invite to participate in the certification process but, did not enroll or complete the certification process, periodic reminder emails will be sent by the NCTracks EDI team.

The NCTracks Trading Partner Testing Portal provides the trading partner with the instructions for completing all of these steps and tracks the trading partner's progress within the programs it is performing. The self-service testing tool also provides instructions for how to log any issues using the Trading Partner Testing Portal, as well as how to call or e-mail CSC's EDI Support helpdesk.

## 3.3 SAMPLE INVITE FROM THE TRADING PARTNER CERTIFICATION

**Subject:** Welcome to the NCTracks Trading Partner Testing Community!

Dear Trading Partner,

Test Trading Partner organization has been invited to the NCTracks Trading Partner Testing Community.

The Community provides a web-based validation tool for you to test transaction compliance with the specifications of NCTracks Testing Portal.

We welcome you to take advantage of this service today. Below you will find a link to the web site and your username and password to log on and begin testing.

URL: https://sites.edifecs.com/?nctracks
UserName: (based upon last name, first name)
Password: (initial password is system generated)

If you have any questions, please feel free to contact us at NCMMIS_EDI_support@csc.com or 1.866.844.1113 - Option #3. We look forward to hearing from you.

Sincerely,
NCTracks Testing Portal
NCMMIS_EDI_support@csc.com
1.866.844.1113 - Option #3

# 4. Connectivity / Communications

## 4.1 TRANSMISSION ADMINISTRATIVE PROCEDURES

Production transmissions must use the appropriate indicator to be directed to the correct environment. For details about available NCTracks Access Methods, refer to the Communication Protocols in Section 4.3.

### 4.1.1 Re-transmission Procedures

In the event of an interrupted communications session the Trading Partner only has to reconnect and initiate their file transfer as they normally do.

If a file fails pre-adjudication process, errors must be corrected before re-transmission. It is recommended that transmitted files that were rejected be assigned new Interchange, Group, and Transaction Control Numbers.

## 4.2 COMMUNICATION PROTOCOLS

The following communication methods are available for the exchange of electronic transactions with NCTracks, also known as NCTracks Access Methods:

- Secure FTP Batch Submissions
- NCTracks Provider Portal Batch Submissions
- CPU-to-CPU Real-Time Submissions
- NCTracks Provider Portal Direct Data Entry

### 4.2.1 Secure FTP and HTTP

The purpose of this section is to provide guidance and information to NCTracks business partners that need to establish a data exchange process with NCTracks claims processing system of the North Carolina Department of Health and Human Services (NC DHHS). NCTracks has deployed a Managed File Transfer System (MFT) based on the Ipswitch, Inc MoveIT Family of secure file processing, storage, and transfer products. The MFT system provides secure business-to-business file transfers with secure Internet-based file transfer capabilities.

Exchanging information with NCTracks can be accomplished using different tools and procedures and is dependent on the business partner’s current capabilities. Physical connectivity is accomplished via the Internet.

There are three data exchange protocols available to business partners:

1. Secure File Transfer Protocol (SFTP)
2. File Transfer Protocol Secure Implicit (FTPS)
3. File Transfer Protocol Secure Explicit (FTPES)

Providers, clearinghouses, service bureaus, and all other trading partners of the North Carolina Division of Medical Assistance (DMA), Division of Mental Health (DMH), and Division of Public Health (DPH), and Office of Rural Health and Community Care (ORHCC) also have available the ability to exchange of data with NCTracks via HTTPS.

A secure File Transfer Protocol (FTP) is the standard process for batch authorization transmissions. Secure FTP allows users to transfer files from their computer directly to NCTracks. HTTPS and secure FTP sessions are strictly done via an internet connection.

NCTracks supports the secure exchange of data with external organizations using secure FTP and HTTPS. The NCTracks FTP servers support the SSH File Transfer Protocol (SFTP-3) and SSL based FTP (Implicit and Explicit) with compression (zlib) for the secure transfer of production data files. The client software that transmits data from NCTracks to external systems uses the SSL or SH-2 and SFTP-3.

#### *4.2.1.1 Transport Encryption*

During transport NCTracks MFT uses SSL or SSH to encrypt communications. The strength of the encryption used during SSL based web transport FTPS is 128-bit or 256-bit. SFTP supports both 128 and 256 bit encryption.

##### 4.2.1.1.1 Encryption Algorithms

NCTracks MFT supports the following encryption algorithms:

- AES256-cbc
- AES128-cbc
- twofish256-cbc
- twofish128-cbc
- twofish-cbc
- blowfish-cbc
- 3DES-cbc (a.k.a. "triple-DES")

##### 4.2.1.1.2 Hash Algorithms

NCTracks MFT supports the following (keyed) hash algorithms:

- HMAC-MD5
- HMAC-SHA1
- HMAC-MD5-96
- HMAC-SHA1-96

##### 4.2.1.1.3 Compression Algorithms

NCTracks MFT supports the following Compression Algorithms:

- none
- zlib (a.k.a. "gzip")

##### 4.2.1.1.4 Storage Encryption

NCTracks MFT system stores all files on disk using FIPS 140-2 validated 256-bit AES encryption. (http://csrc.nist.gov/encryption/aes). The NCTracks MFT system also overwrites just-deleted files with random bytes to prevent encrypted files from lingering on a physical disk after users have deleted them.

##### 4.2.1.1.5 Integrity Checking

When certain file transfer clients are used with the NCTracks MFT system, the integrity of transferred files will be confirmed. All NCTracks MFT system secure FTP and web-based clients (including the upload/download Wizard) support integrity checking.

#### *4.2.1.2 User ID and Password*

Trading partners will use their respective NCID and Password to log into the FTP website. The NCIDs needs to be provisioned in the CEP application (on or before June 24 2013) or NCTracks (Post July1 2013) before files are sent through the FTP website.

If a user attempts to sign on to a valid account with an incorrect password more than 3 times their account will be locked out and administrators will be notified via email. Account lockout lasts 60 minutes.

#### *4.2.1.3 File Naming Standards*

Trading partners need to follow the file naming standards mentioned below when submitting an inbound X12 transaction files into the "IN" folder of their mailboxes. If the files do not follow these standards, they will be rejected and placed on the "Reject" folder within their respective Mailboxes. There are no specific file naming standards for inbound transactions other than the exceptions noted below.

**Naming Standards for Inbound Transactions**

<u>File Extensions not Accepted</u>
*.adp,*.bas,*.bat,*.chm,*.cmd,*.com,*.cpl,*.crt,*.dll,*.exe,*.hlp,*.hta,*.inf,*.ins,*.isp,*.js,*.jse,*.lnk,*.mdb,*.mde,*.msc,*.msi,*.msp,*.mst,*.ocx,*.pcd,*.pif,*.pot,*.reg,*.scr,*.sct,*.shb,*.shs,*.sys,*.url,*.vb,*.vbe,*.vbs,*.wsc,*.wsf,*.wsh

<u>Disallowed Special Characters on File Names</u>
Hyphen, Asterisk Question marks

<u>Duplicate File Names</u>
Files with the same naming convention (Duplicate file names) are not allowed within the 30 days period from initial submission. The files submitted by the users will be stored on the MOVEIT for the 30 days period. After 30 days the files will be purged and archived. Users can submit the duplicate file names after the files are purged from the MOVEIT.

<u>Zip Files</u>
Submitters can also send in zipped files however, only one file per zip is allowed. If more than one file is part of the ZIP file. The ZIP file will be rejected.

<u>Deletion of the Submitted Files</u>
Once the File submissions are done by the submitters, users will not be able to delete the files from the MOVEIT.

**Naming Standards for Outbound Transactions**

The following is the naming convention standard for outbound transactions:
[R/F]-[Maibox ID]-[Timestamp]-[File ID]-[Transaction Type]-ISA-0001-[F].X12

R: Response; F: F File

Mailbox ID: 8 Alphanumeric Characters

Timestamp Format: YYMMDDHHMMSS

File ID: 18 Alphanumeric Characters and last 2 characters ending in FF always

Transaction Type:

01=TA1, 02=F-File, 03=999, 5A=820, 5E=834, 5R=277P, 5T=835, 09=277, 10=271

ISA-0001: This is a static value always for all transactions

F – Last character will always be "F"

#### *4.2.1.4 Supported Clients*

NCTracks MFT uses Ipswich's MoveIT DMZ product as its FTP server. Ipswitch has tested MoveIT DMZ against and fully supports a large number of secure FTP clients using FTP over SSL and SSH. See **Appendix A** for a complete listing.

Connectivity troubleshooting and/or configuration parameter assistance will be limited with FTP clients. NCTracks does not procure and/or provide licensing for any FTP client. The decision to a particular FTP client is the responsibility of the trading partner.

#### *4.2.1.5 Data Exchange Protocols*

##### 4.2.1.5.1 SFTP

NCTracks MFTP SFTP uses SSH Protocol 2 and SCP2 only. A client will not be able to connect using only Protocol 1 or SCP (SCP1) and all Terminal sessions will be denied access.

| SFTP | |
|---|---|
| IP Address | 12.204.168.65 |
| URL | ftp2.nctracks.nc.gov |
| Port | 22 |

**Exhibit 4-1. SFTP Protocol Information**

##### 4.2.1.5.2 FTPS

FTPS requires multiple port numbers during file transfers, as each individual file transfer creates a new connection on a new port.

| FTPS | |
|---|---|
| IP Address | 12.204.168.65 |
| URL | ftp2.nctracks.nc.gov |
| Control Port | 990 |
| Data Ports | 3000-3003 |

**Exhibit 4-2. FTPS Protocol Information**

##### 4.2.1.5.3 FTPES

FTPES requires multiple port numbers during file transfers, as each individual file transfer creates a new connection on a new port.

| FTPES | |
|---|---|
| IP Address | 12.204.168.65 |
| URL | ftp2.nctracks.nc.gov |
| Control Port | 21 |
| Data Ports | 3000-3003 |

**Exhibit 4-3. FTPES Protocol Information**

#### 4.2.1.5.4 HTTPS

| Web Site | |
|---|---|
| IP | 12.204.168.64 |
| URL | www.nctracks.nc.gov/xfr |
| Port | 443 |
| *Note: This is only accessible by Providers, clearinghouses, service bureaus, and all other trading partners that have been provisioned by NCTracks and have valid NCIDs.* | |

**Exhibit 4-4. HTTPS Protocol Information**

### *4.2.1.6 FTP Supported Commands*

NCTracks MFT supports the following FTP commands:

| Command | Comments |
|---|---|
| USER username | username indicates the uid to be checked in the NCTracks user database. |
| PASS password | Password Indicates the NCTracks password to be checked in the NCTracks user database. |
| AUTH type | Starts secure communication for the specified security type: TLS-C or TLS-P. |
| FEAT | Returns the feature set supported, specifically AUTH, PROT and PBSZ. |
| PROT type | Sets the data connection protection type. For TLS-C security, the PROT command is required to enable security on the data channel. |
| PBSZ size | Sets the protection buffer size for encryption. Included for compatibility; the size is never checked. |
| CLNT name version | Sets the FTP client name and version for logging purposes. |
| LIST | Obtains a directory listing, with date, size, and filename in a format compatible with Microsoft's FTP server. Any command arguments beginning with "-" are ignored. |
| NLST | Obtains a bare directory listing. |
| RETR fileID | Downloads a file, first checking that the current user has read access to the file. The fileID can be a complete file name, including an embedded fileID. NCTracks MFT FTP will extract the fileID. When unique file names are enforced for a folder, the filename can be used in place of the ID. |
| STOR filename | Uploads a file. NCTracks MFT will create a new fileID and return it in the 226 response. |
| APPE filename | Appends a file. This is only supported for resuming file transfers. NCTracks MFT will create a new fileID, copy the old partial file and append new data, and return it in the 226 response. |
| CD ~ | Changes current directory to the user's default (not home) directory. |
| CWD directory | Changes current directory. See below. |
| MKD directory | Creates a directory, if the user has permission to do so. |
| RMD directory | Deletes a directory, if the user has permission to do so. |
| DELE fileID | Deletes the file, if the user has permission to delete it. |
| RNFR fileID | Changes the original file name associated with a file ID, if the user has permission to modify it. |
| RNTO filename | Changes the original file name associated with a file ID, if the user has permission to modify it. |
| REST skipcount | Sets the byte skip count for a subsequent RETR or STOR command. For RETR, NCTracks MFT will skip the first "skipcount" number of bytes in the downloaded file. For STOR, NCTracks MFT will copy the first "skipcount" number of bytes from the destination file to a new file then append the transmitted bytes. |
| SIZE filename | Reports the size in bytes of the named file, the same number returned in a directory list. |
| MODE type | Sets the mode in which data is to be transferred via the data connection, S for Stream Mode, and Z for Zip compression mode. |
| SYST | Reports the system type. The returned string indicates compatibility with the Microsoft Windows FTP server. |
| HELP | Displays a list of commands. |

| Command | Comments |
| --- | --- |
| PORT | Initiates an active data connection.<br>*Note: NCTracks MFT is configured to allow only passive connections, this command will be refused.* |
| PASV | Initiates a passive connection. This is used by some FTP clients to accommodate firewalls that do not allow an FTP server to initiate TCP data connections. |
| QUIT | Quits the session. |

**Exhibit 4-9. FTP Commands**

#### 4.2.1.7 FTP Integrity Check Commands

NCTracks MFT FTP supports the following commands for the purposes of integrity checking:

| Command | Comments |
| --- | --- |
| INTEGRITY type | Enables integrity checking on STOR and RETR. For type L, use "lump mode" data stream which compresses data on the fly and include a SHA1 hash of the file for integrity verification. For type H, "hash mode", the data stream is standard, and the client is responsible for checking the SHA1 hash for integrity verification. Type N turns integrity checking off. |
| XSHA1 filename | Returns the SHA1 hash of the file named, usually the most recently transferred file. |
| HASH OK/BAD | Notifies NCTracks MFT FTP, after a STOR or RETR, that the client has verified the file SHA1. |

**Exhibit 4-xx. FTP Integrity Check Commands**

#### 4.2.1.8 FTP Nontraditional Commands And Unsupported Commands

NCTracks MFT FTP supports the following commands in a nontraditional way:

| Command | Comments |
| --- | --- |
| TYPE I or A | Implements the ascii and binary commands. Not supported; all transfers are binary. (In other words, NCTracks MFT DMZ does not automatically add/strip carriage returns or perform other character manipulation.) Contact NCTracks support if this a concern. |

**Exhibit 4-12. FTP Nontraditional Commands**

NCTracks MFT FTP does not support the following commands:

