

Secure File Transfer Protocol (SFTP) File Transmission for Section 111

Slide 1 of 25- Secure File Transfer Protocol (SFTP) File Transmission for Section 111

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES

COB&R
Coordination of
Benefits and Recovery

MMSEA Section 111 Liability Insurance (Including Self-Insurance), No-Fault Insurance, and Workers' Compensation

Secure File Transfer Protocol (SFTP) File Transmission for Section 111

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

Slide notes

Welcome to the Secure File Transfer Protocol (SFTP) File Transmission for Section 111 course.

Note: This module only applies to Responsible Reporting Entities (RREs) that will be submitting Section 111 claim information via an electronic file submission.

Slide 2 of 25 - Disclaimer

Disclaimer

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

Slide notes

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Slide 3 -25 - Course Overview

Course Overview

- Section 111 COBSW
- Transmit files using SFTP
- Monitor file processing results

**Slide notes**

SFTP is one of the recommended choices of file transmission for Section 111 for those RREs who expect to be transmitting files with more than 24,000 records in one file submission on a regular basis. The course concludes with a discussion on how the RRE (or their agent) can use the Section 111 COBSW to monitor file processing results.

NOTE: Liability insurance (including self-insurance), no-fault insurance, and workers' compensation are sometimes collectively referred to as "non-group health plan" or "NGHP".

The term NGHP will be used in this CBT for ease of reference.

Slide 4 of 25 - PAID Act

PAID Act

The Medicare Secondary Payer (MSP) policy is designed to ensure that the Medicare Program does not pay for healthcare expenses for which another entity is legally responsible. To aid settling parties in determining this information, Congress has enacted the Provide Accurate Information Directly Act also known as the PAID Act requiring that CMS provide Non-Group Health Plans with a Medicare beneficiary's Part C and Part D enrollment information for the past 3 years.

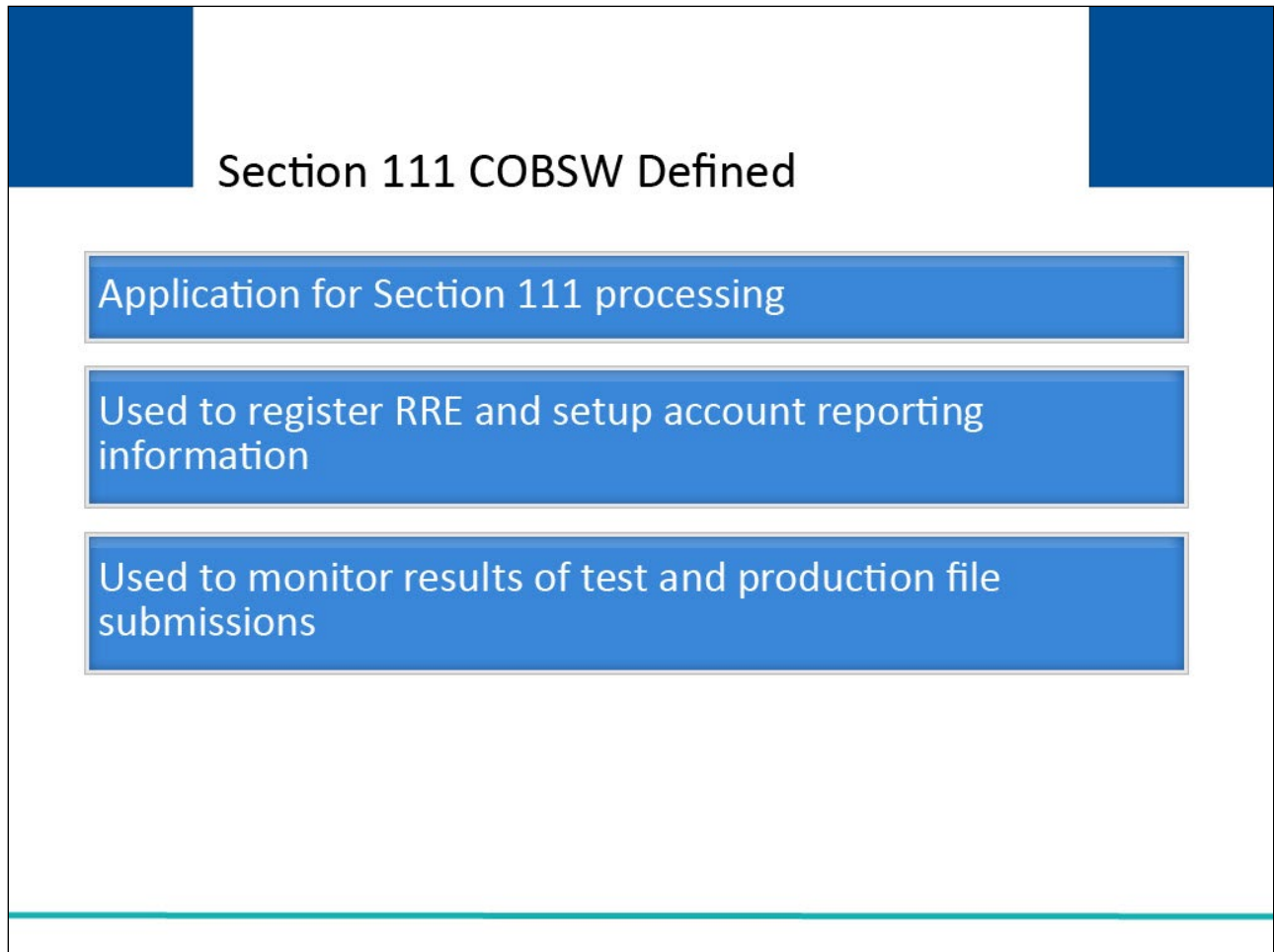
This information will be provided both online, in the BCRS application, and COBSW S111/MRA and offline in the NGHP Query Response File. Additionally, CMS has requested that this solution also include the most recent Part A and Part B Entitlement dates.