- ACCT
- SMNT
- REIN
- STOU
- ALLO
- ABOR
- SITE

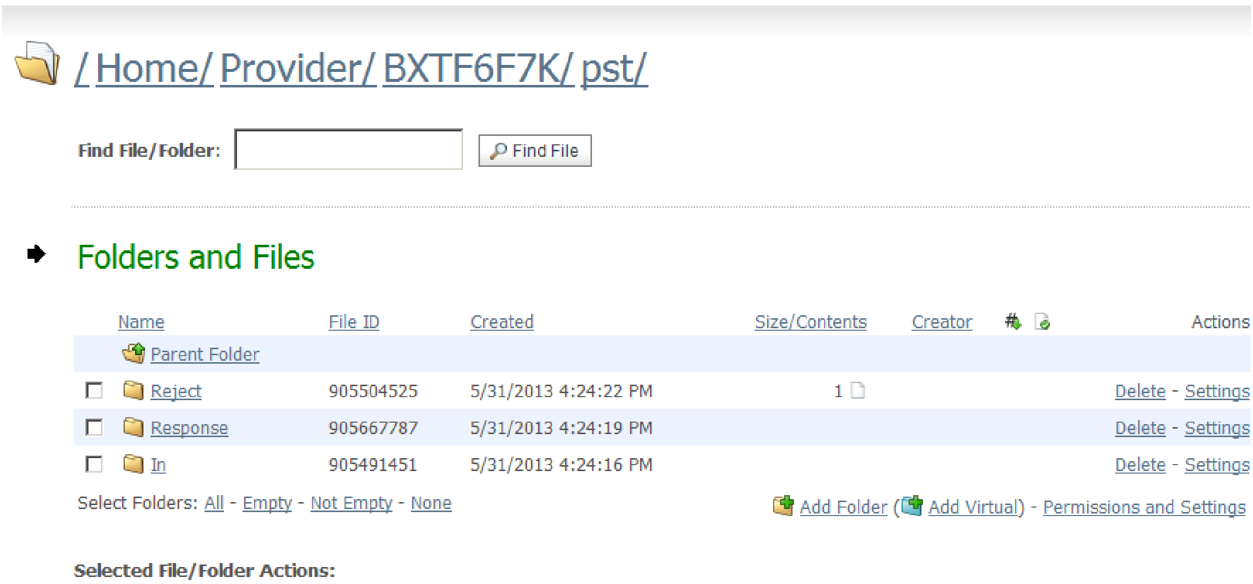
#### 4.2.1.9 Directory View Differences between a Browser Session and a FTP Session

Each users “default folder” is their mail box. The view of folder structure on the NCTracks MFT system differs slightly between a Web session and a FTP session. The users default folder is the mailbox folder which a web session will display. When Using FTPS or SFTP the user's default folder, the mailbox folder, will become their root folder when they sign on through the FTPS or SFTP interfaces. The only files and folders the user will be able to see will be those that are in or below the default folder.

In the examples below the same directory structure are shown as seen via a browser and a secure FTP session:

**Browser Session**
/[mailbox]/[env1]/in

**Secure FTP Session**
/env1]/in




## 4.2.2 NCTracks Provider Portal – Batch X12 Submissions

NCTracks provides a web-based application that is customized to allow the entry and submission of all 5010 NCTracks inbound X12 transactions.

The requirements for using the Provider Portal include:

- A TSN and Certification Statement, which should be obtained prior to enrollment
- Internet Explorer 8 and above or compatible browser
- Internet browser that supports 128-bit encryption and cookies
- Minimum connection speed of 56K
- An accessible email address

The following transactions can be submitted, and corresponding responses presented through the NCTracks Provider Portal:

- 270/271 – Eligibility Benefit Inquiry and Response
- 276/277 – Claim Status Request and Response
- 837 – Dental, Professional, and Institutional Claims
- 834I – Benefit Enrollment and Maintenance

This feature allows Trading Partners to submit a X12 batch file that contains inbound transactions. The TPs will be given a menu option to submit batch EDI transmissions through the Provider Portal as shown below. The MoveIT system is a FTP and Web hybrid that supports

Web browsers and secure FTP clients for the secure submission of batch files over encrypted connections using the HTTP over SSL (HTTPS), FTP over SSL (FTPS), or FTP over SSH (SFTP) protocols.

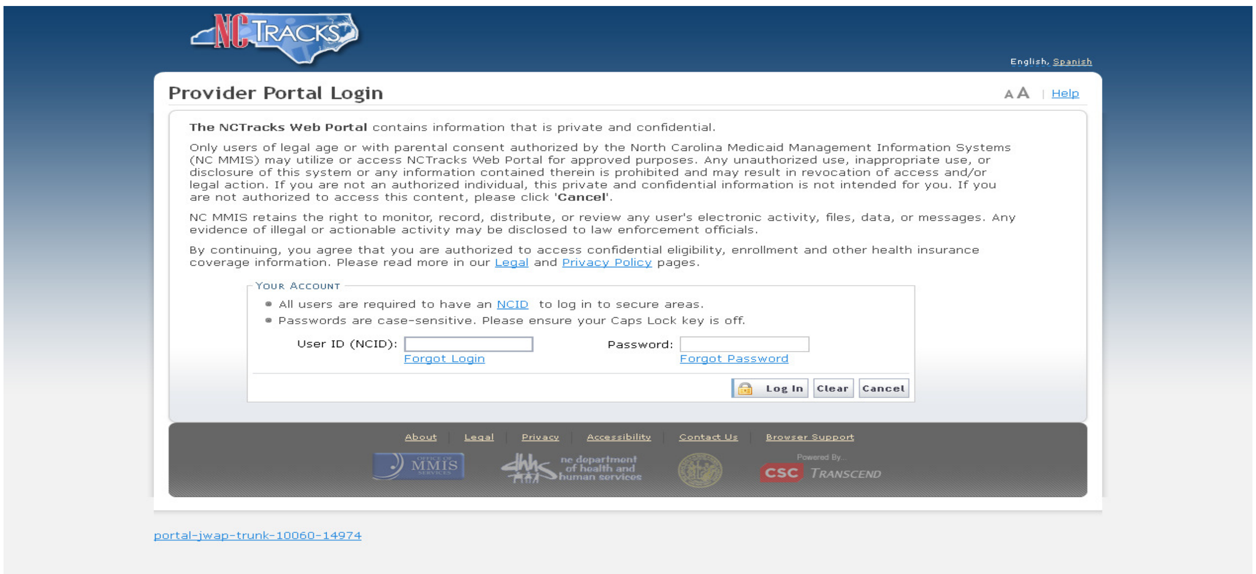
When this functionality is used, the transactions will be processed in batch mode and not real time. The TA1, F-File, and 999 responses to these batch transactions will vary based on the transaction volume per file, First In First Out (FIFO), system/CPU load, and other NCTracks processing priorities.

### Steps for Batch Submissions Through the NCTracks Portal

***Step 1:***

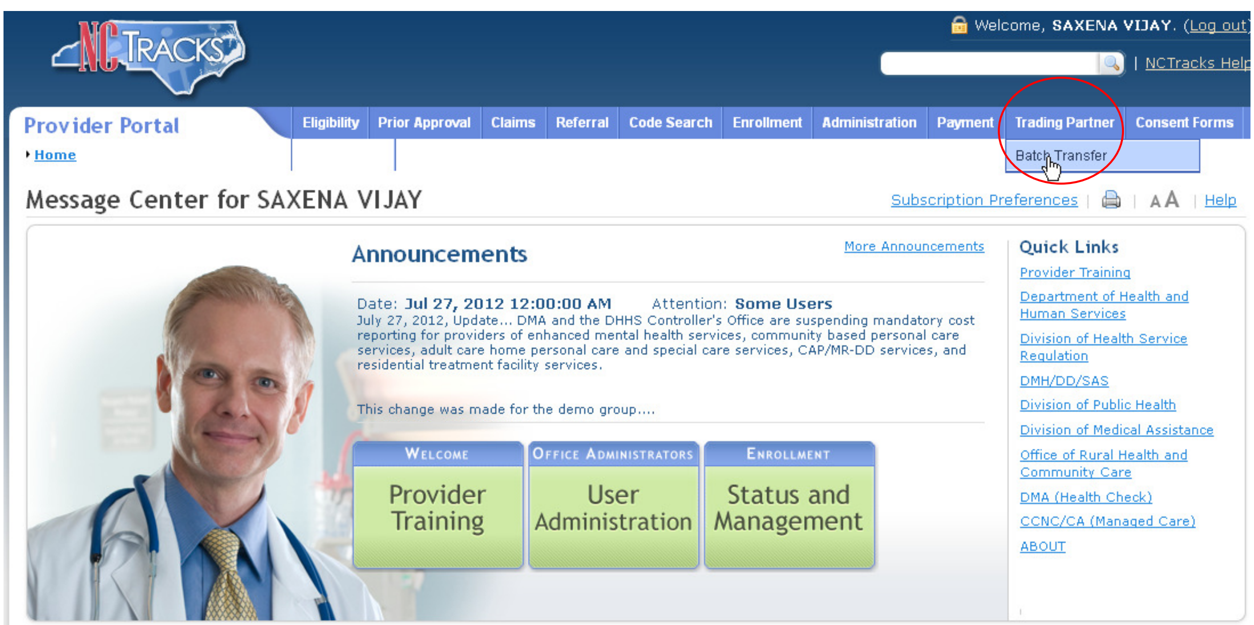
Login into https://www.nctracks.nc.gov.

Enter your NCID and Password and press Login button.

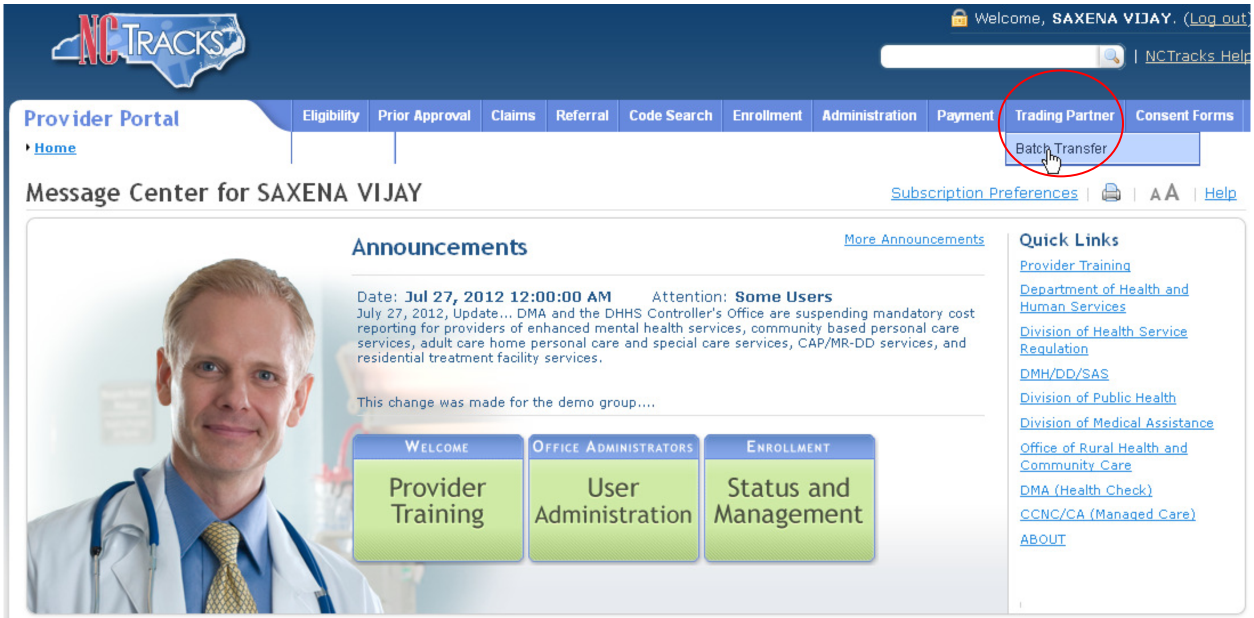


***Step 2:***
Select the Provider option.

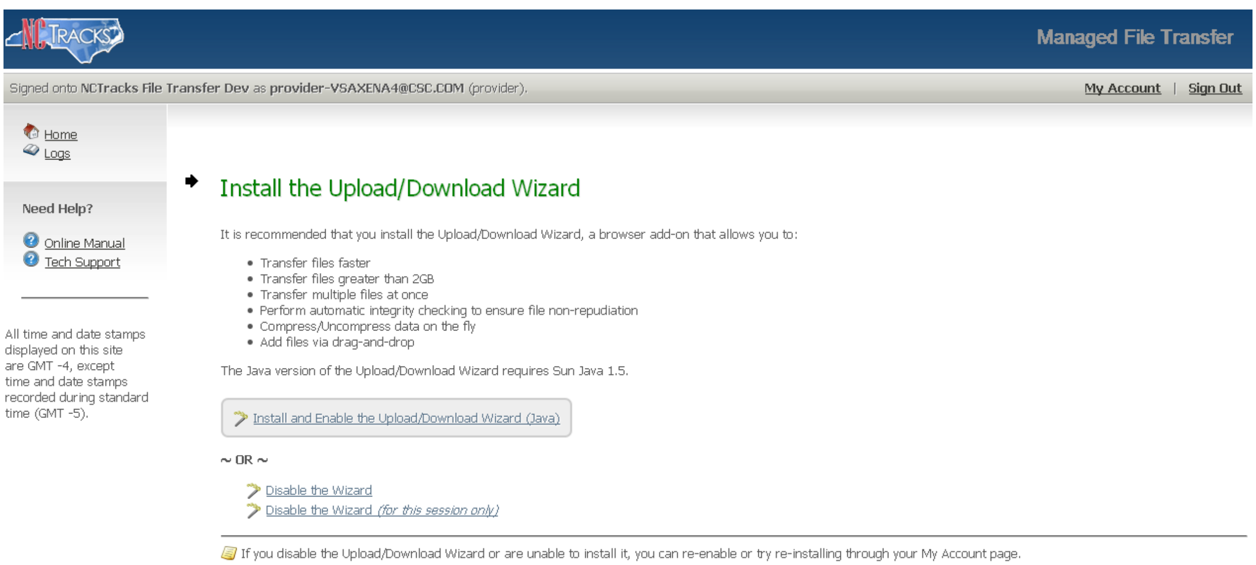

***Step 3:***
Select the “Trading Partner” option.



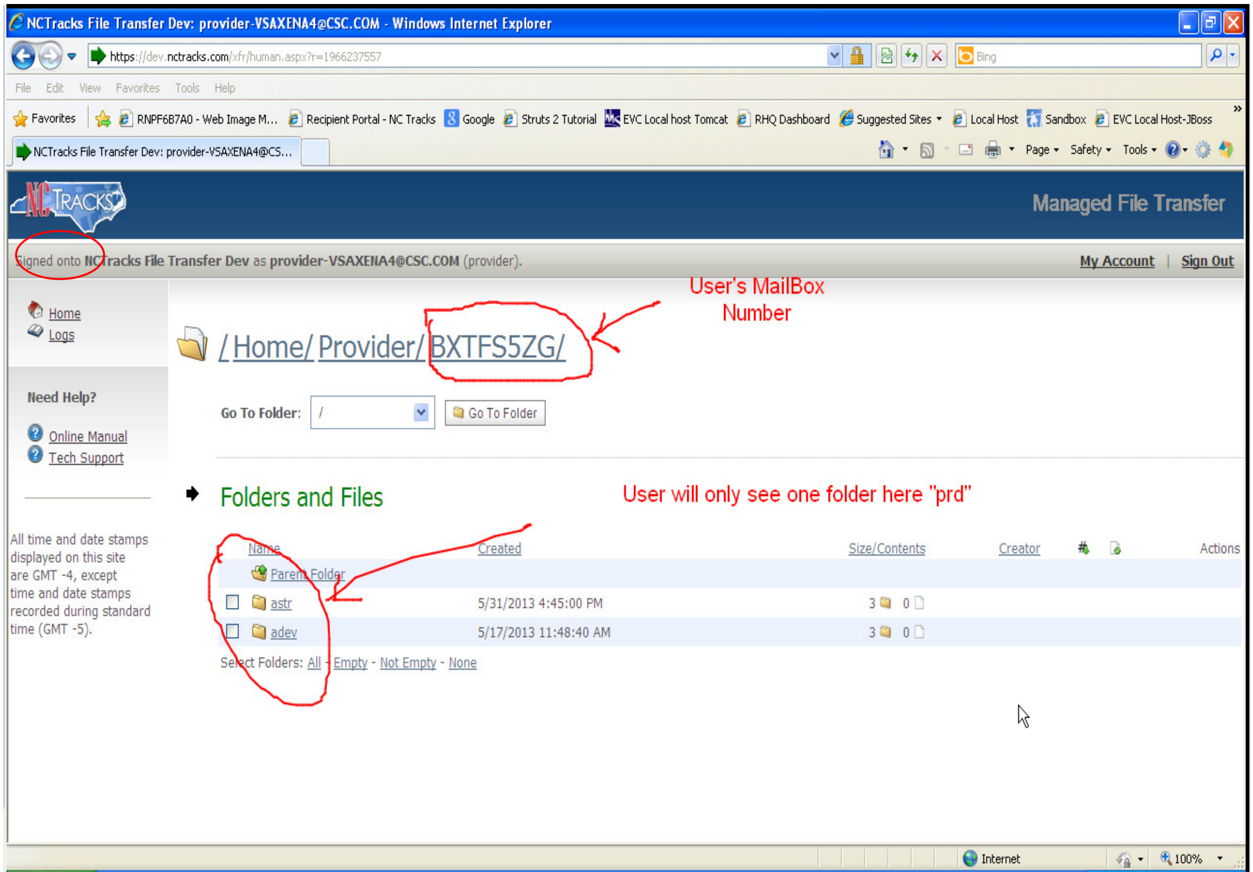
***Step 4:***
Select the “Batch Transfer” option.




***Step 5:***
This step will take the users to “MoveIT” tool which manages file transfers. For the installation of upload and download wizard, refer to **Appendix B** below.



***Step 6:***
The user will click on the Home button; this will take the user to the TP's mailbox.



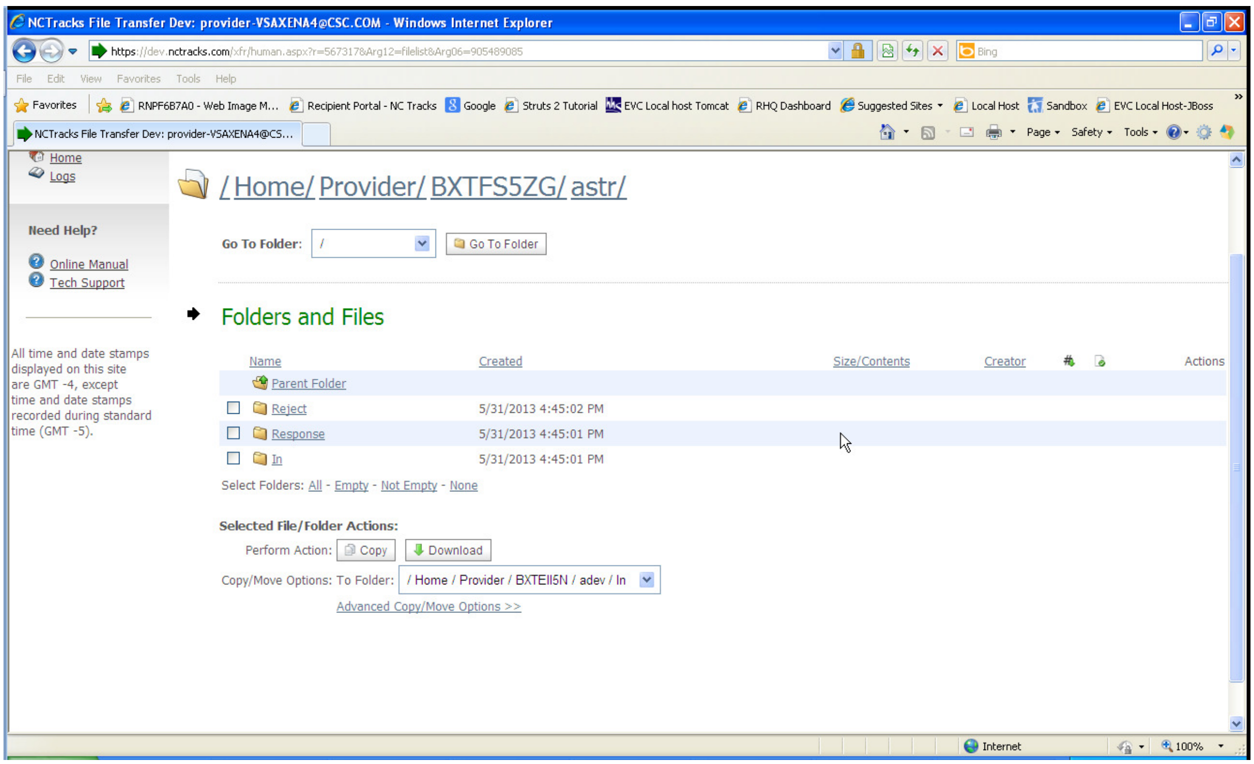
***Step 7:***
This step shows three folders:

- IN
- RESPONSE
- REJECT"

IN- Users will drop or upload the X12 inbound transactions into this folder – 270, 837's, 276, 834I

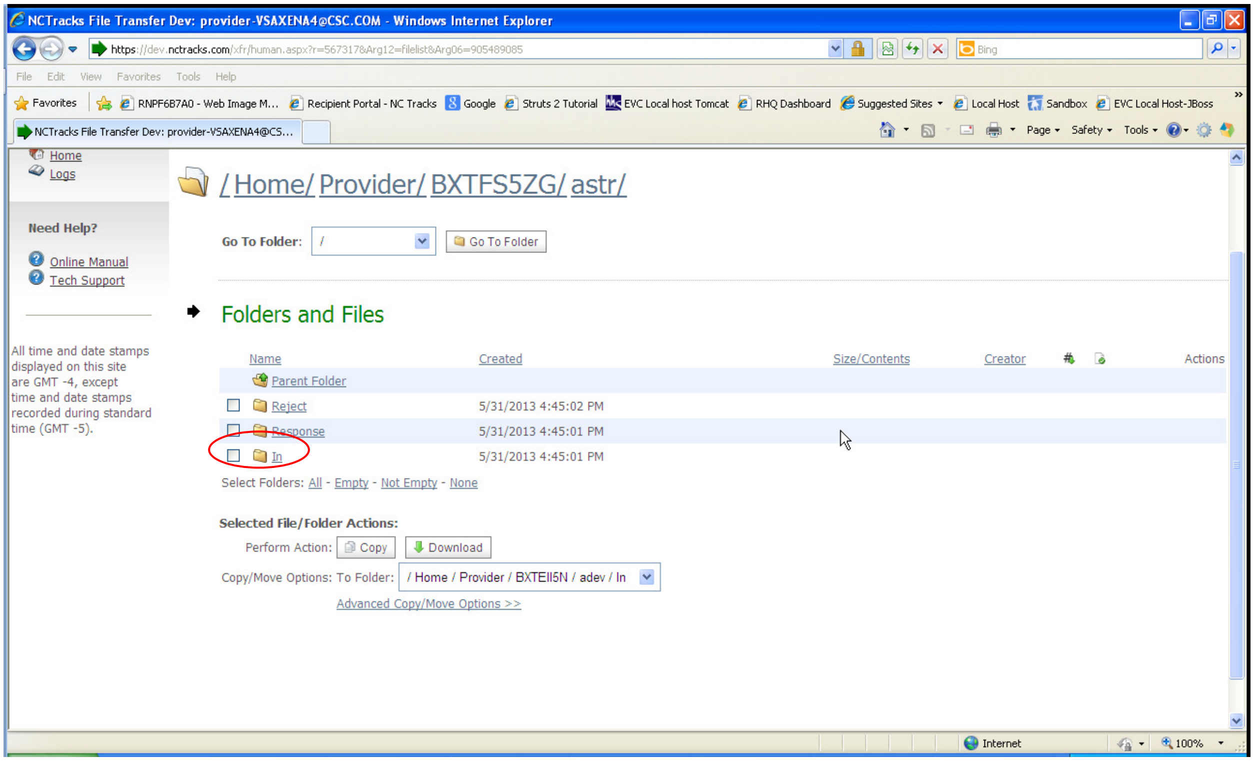
RESPONSE – Users will retrieve the outbound transactions will be retrieved from this folder – 835, 277, 277P, 271, 834O, 820

REJECT – This folder contains any files that did not follow certain naming rules, zip files, certain extensions as outlined in the section 4.2.1.3 above.



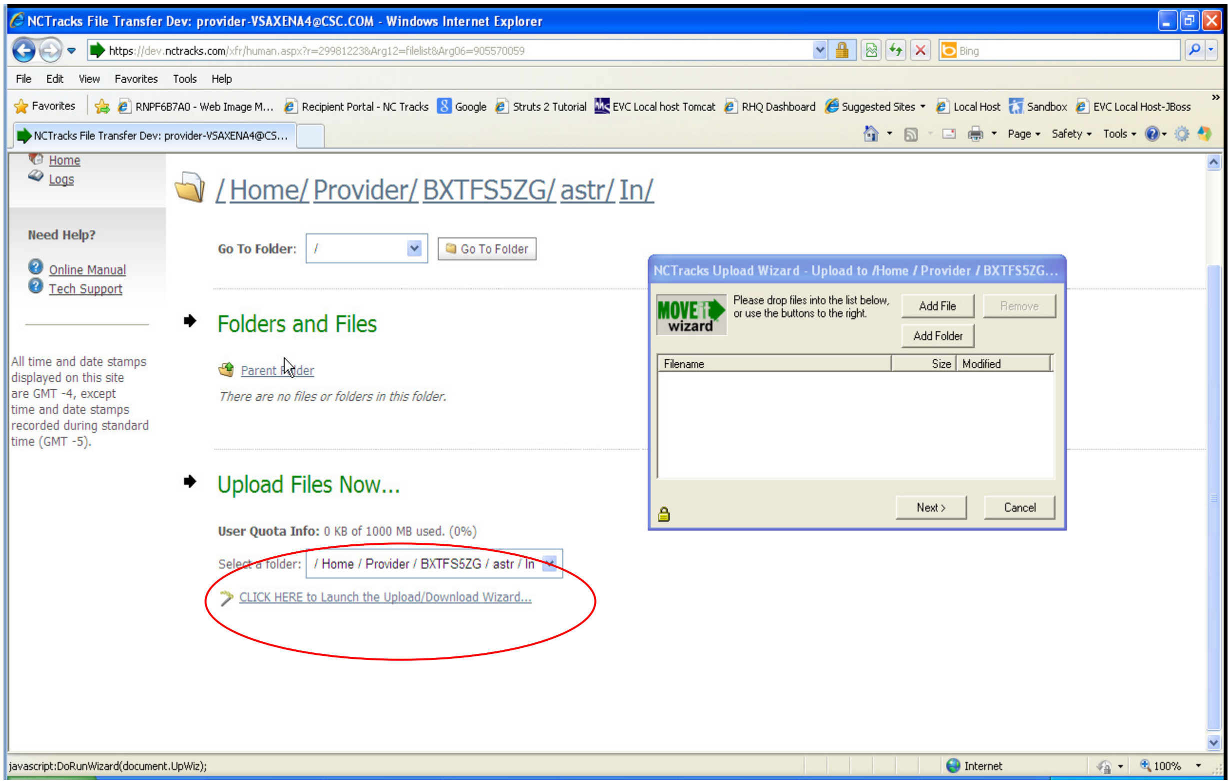
***Step 8***

Click on the "IN" hyperlink for uploading an X12 file.



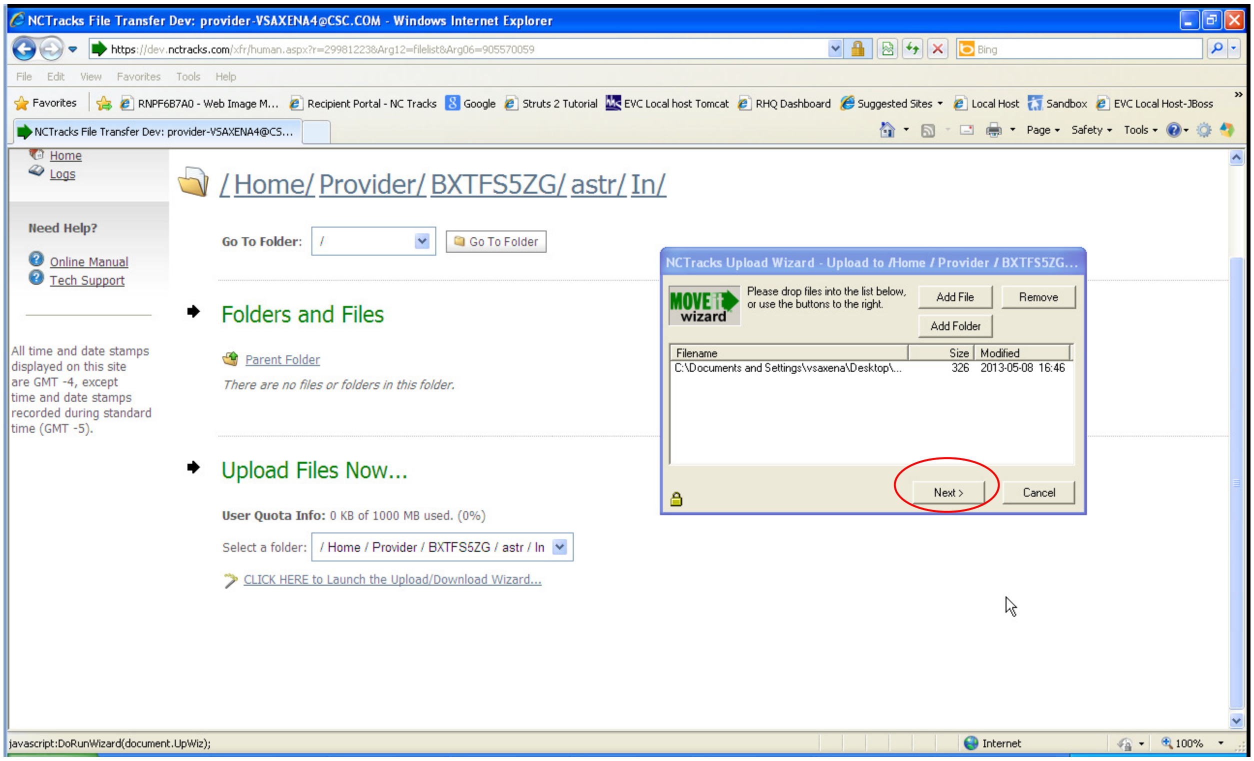
***Step 9:***

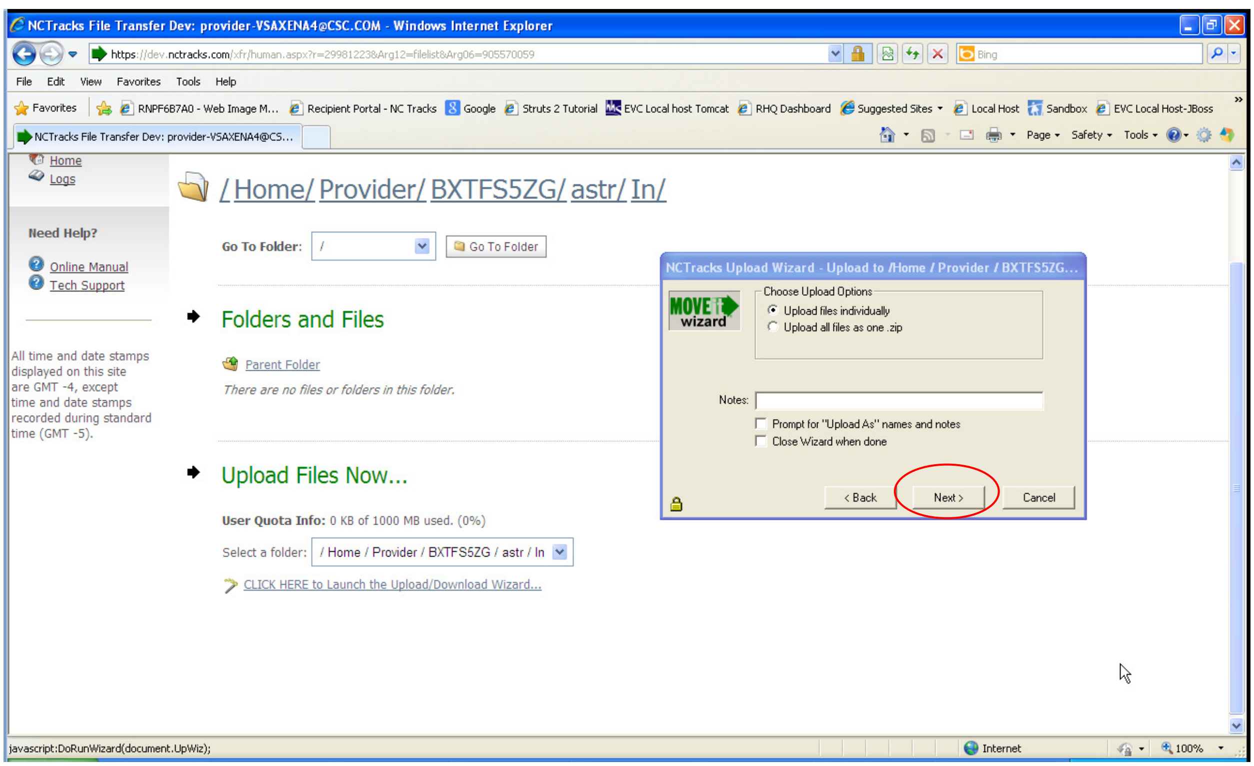
Click on the “Launch Upload/Download Wizard”. Click on the “Add File” to add the appropriate file.



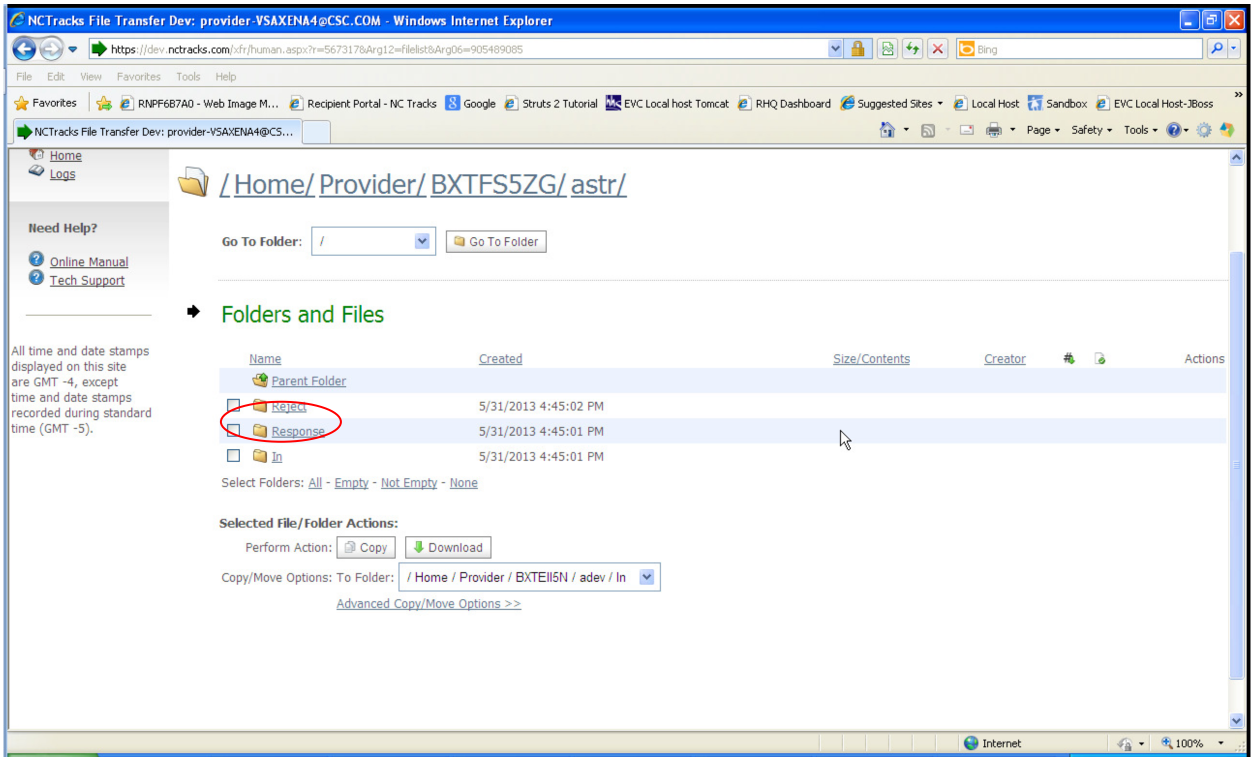
***Step 10:***

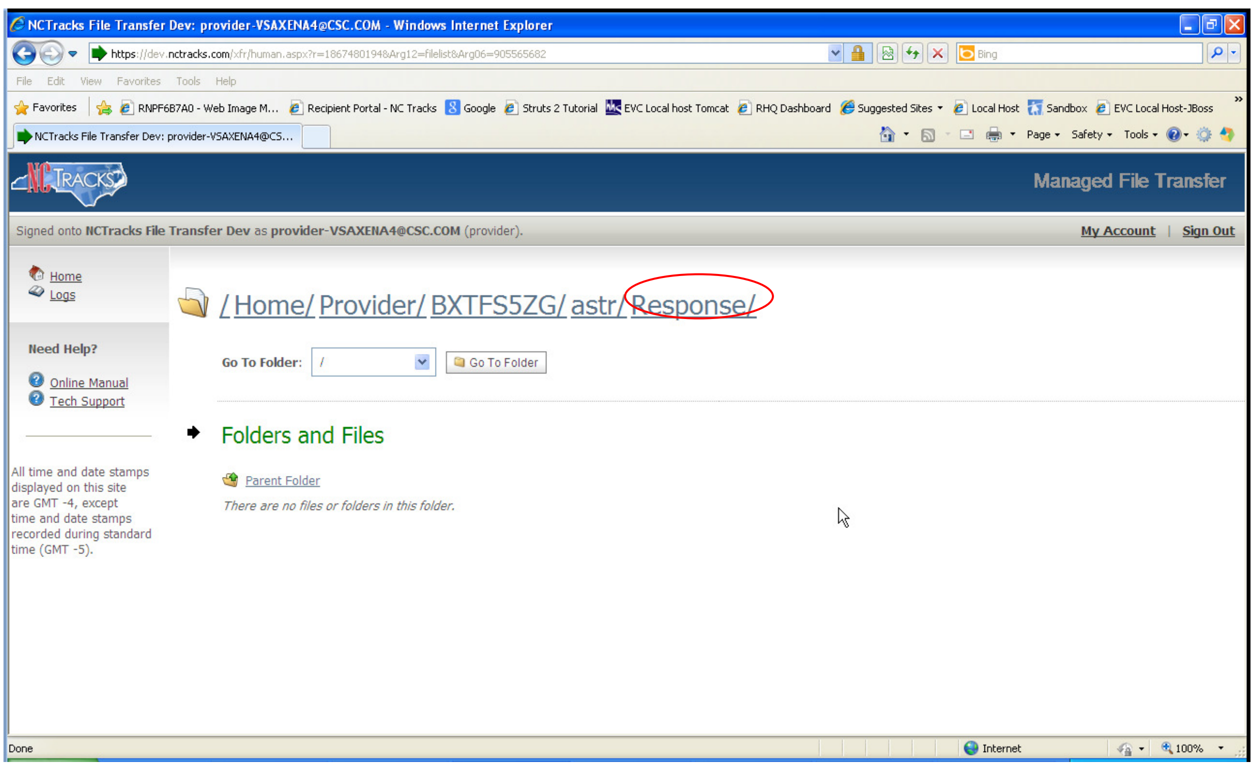
The file gets added to the “IN” folder after pressing the “Next” button.





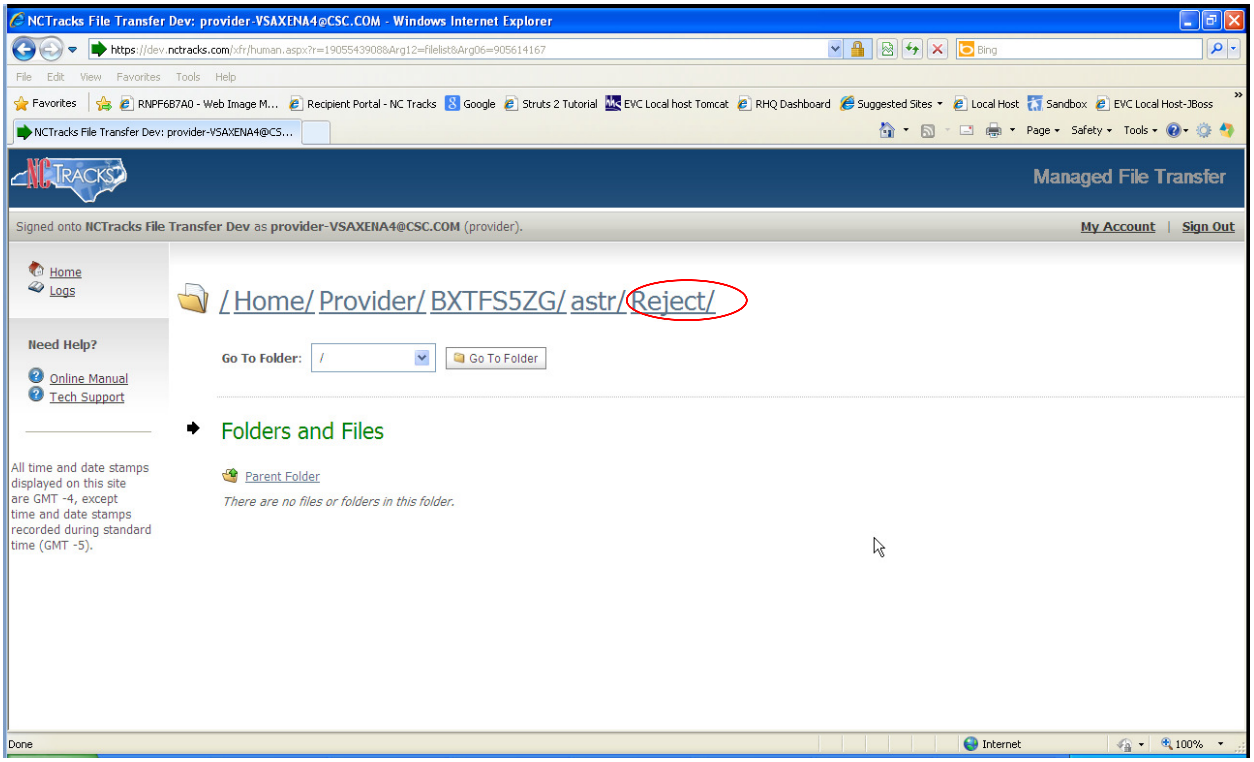
***Step 11:***
Click on the Response link to view/download any outbound transactions such as 835, 820, 999, TA1, F-File, etc.

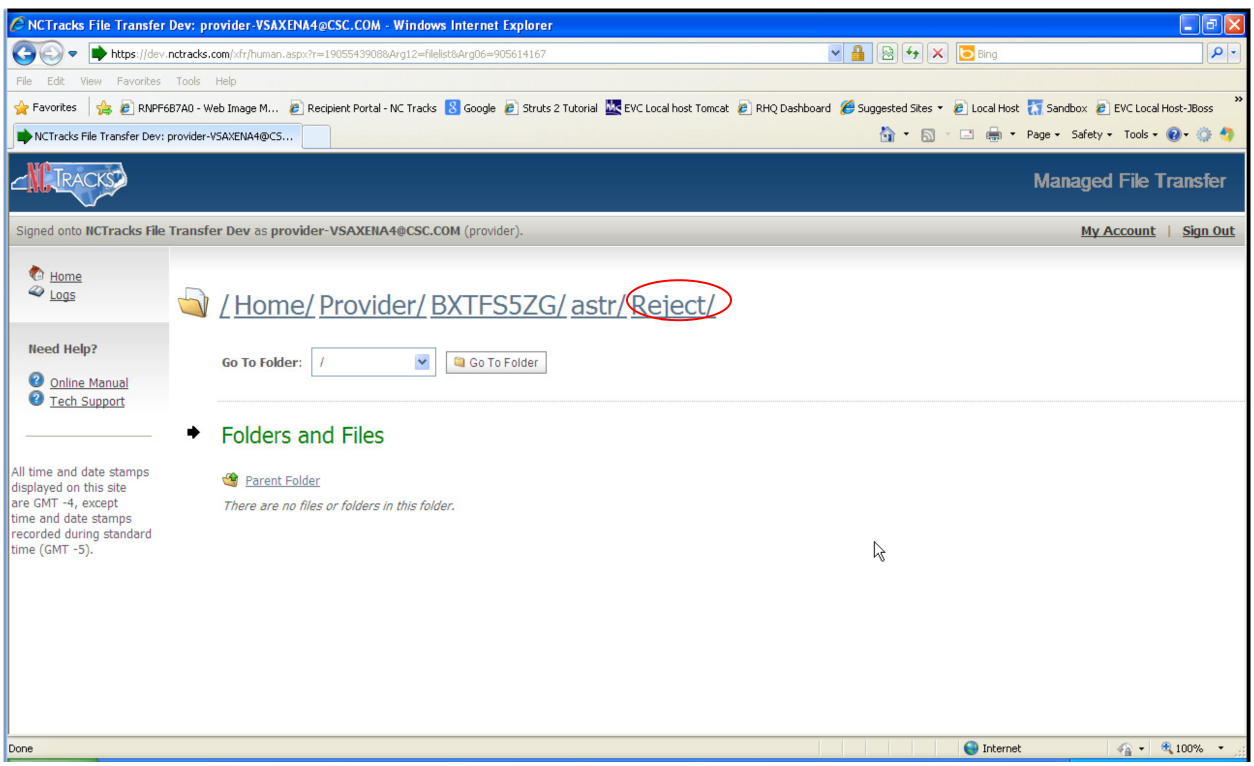


***Step 12:***

Click on the Reject link to view/download any files that may have been rejected.



### 4.2.3 CPU-to-CPU Real Time

This method consists of a direct connection established between the submitter and the processor and it is most suitable for submitters exchanging substantially large transaction volumes with NCTracks.

Data is exchanged as request/response pairs in a synchronous fashion, meaning:

- Over an established, otherwise idle connection, the vendor sends a single request then waits for NCTracks to process that request and reply with a single response.
- After a request/response pair has completed (not before), another request/response pair may be communicated over the same connection.
- Such synchronous communications may continue as long as there is traffic to send or until the connection is dropped.
- Multiple concurrent connections (i.e. up to a prearranged limit) are allowed, each adhering to the requirement for strictly synchronous communications.
- The requirement for synchronous communications implies that TCP/IP writes to NCTracks must by synchronized with TCP/IP reads of the corresponding responses from NCTracks. Correlation numbers are not required and are not included in the interface.

Each request and its associated response are separately formatted for reliable network transfer in communication wrappers as follows:

- STX — 1 byte (0x02)
- byte count — 8 bytes, leading zeros, inclusive of wrapper (payload length + 18)
- reserved — 8 bytes, all zeros (required and reserved for future use)
- payload — (e.g. HIPAA request or response)
- ETX — 1 byte (0x03)

TCP/IP connection drops should be rare, but they can be expected to occur under some circumstances.

- For security and performance reasons, NCTracks uses an idle connection timer that will forcibly close a connection that has been idle for at least 20 minutes.
- If the NCTracks end of a connection experiences a condition where it cannot continue, it will terminate the connection abruptly. For example, the connection will terminate if the amount of data read from the TCP/IP interface is greater than the value specified in the byte count field of the required message wrapper.
- The side that originates connections to NCTracks is expected to handle abrupt disconnects. Typically, when a connection is lost for any reason, the vendor side should simply establish a new connection, either immediately or when there is traffic to send.
- Normally, the first or second attempt to connect will succeed. A brief interval of at least 3 seconds must be included between successive connection attempts. In the event of significant hardware failure, it may take 5-10 minutes before new connection attempts will succeed.
- Once a new connection is established, continue processing by resubmitting a request or proceeding to the next one, as appropriate.

There are three possible responses to each request submitted over an established connection.

1. A single character NAK (0x15) -- signals that a request was received but the wrapper was invalid. For example, no STX was detected.
2. A complete response formatted as the payload in the required communication wrapper. Specific responses should be discussed during vendor testing with NCTracks, before production deployment.
3. Disconnect (connection lost) at any point, as described, above.

### 4.2.4 NCTracks Provider Portal – Direct Data Entry

NCTracks provides a real-time web-based application that is customized to allow the entry and submission of specific transactions, including the 837 and D.0 transactions.

The requirements for using the Provider Portal include:

- A TSN and Certification Statement, which should be obtained prior to enrollment
- Internet Explorer 8 and above or compatible browser
- Internet browser that supports 128-bit encryption and cookies
- Minimum connection speed of 56K
- An accessible email address

The following transactions can be submitted, and corresponding responses presented through the NCTracks Provider Portal:

- 270/271 – Eligibility Benefit Inquiry and Response
- 276/277 – Claim Status Request and Response
- 837 – Dental, Professional, and Institutional Claims
- D.0 – B1, B2, B3, E1, N1, N2, N3

The Provider Portal features the real time claim submission functionality under the 837 Dental, Professional, and Institutional transactions, as well as NCPDP pharmacy, which allows real-time adjudication of the claim. When this functionality is used, a claim adjudication status response is sent to the submitter shortly after submission. Please visit the following NCTracks portal website, using your NCID and password, to submit the real-time direct data entry of transaction:

https://www.nctracks.nc.gov

# 5. Contact Information

## 5.1 ELECTRONIC DATA INTERCHANGE (EDI) TECHNICAL ASSISTANCE

Phone: 1-866-844-1113 option 3 (Until June 28 2013)

Phone: 1- 800-688-6696 option 1 (From July 1 2013)

Email: NCMMIS_EDI_Support@csc.com

Website: http://www.nctracks.nc.gov/provider/index.html

Companion Guides: http://www.nctracks.nc.gov/provider/guides/index.html

## 5.2 PROVIDER/TRADING PARTNER ENROLLMENT

**Currently Enrolled Provider (CEP), Billing Agent Enrollment Link (until June 24 2013):**
Phone: 1-866-844-1113

Email: NCMedicaid@csc.com

Website: https://www.nctracks.nc.gov/provider/providerEnrollment/

**NCTracks Enrollment Link (Beginning on July 1 2013):**
Phone: 1-800-688-6696

Email: NCMedicaid@csc.com

https://www.nctracks.nc.gov/content/public/providers/provider-enrollment.html

## 5.3 CONNECTIVITY AND OTHER TECHNICAL ISSUES

Phone: 1- 800-688-6696 option 3 (From July 1 2013)

## 5.4 WEB PORTAL ISSUES

Phone: 1- 800-688-6696 option 2 (From July 1 2013)

## 5.5 SECURITY AND PRIVACY ISSUES

Contact Name: Barry Morgan

Phone: 1-919-786-6488

Email: bmorgan28@csc.com

# 6. Control Segments / Envelopes

The Transaction Supplier Number (TSN) referenced below is provided by NCTracks after completing the Trading Partner Agreement (TPA).

## 6.1 ISA-IEA

### Sender and Receiver Codes

| Transaction | ISA06 (Interchange Sender ID) | ISA08 (Interchange Receiver ID) |
|---|---|---|
| 270 batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 270 interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 276 batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 276 interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 834 batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837D batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837D interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 837I batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837I interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 837P batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837P interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |

## 6.2 GS-GE

### Sender and Receiver Codes

| Transaction | GS02 (Application Sender's Code) | GS03 (Application Receiver's Code) |
|---|---|---|
| 270 batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 270 interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 276 batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 276 interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 834I batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837D batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837D interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 837I batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837I interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |
| 837P batch | Transaction Supplier Number (TSN) | NCTRACKSBAT |
| 837P interactive | Transaction Supplier Number (TSN) | NCTRACKSREL |

NCTracks supports sending multiple transaction types in the same ISA/IEA, each transaction type must be within separate GS levels.

NCTRACKS does not support multiple ISA/IEA submissions in the same file. It will create a TA1 or F-File as described in Section 7 below.

NCTracks expects a segment terminator (~) at the end of each segment, as defined in section "B.1.1.2.5 Delimiters" of all (837P, 837D, 837I, 270/271, 276/277, 834) TR3 documents.

In addition:

- NCTracks does not accept Carriage Return (CR), Line Feed (LF) or Carriage Return Line Feed (CRLF) as segment terminator.
- NCTracks will accept files with or without Carriage Return Line Feed (CRLF), but if the CRLF is sent, a segment terminator is still required.
- There should not be any spaces or any junk characters after the end of the IEA segment.

Files without a segment delimiter, an unidentified segment terminator, or spaces after the IEA segment will receive a negative TA1 and will not be processed.

## 6.3 ST-SE

NCTracks has no requirements for the contents of the ST and SE segments other than those specified in the Type 3 Technical Reports (X12 Implementation Guide) published by ASC X12N.

# 7. Acknowledgements and Reports

## 7.1 ASC X12 ACKNOWLEDGMENTS

### 7.1.1 Negative Interchange Acknowledgment (TA1) Negative File Transfer Status (F-File)

A file containing one of these responses will be returned only when a negative response is necessary because the file cannot be processed any further by the NCTracks translation engine. If produced, a submitter will receive this response generally within 2 hours after the file is uploaded to NCTracks.

- Negative Interchange Acknowledgment (TA1) is returned only if the interchange control (ISA/IEA) structure validation fails **AND** if a TA1 was requested (inbound ISA14 = '1'). The TA1 may be returned only in response to a 5010 request.
- If a TA1 was not requested (inbound ISA14 ≠ '1') and the ASC X12 interchange control (ISA/IEA) structure fails validation, a text file is returned instead with the negative File Transfer Status (F-File). The F-File may be returned in response to ASC X12 5010..

**Important Note:** The TA1 Interchange Acknowledgment as implemented in NCTracks contains no values specific to NCTracks requirements or processing. Specifications for the TA1 Segment are published in ASC X12C/005010X231 Implementation Guide Acknowledgment for Health Care Insurance (999).

### 7.1.2 Response Specific Information

The contents of the response file will vary based upon the requested transaction type and may also contain one or more interchange (ISA/IEA) within a single file.

**Implementation Acknowledgment (999) (5010 Only)**

An Implementation Acknowledgment (999) transaction is returned to report the status of the Functional Group and each Transaction set it contains. It is generally available within 4 to 24 hours, unless the Interchange was rejected.

The 999 Implementation Guide Acknowledgments as implemented in NCTracks contains no values specific to NCTracks requirements or processing. Readers of this document are directed to the Type 3 Technical Report **ASC X12C/005010X231** Implementation Acknowledgment for Health Care Insurance (999).

### 7.1.3 Pre-Adjudication Editing

**277 Health Care Information Status Notifications (Unsolicited) – (U277)**

In response to a 5010 real-time 837 Transaction Set, a 277 Health Care Information Status Notification (U277) Transaction Set is returned to report the status of each claim, generally within seconds, unless the Interchange or Functional Group was rejected.

Refer to the NCTracks Transaction Information Companion Guide for an overview of the NCTracks implementation of the ASC X12N/005010X212 277 Health Care Information Status Notification.

## 7.1.4 Acknowledgment Examples

### *7.1.4.1 Acknowledgments – Accepted*

**Accepted Transaction and Functional Group (5010 Only): 999 Implementation Acknowledgments**

The 999 reports an accepted Functional Group. It contained one Transaction Set, an 837. The 999 is returned in response to all version 5010 transactions.

```
ISA*00*     *00*     *ZZ*NCTRACKSBAT  *ZZ*348T      *130522*1648*^*00501*164837519*0*P*|
GS*FA*NCTRACKSBAT*348T*20130522*1648*164837519*X*005010X231A1
ST*999*4001*005010X231A1
AK1*HC*1*005010X222A1
AK2*837*0001
IK5*A
AK9*A*1*1*1
SE*6*4001
GE*1*164837519
IEA*1*164837519
```

### *7.1.4.2 Acknowledgments – Rejected*

**1. Negative File Transfer Status: F-file**

The “F-file” shows how rejected files are reported when rejection occurs at the first processing step:

Incomplete ISA segment

(W) Editing of USER1-090101083030-00-ISA-00-.x12 will not continue

*** FILE REJECTED ***

Other messages that can be sent within the “F-file” are:

*** FILE REJECTED: RECORD COUNT EXCEEDS CURRENT LIMITATIONS ***

*** FILE REJECTED: FILE SUBMISSION COUNT EXCEEDS CURRENT LIMITATIONS ***

**2. TA1 Interchange Acknowledgement – Rejected Interchange**

```
 ISA*00*     *00*     *ZZ*NCTRACKSBAT  *ZZ*5103      *130422*1350*^*00501*131120150*0*P*:
TA1*001530207*130214*1503*R*023
IEA*0*131120150
```

**3. Rejected Transaction and Functional Group (5010 Only): 999 Implementation Acknowledgments**

The 999 reports a rejected Transaction Set. Because there were no accepted Transaction Sets, the Functional Group is also rejected. The 999 is returned in response to all version 5010 transactions.

```
ISA*00*     *00*     *ZZ*NCTRACKSBAT  *ZZ*8030      *130422*1403*^*00501*140343402*0*P*|
GS*FA*NCTRACKSBAT*8030*20130422*1403*140343402*X*005010X231A1
ST*999*140343402*005010X231A1
AK1*HC*1824*005010X222A1
AK2*837*1824
IK3*REF*11*2010*8
IK4*2*127*6*561102056
IK5*R*5
AK9*R*1*1*0
SE*8*140343402
GE*1*140343402
IEA*1*140343402
```

### 4. Rejected Claim (Real-time 5010): 277 (Unsolicited) Claim Status

However, a claim was rejected, as reported in the U277 that follows the 999. The 277U is returned in response to version claims in batch and real-time claims.

```
ISA*00*     *00*     *ZZ*NCTRACKSREL  *ZZ*837P      *130507*1536*¬*00501*270000088*0*T*:
GS*HN*NCTRACKSREL*DIRECT CONNECT*20130507*153628*270000088*X*005010X212
ST*277*270000088*005010X212
BHT*0010*08*270000088*20130507*153628*DG
HL*1**20*1
NM1*PR*2*NCTRACKS*****PI*NCTRACKS
HL*2*1*21*1
NM1*41*1*DirectConnect*DirectConnect****46*Dire
HL*3*2*19*1
NM1*1P*2*PHYSICIAN*****XX*1972807352
HL*4*3*22*0
NM1*IL*1*LAST*FIRST*M***MI*122582454L
TRN*2*1212
STC*F2:21*20130507**150.00*0*20130507
REF*1K*1312700000880000
REF*EJ*1212
DTP*472*RD8*20130301-20130301
SVC*HC:99215*150.00*.00****1.000
STC*F2:91:82*20130507********F2:145:82
DTP*472*RD8*20130301-20130301
SE*19*270000088
GE*1*270000088
IEA*1*270000088
```

### 7.1.5 Acknowledgments for Batch Transactions

Acknowledgments (999) to inbound Eligibility (270), Claim Status Inquiry (276), Enrollment (834) and Claims (837 I, P, D) transactions are generally available within 24 hours.

## 7.2 REMITTANCE ADVICE

NCTracks produces remittance advices (835) on a weekly processing cycle basis as an acknowledgment to 837 and NCDPD claims submitted. The check write cycle for NCTracks is published in the following website.

http://www.ncdhhs.gov/dma/provider/calendar.htm

# 8. Additional Trading Partner Information

## 8.1 IMPLEMENTATION CHECKLIST

Trading partners must have a signed and approved Trading Partner Agreement. Trading partners submitting inbound transactions must be certified using the NCTracks Trading Partner Testing Portal. For additional checklist, visit the following websites.

http://www.nctracks.nc.gov/

http://ncmmis.ncdhhs.gov/communication.asp

## 8.2 TRANSMISSION EXAMPLES

Trading partners should refer to the X12 standards documents and NCTracks transaction companion guides for examples or information regarding control segments and envelopes. The companion guides are available in the following website.

http://www.nctracks.nc.gov/provider/guides/index.html

## 8.3 TRADING PARTNER AGREEMENT

EDI Trading Partner Agreements ensure the integrity of the electronic transaction process. The Trading Partner Agreement is related to the electronic exchange of information, whether the agreement is an entity or a part of a larger agreement, between each party to the agreement.

For example, a Trading Partner Agreement may specify among other things, the roles and responsibilities of each party to the agreement in conducting standard transactions.

## 8.4 FREQUENTLY ASKED QUESTIONS

1. **Who are classified as Trading Partners that are required to be certified in the Trading Partner Testing Portal?**

   Trading Partners who are classified as Clearing Houses, Billing Agents, VANs, and LMEs (DMH) who will be submitting one or more of the following inbound transactions: 837(I, P, and D), 270, 276, and 834I.

2. **Should all of the providers, with the exception of Billing Agents, Clearing Houses, VANs also have to get Trading Partners certified in the Trading Partner Testing Portal?**

   No, only the billing agents, clearing houses, and VANs who will be submitting claims on behalf of the providers will need to get certified in the Trading Partner Testing Portal. However, any individual or organization providers who may be submitting these inbound transactions without using billing agents or clearing houses should get certified in the Trading Partner Testing Portal.

3. **Which transactions will the Trading Partners have to get certified in the Trading Partner Testing Portal?**

   The Trading Partners will have to get certified in the following transactions that they are planning to submit in NCTracks:

   - 270 – Eligibility
   - 837I – 837 Institutional
   - 837P – 837 Professional
   - 837D – 837 Dental
   - 276 – Claims Status
   - 834I – Benefit Enrollment and Maintenance

4. **Will the NCPDP D.0 transactions be certified through the Trading Partners certification process in the Trading Partner Testing Portal?**

   No. The switch vendors will be performing the testing of D.0 outside of the Trading Partner Testing Portal; these transactions are not included in the Trading Partner Testing Portal and the Trading Partners certification process.

5. **Do the Trading Partners have to get certified in both 4010 and 5010 inbound transactions?**

   Trading partners have to get certified only in 5010 since NCTracks supports only 5010 transactions.

6. **Do the Trading Partners have to get certified in the Trading Partner Testing Portal to receive outbound transactions such as 835, 820, etc.?**

   No. This information is however required during the EVC registration process that is described in Section XII of the document.

7. **Is the Trading Partner certification process dependent on EVC registration process for Billing Agents?**

   No. These tasks can run parallel and EVC registration is not required to be completed before the Trading Partner certification begins.

8. **After the Trading Partners get certified, do they have to submit the transactions into NCTracks as part of this Certification testing?**

   No.

9. **Can a Trading Partner sign up and get certified in the Trading Partner Testing Portal without an email address?**

   No. This is a pre-requisite for Trading Partners to sign up and get certified in the Trading Partner Testing Portal.

10. **How will the Trading Partners get invited?**

    Invites will go out to the Trading Partners via email from the Trading Partner Testing Portal. The outreach letter to all Trading Partners will be sent to the mailing address by the State provider communications team.

**11. Will the Trading Partners be trained on the Trading Partner Testing Portal?**

No. This is because the Trading Partner Testing Portal is a self service portal and it has the Trading Partner Testing Portal user guides that can be used to complete the certification process.

**12. Should the TPA be signed before the Trading Partners get certified?**

Yes. The Trading Partners who will be participating in the Trading Partners certification process will electronically sign the TPA in the Trading Partner Testing Portal.

**13. How will the Trading Partners access the Trading Partner Testing Portal?**

Once the Trading Partners contact information is uploaded into the Trading Partner Testing Portal, the Trading Partners will receive a hyperlink, user ID, and password to the Trading Partner Testing Portal.

**14. Will the Trading Partners get reminders on the certification process?**

Yes. Automatic reminders from the Trading Partner Testing Portal will be sent to the respective Trading Partners' email address

**15. Will the Trading Partners get notified once certified successfully?**

Yes; once all the tasks in the Trading Partner Testing Portal are completed successfully an automatic notification will be sent by the Trading Partner Testing Portal for each program.

**16. Which programs will the Trading Partners enrolled to get certified?**

All Trading Partners be enrolled under all the inbound programs in the Trading Partner Testing Portal. If this information can be easily obtained before the invites from the Trading Partner Testing Portal go out to Trading Partners then only the selected Trading Partners for each transaction will be notified to get certified in the respective transactions.

**17. What are the steps for a Trading Partners to get compliance certified?**

- Receive the invites from the Trading Partner Testing Portal
- Update Trading Partners profile and Enroll into the program using the log on and password provided on the invites
- Sign the TPA manually in the Trading Partner Testing Portal
- Use the Companion Guide and the guidelines document posted in the Trading Partner Testing Portal
- Submit test files for the programs enrolled under
- Log any issues via the Trading Partner Testing Portal, Call or Email CSC's EDI helpdesk
- Get certified in the Trading Partner Testing Portal using the test files submitted into the Trading Partner Testing Portal
- Fill out surveys sent out through the Trading Partner Testing Portal

**18. Will CSC provide any EDI helpdesk phone number or email address to receive any issues?**

The EDI helpdesk phone number: 1-866-844-1113, Option #3, and the Email address is: NCMMIS_EDI_SUPPORT@csc.com. The subject of the email should be "TRADING PARTNER TESTING" so that it is directed to the right folder on the email box. This support will be available from 9 AM to 5 PM EST.

**19. Where will the Companion Guides for all the transactions posted?**

The Companion Guides for all the inbound transactions have been posted in the following locations:

http://www.nctracks.nc.gov/provider/guides/index.html

For Trading Partners certification process, the Companion Guides will be posted in the Trading Partner Testing Portal in the "Reference Material" section of the Trading Partner Testing Portal

**20. What if the Trading Partners have not completed their certification before go live?**

The Inbound X12 transactions submitted by Trading Partners will be rejected by the NCTracks EDI process and not get processed.

**21. Do Trading Partners or individual providers have to get certified or sign the TPA if they submit x12 transactions through the DirectConnect portal?**

No.

**22. Does the terminonlogy ETIN and TSN mean the same or do they have different meanings?**

They both are synonymous and are used interchangeably in the connectivity guide and companion guide.

## 8.5 OTHER RESOURCES

### 8.5.1 NCTracks Fiscal Agent

Information about a variety of topics essential to NCTracks providers and their Business Associates, including topics such as provider enrollment, training, and how to establish and use the various communication channels for exchanging electronic claims and related transactions is publicly available at:

http://www.nctracks.nc.gov/provider/index.html

### 8.5.2 Other Useful Websites

The registry for the NPI (National Provider Identifier) is the National Plan and Provider Enumeration System (NPPES), at:

http://nppes.cms.hhs.gov/NPPES/Welcome.do

Other resources pertaining to the National Provider Identifier:

http://www.cms.hhs.gov/NationalProvIdentStand/

Implementation Guides and Non-medical code sets are at:

http://store.x12.org/

The HIPAA statute, Final Rules, and related NPRMS (Notices of Proposed Rulemaking) are available at:

http://www.cms.hhs.gov/HIPAAGenInfo/

http://aspe.hhs.gov/datacncl/adminsim.shtml

Information from CMS about ICD-9 and ICD-10 codes:

http://www.cms.hhs.gov/ICD9ProviderDiagnosticCodes/01_overview.asp#TopOfPage

http://www.cms.hhs.gov/ICD9ProviderDiagnosticCodes/08_ICD10.asp#TopOfPage

Quarterly updates to the HCPCS code set are available from CMS at:

http://www.cms.hhs.gov/HCPCSReleaseCodeSets/

(CPT-4, or Level 1 HCPCS, is maintained and licensed by the American Medical Association and is available for purchase in various hardcopy and softcopy formats from of variety of vendors.)

Information at the Federal level about Medicaid can be found at:

http://www.cms.hhs.gov/home/medicaid.asp

The CMS online Manuals system includes Transmittals and Program Memoranda at:

http://www.cms.hhs.gov/Manuals/

Place of Service Codes maintained by (CMS) online:

http://www.cms.gov/PlaceofServiceCodes/

# Appendix A – Ipswitch Tested FTP Clients

## A-1 SUPPORTED SECURE FTP/SSH (AND SCP2) CLIENTS

MoveIT DMZ has been tested against and fully supports the following secure FTP clients using FTP over SSH:

- OpenSSH sftp for *nix (free command-line, Unix – including Linux and BSD, password and client key
- modes)
- OpenSSH for Windows (free command-line, Windows, password and client key modes)
- OpenSSH sftp for Mac (preinstalled command-line, Mac, password and client key modes)
- OpenSSH sftp for z/OS (part of "IBM Ported Tools for z/OS", z/OS 1.4+, password and client key modes)
- Putty PSFTP, (command-line, Windows, password and client key modes)
- WS_FTP (GUI, Windows, version 7.0 and higher; version 7.62 has a compression-related bug which prevents it from uploading large, highly compressible files)
- BitKinex (GUI, version 2.5 and higher, Windows)
- F-Secure SSH (command-line, 3.2.0 Client for Unix, password and client key modes)
- FileZilla (GUI, Windows)
- SSH Communications SSH Secure Shell FTP (GUI, Windows, password and client key modes; requires setting # of transfers to 1)
- SSH Tectia Connector (Windows)
- SSH Tectia Client (Windows, AIX, HP-UX, Linux, Solaris)
- J2SSH (free Java class – requires Java 1.3+)
- Net:SFTP – Net::SSH::Perl (free Perl module for Unix)
- MacSSH (GUI, Mac, password mode only)
- Fugu (free GUI, Mac, password mode only)
- Cyberduck (free GUI, Mac, password and client key modes)
- Rbrowser (GUI, Mac, password mode only)
- Transmit2 (GUI, Mac, password and client key modes)
- gftp (GUI, Linux, password and client key modes)
- Magnetk LLC sftpdrive (Windows "drive letter", password mode only)
- South River Technologies "WebDrive" (Windows "drive letter", password mode only)
- Cyclone Commerce Interchange (Solaris, client key mode only)
- Stairways Software Pty Ltd. "Interarchy" (Mac "local drive" and GUI, password mode only)
- Miklos Szeredi's "SSH FileSystem", a.k.a. "SSHFS" (*nix "mount file system" utility, password and
- client key modes; requires OpenSSH and FUSE)
- Tumbleweed SecureTransport (4.2+ on Windows, batch, various)

## A-2 SUPPORTED SECURE FTP SSL CLIENTS

MoveIT DMZ has been tested against and fully supports a these secure FTP clients using FTP over SSL :

- MOVEit Freely (free command-line)
- MOVEit Buddy (GUI)
- MOVEit Central (w/Admin)
- WS_FTP Professional and WS_FTP Home (GUI, version 7 and higher, Windows) (version 12 and higher)
- General Information – Client Support
- SmartFTP (GUI, version 1.6 and higher, Windows)
- SmartFTP (free GUI, version 1.0 and higher, Windows)
- Cute FTP Pro (GUI, version 1.0 and higher, Windows)
- BitKinex (GUI, version 2.5 and higher, Windows)
- Glub FTP (GUI, Java 2.0 and higher)
- FlashFXP (GUI, version 3.0 and higher)
- IP*Works SSL (API, Windows, version 5.0)
- LFTP (free command-line, Linux, Unix, Solaris, AIX, etc.)
- NetKit (command-line, Linux, Unix, Solaris, etc.)
- SurgeFTP (command-line, FreeBSD, Linux, Macintosh, Windows, Solaris)
- C-Kermit (command-line; v8.0+, AIX, VMS, Linux, Unix, Solaris)
- AS/400 native FTPS client (OS/400 minicomputer)
- z/OS Secure Sockets FTP client (z/OS mainframe)
- TrailBlaxer ZMOD (OS/400 minicomputer)
- NetFinder (GUI, Apple)
- Sterling Commerce (batch, various)
- Tumbleweed SecureTransport (4.2+ on Windows, batch, various)
- Cleo Lexicom (batch, various)
- bTrade TDAccess (batch, AIX, AS/400, HP-UX, Linux, MVS, Solaris, Windows)
- cURL (command-line, AIX, HP-UX, Linux, QNX, Windows, AmigaOS, BeOS, Solaris, BSD and more)
- South River Technologies "WebDrive" (Windows "drive letter" – requires "passive, implicit and 'PROT P'" options)
- Stairways Software Pty Ltd. "Interarchy" (Mac "local drive" and GUI )

# Appendix B – Web Interface

## B-1 MOVEIT WIZARD INSTALL

The first time a user signs on to NCTracks MFT, the system will notice that the MoveIT Upload/Download Wizard is not installed, and will send the user to a page from which they can install the Wizard, or choose to disable it.

### B-1.1 WIZARD REQUIREMENTS

The Upload/Download Wizard comes in two versions: an ActiveX control, which is only usable by Internet Explorer 7.0 or higher running on Windows, and a Java Applet, which can be run on most browsers that support java applets.

The ActiveX version of Upload/Download Wizard is available only when using Internet Explorer version 7.0 or higher. In addition, Internet Explorer MUST be configured to accept SIGNED ActiveX controls and run JavaScript, and the end user working with Internet Explorer must manually click a "Yes" button to download/accept/install the Upload/Download Wizard ActiveX control. Under Windows Vista/Windows 7 with IE7 or later, the ActiveX version also requires the end user to mark their MOVEit DMZ site as an IE Trusted Site to take full advantage of Wizard capabilities such as multiple file download.

The Java version of Upload/Download Wizard requires Sun's Java2 version 1.5 or higher runtime environment. Java applet support MUST be enabled in the browser, as well as JavaScript support. Finally, the end user must click the "Yes" or "Always" button when asked whether they wish to trust the Upload/Download Wizard applet. (Warning: the Java version does not currently run under IE7 and above; use the ActiveX version instead here.)

### B-1.2 FIREWALL AND PROXY SERVER ISSUES

Some firewalls or proxy servers block the "Transfer-Encoding: chunked" header used by the Upload Wizard. When the Upload Wizard detects this situation, it reverts to a different upload protocol. (This alternative protocol is not used by default, because it does not allow compression or the creation of .zip files.) If you have software or network devices that block "Transfer-Encoding: chunked" headers, and find that the MOVEit Wizard is not able to detect this, you can force the Upload Wizard to use the alternative protocol by creating a value in the registry of the computer that is running Internet Explorer.

Run RegEdit and navigate to HKEY_CURRENT_USER\Software\Standard Networks\MOVEitUploadWizard. (If this key does not exist, create it.) Then create a DWORD value named ForceNonLumpHashMode and give it a value of 1. This will force the Upload Wizard to use the less efficient but more widely-accepted alternative upload protocol.

## B-1.3 INTERNET EXPLORER

Internet Explorer users will be sent to the ActiveX Wizard Installation page, which gives options to install the ActiveX Wizard, disable it, or disable it and install the Java Wizard.

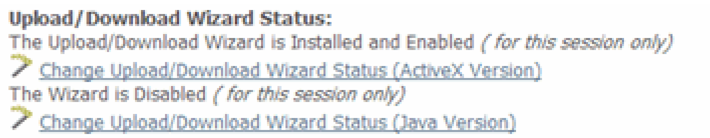



**Exhibit B-1. Wizard Statue**

If you choose “Try to install”, you will be sent to a page which will attempt to download the ActiveX control. This may take several seconds. You may need to alter your browser's security settings to permit signed ActiveX controls to be installed in order to successfully complete the process.

If you choose Disable, you will not be prompted to install the ActiveX Wizard again unless you explicitly request it via the Account Options page. If you choose Disable (this session only), during the next browser session, you will be shown a link to install the Wizard.

Click "OK" on this dialog.

If you are presented with a dialog that explains that installation of an Active X control was blocked.

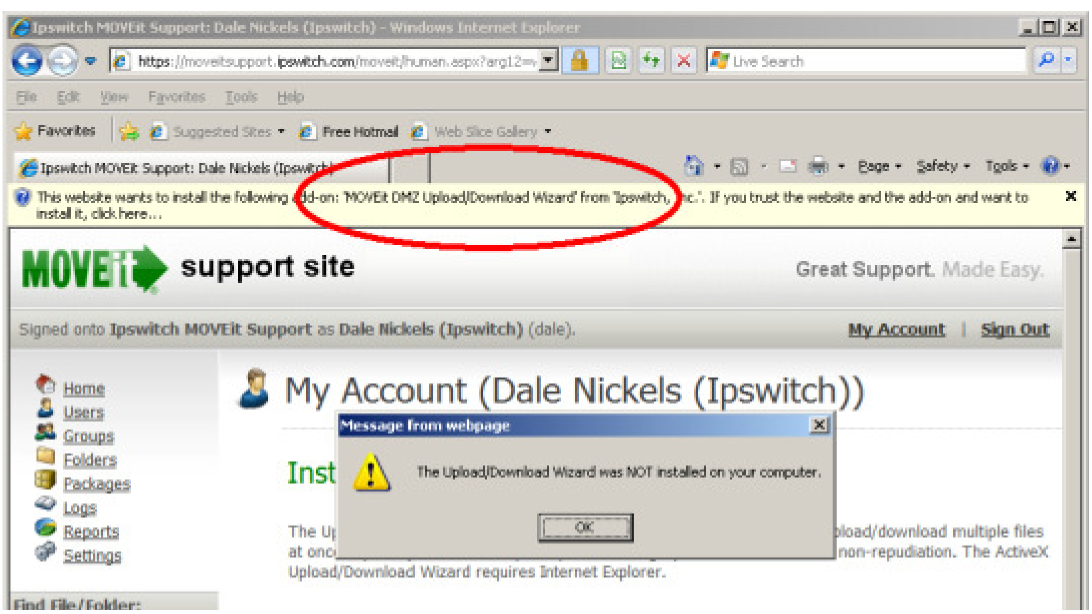



**Exhibit B-2. Active X Control Block of Wizard Install**

Click on the (usually, yellow) banner at the top of the page to get a pop-up menu and then select the Install ActiveX Control option.

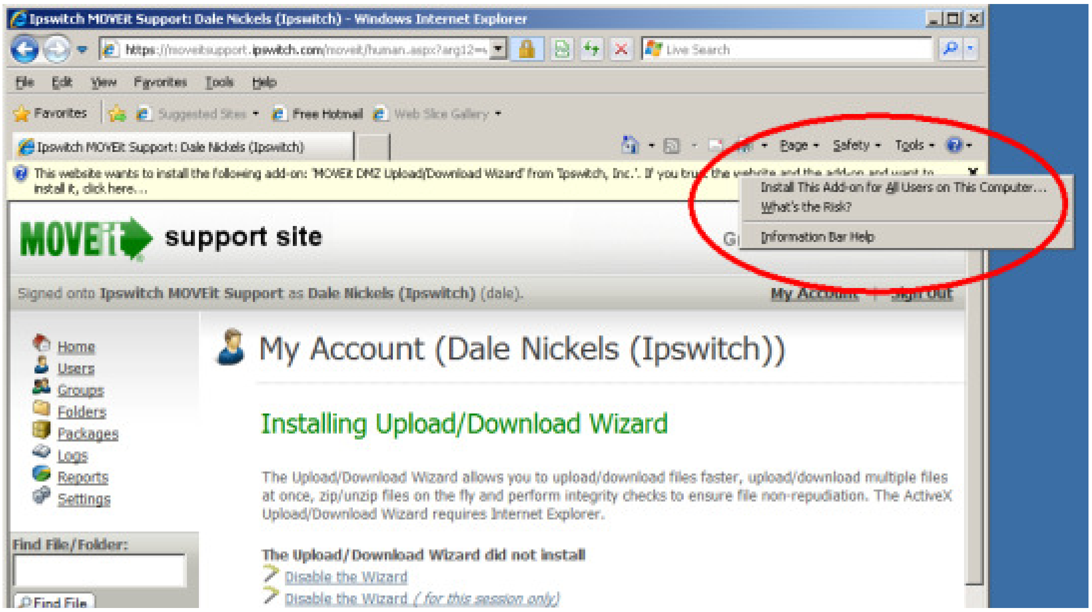



**Exhibit B-3. Enable Active X Wizard Install**

Next you will get a dialog with a yellow shield (this indicates that the Upload/Download Wizard ActiveX control has been cryptographically signed and validated). Click the "Install" button.

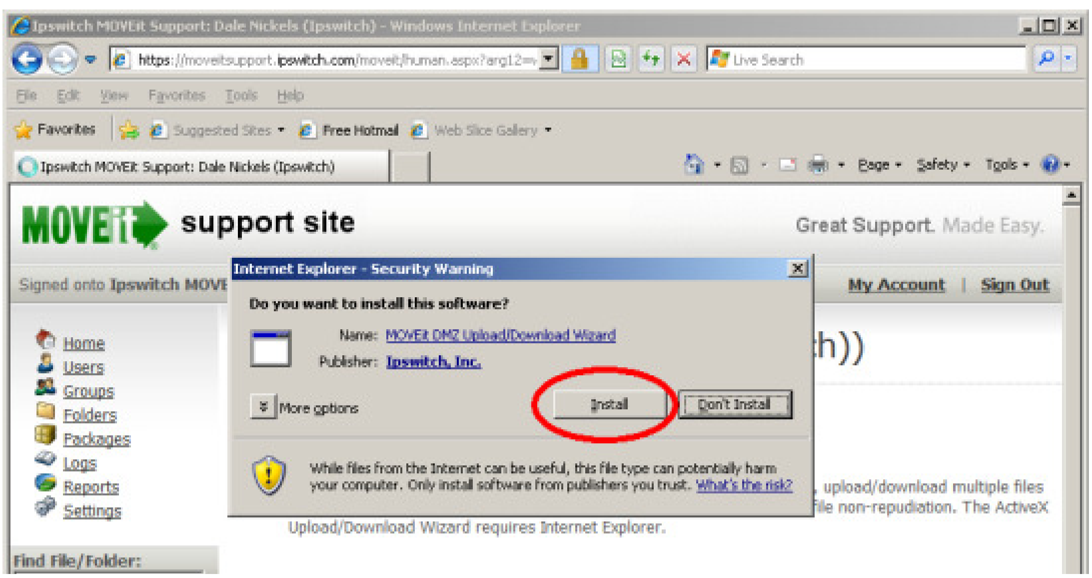



**Exhibit B-4. Active X Wizard Install**

After you complete these extra steps, the Wizard should automatically finish installing.

## B-1.4 INTERNET EXPLORER 7.0 OR HIGHER

If you are running Internet Explorer 7.0 on Windows Vista, you may have to perform an extra step before you can use all the features of the Wizard, such as the ability to download multiple files at once. This extra step is to add any MOVEit DMZ site you communicate with into your Internet Explorer list of "Trusted Sites".

To change your security settings in this way, double-click on the "Internet" label (with the globe) at the bottom of your IE browser window.


**Exhibit B-5. Access Security Settings**

An "Internet Security Properties" dialog window will be displayed. Click the "Trusted Sites" icon (the green checkmark) and then click the "Sites" button. A list of existing trusted sites will appear and the NCTracks MFT site should be listed in the "Add this website to the zone" text box. Click the "Add" button to finish trusting the NCTracks MFT site, and use the "Close" and "OK" buttons to leave the window behind.

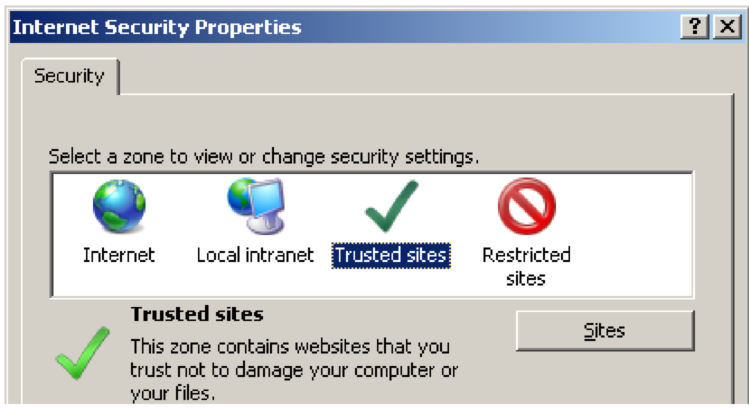



**Exhibit B-6. Access Security Trusted Site Settings**

When complete, you should see a "Trusted sites" label (with a green checkmark) in place of the "Internet" label (with the globe) at the bottom of your IE browser window.

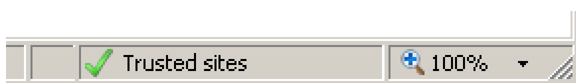



**Exhibit B-7. Confirmed Trusted Site**

## B-1.5 OTHER BROWSERS

The first time a user signs on the NCTracks MFT site with a browser other than Internet Explorer (e.g. Firefox) the NCTracks MFT site will display a slightly different page with a link to install the Java Upload/Download Wizard. The Java Upload/Download Wizard is a component very similar to the ActiveX Wizard, designed for environments that can't run ActiveX controls. The choices are similar to those for the ActiveX Wizard. If Java is not installed, the user can simply choose Disable to avoid being prompted to install the Java Wizard in subsequent sessions. Java can be downloaded from Sun's Java website.

### B-1.5.1 Install the Java Wizard

Installation of the Java version of Upload/Download Wizard is generally performed automatically by the browser. The user will initially be presented the following window, asking if the user wants to run the applet. The user should click "Run" here to allow the Java Wizard to run. Checking the "Always trust content..." box is also recommended.

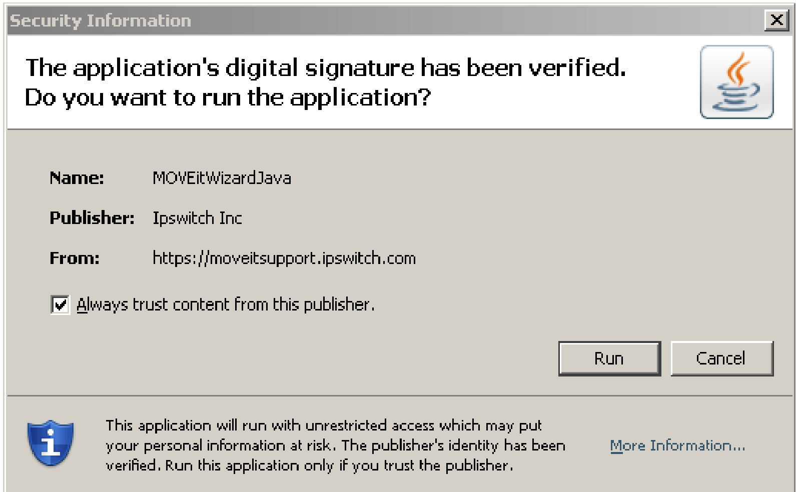



**Exhibit B-8. JAVA Wizard Install**

## B-2 WEB INTERFACE – UPLOAD/DOWNLOAD WIZARD

The NCTracks MFT MoveIT Upload Wizard gives web users a faster method to transfer files over the web than the usual web transfers performed via the built-in "upload" button, through the use of compression-on-the-fly. The Upload Wizard provides integrity checking; it proves that the file or files which were just uploaded to the server are exactly the same as the files which exist on your local hard drive.

As discussed above, there are two versions of the Wizard: ActiveX and Java. However, they look and act very similarly.

### B-2.1 UPLOAD WIZARD

1. Start the Upload Wizard

   The NCTracks MFT MoveIT Upload Wizard will be presented as an option to users who have down loaded it and enabled it via the My Account page. It will appear on all pages from which uploads are normally permitted. To start the Wizard:

   a. Select the folder into which you would like to upload files.
   b. Click the "CLICK HERE to Launch the Upload Wizard..." link.

2. Select Files to Be Uploaded to NCTracks MFT MoveIT Upload Wizard

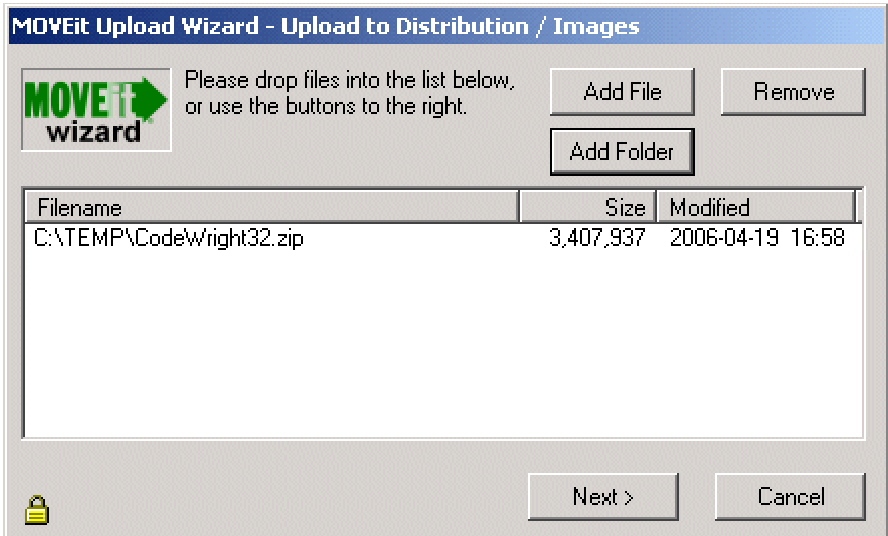



**Exhibit B-9. Upload Wizard File Selection**

Files to be uploaded may be selected several different ways.

- Press the "Add File" button and "double-click" files from the navigation to select individual files.
- Press the "Add File" button and "CTRL-click" files from the navigation to select multiple files from the same folder.
- Press the "Add Folder" button and select a folder to recursively upload.
- Drag-n-drop files and/or folders from an Explorer window onto the list of files in the Wizard.

Note: Selected files DO NOT have to be from the same directory – the Upload Wizard can handle files from several different directories, even drives at the same time.

Press the "Next >" button to continue.

3. Select Upload Options. You should upload your selected file(s) in individually in which case each file will be logged on the NCTracks MFT MoveIT Upload Wizard with a separate file ID. Do not compress more than one file in a ZIP file. Though the NCTracks MFT MoveIT Upload will allow you to do so, the NCTracks system will reject the file and place it in the Reject Folder.

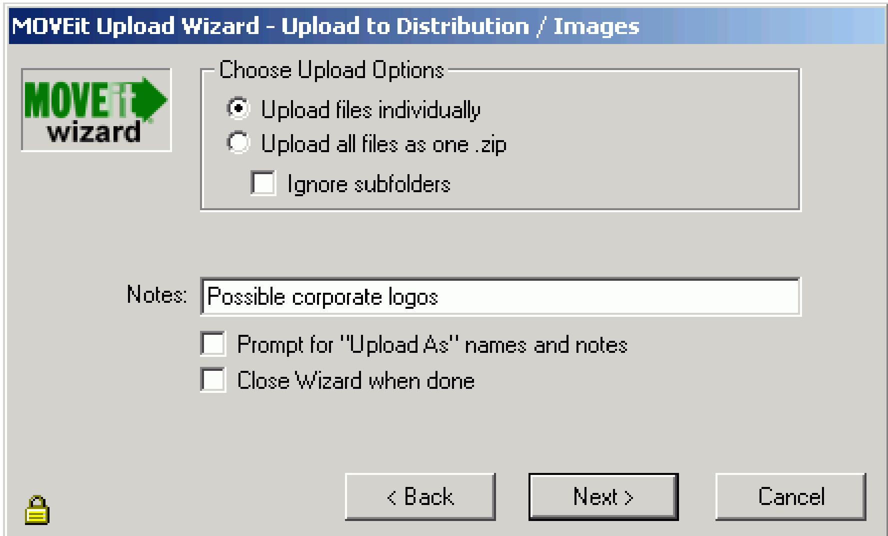



**Exhibit B-9. Upload Wizard File Options**

The "Close Wizard when Done" box will cause the Wizard to close itself when the transfer is complete.

4. Press the "Next >" button to begin the transfer.
5. As soon as the transfer begins, a progress bar will appear to show you how much of your transfer has been completed. (The same information will also be displayed in a short text area nearby.) When it is complete, you will see a transfer summary displayed.

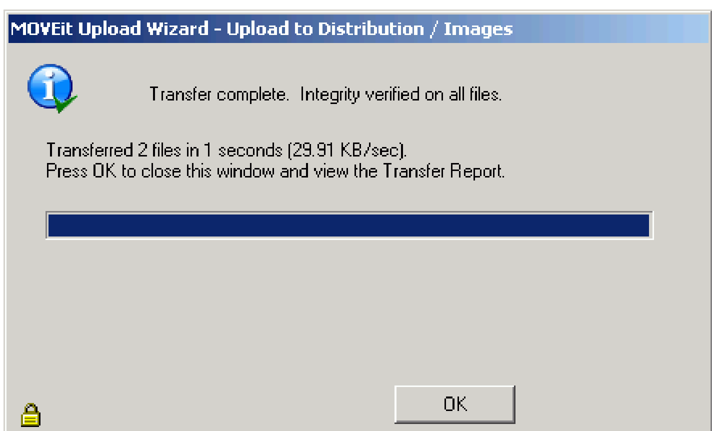



**Exhibit B-10. Upload Wizard Progress Bar**

## B-2.2 Download Wizard

The NCTracks MFT MoveIT Upload Wizard Download Wizard gives web users a faster method to transfer files over the web. It also provides the ability for a user to download more than one file at one time. In addition, the Download Wizard displays the progress of transfers using a progress bar and provides Open File, Open Folder and Unzip File buttons when transfers are complete. Finally, the Download Wizard provides integrity checking; it proves that the file or files which were just downloaded from the server are exactly the same as the files which exist on the server.

1. Start the Download Wizard. The NCTracks MFT MoveIT Download Wizard is automatically invoked when a Download link is chosen. It is also invoked when clicking the Download button on the File List page.

2. Open or Save. The first dialog you see will ask whether to open or save the file. "Opening" the file means the file will be downloaded to a temporary directory, and after successful completion, the associated application (based on file extension) will be run without any further prompting. "Saving" the file means that you will be prompted for a directory into which the file should be placed. The associated application will not be run automatically.

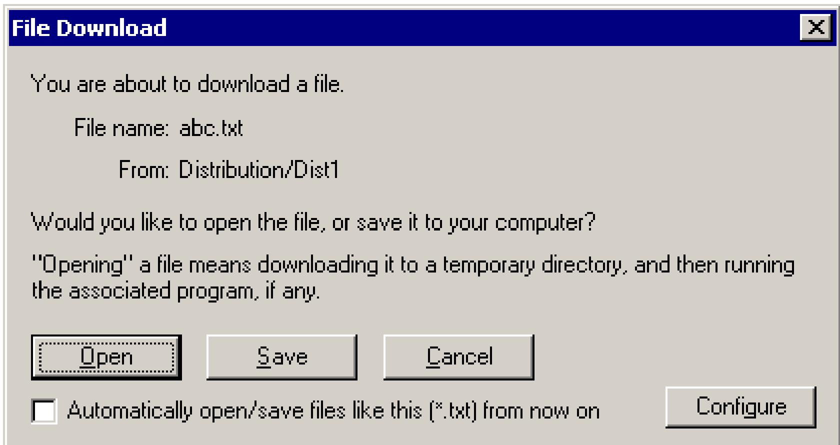



**Exhibit B-11. Download Wizard Options**

If you choose "Automatically open/save files like this from now on", in the future, this dialog will not appear for files with the same extension as this one. The Configure button allows you to change your mind regarding what should be done with files with a given extension. The configuration dialog is also available via the Account Options page.

3. Select Download Destination. If you choose Save, the download wizard asks into which folder the download should be saved as well as what filename to use. (If an existing file of the same name already exists in this location, you will be asked if you want to overwrite the existing file.

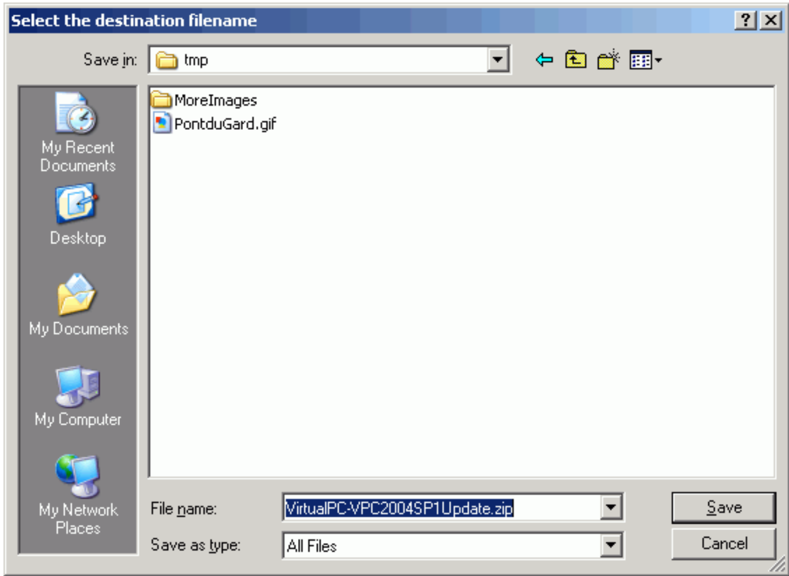



**Exhibit B-12. Download Destination Selection**

4. As soon as the transfer begins the download wizard will display a progress bar, the size of the download, the amount currently downloaded, an estimate of the transfer speed and an estimate of the amount of time required to complete the download while the download is occurring.

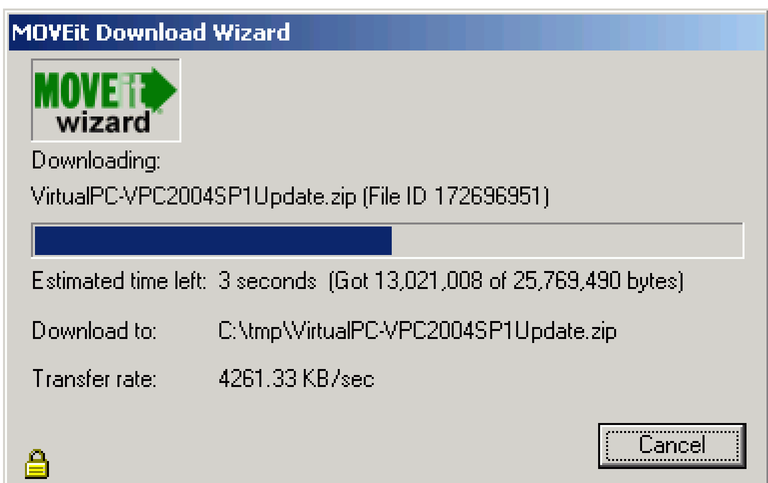



**Exhibit B-13. Download Wizard Progress Bar**

When complete, the integrity of the downloaded file will be checked. (This ensures that the file just downloaded is completely identical to the file on the server.) At least three buttons will also be displayed if the transfer was successful:

- **Open**: Opens the file just downloaded, using any file associations currently available.
- **Open Folder**: "Browses" to the folder into which the file was just downloaded.
- **Close**: Closes the download wizard immediately.

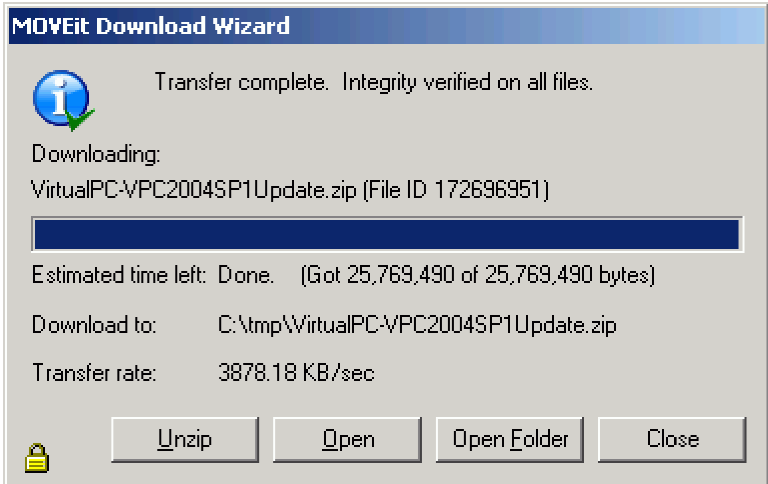



**Exhibit B-13. Download Wizard Transfer Complete Options**

# Change Summary

| Date | Change | Responsible Party |
|---|---|---|
| June 7, 2013 | WPDT 01 | CSC under the direction of NC DHHS |
| June 21 2013 | WPDT 02 | Removed references to "real-time submissions for D.0 transactions" under section 4.2.3<br><br>Changed the URL in section 4.2.1.5 from "ftp.nctracks.nc.gov" to "ftp2.nctracks.nc.gov"<br><br>Formatted the payload information on the section 4.2.3.<br>Changed the section "4.2.1.3 File Naming Standards" to give additional details |
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