**Slide notes**

The Medicare Secondary Payer (MSP) policy is designed to ensure that the Medicare Program does not pay for healthcare expenses for which another entity is legally responsible. To aid settling parties in determining this information, Congress has enacted the Provide Accurate Information Directly Act also known as the PAID Act requiring that CMS provide Non-Group Health Plans with a Medicare beneficiary's Part C and Part D enrollment information for the past three years.

This information will be provided both online, in the BCRS application, and COBSW S111/MRA and offline in the NGHP Query Response File. Additionally, CMS has requested that this solution also include the most recent Part A and Part B Entitlement dates.

Note: To support the PAID Act, the Query Response File will be updated to include Contract Number, Contract Name, Plan Number, Coordination of Benefits (COB) Address, and Entitlement Dates for the last three years (up to 12 instances) of Part C and Part D coverage. The updates will also include the most recent Part A and Part B entitlement dates.

Slide 5 of 25 - Section 111 COBSW DefinedThe slide features a white background with a blue header bar at the top. The title 'Section 111 COBSW Defined' is centered in the header. Below the header, three blue rectangular boxes are stacked vertically, each containing white text. The first box says 'Application for Section 111 processing', the second says 'Used to register RRE and setup account reporting information', and the third says 'Used to monitor results of test and production file submissions'. A thin teal horizontal line is at the bottom of the slide area.

Section 111 COBSW Defined

- Application for Section 111 processing
- Used to register RRE and setup account reporting information
- Used to monitor results of test and production file submissions

Slide notes

The Benefits Coordination & Recovery Center (BCRC) is using an application on the Section 111 COBSW for Section 111 processing.

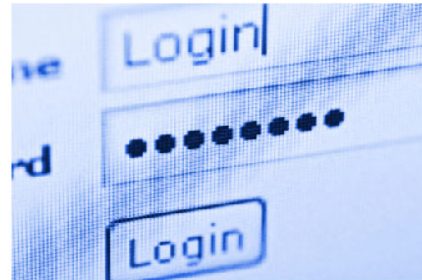
RREs and their agents will use this application to register the RRE and setup account reporting information. RREs may monitor the results of test and production file submissions on the Section 111 COBSW.

RREs who select SFTP for file transmission will upload and download files over the internet to the Section 111 SFTP server maintained by the BCRC.

Slide 6 of 25- SFTP - Login IDs and Passwords

SFTP - Login IDs and Passwords

- Required for SFTP file transmission
 - Any Login ID/Password assigned to a Section 111 COBSW user associated with the RRE ID may be used
- During Account Setup, the Account Manager will create a Login ID and Password
 - May invite other users to become Account Designees associated with the RRE ID
 - Each Account Designee will obtain their own Login ID and Password
 - Same Login IDs and Passwords are to be used for SFTP transmissions

**Slide notes**

A Login ID and password are required for the SFTP file transmission method. Any Login ID/Password assigned to a Section 111 COBSW user associated with the RRE ID account may be used.

During the initial Account Setup, the RRE's Account Manager will create a Login ID and Password (or use his previously defined Login ID when performing setup for multiple RRE IDs).

The Account Manager may then log in to the site and invite other users to become Account Designees associated with the RRE ID. Each Account Designee will obtain his own Login ID and Password.

These same Login IDs and Passwords are to be used for SFTP transmissions. Each user of the Section 111 COBSW will have one Login ID and Password.

That same Login ID and Password can be used for multiple RRE ID SFTP transmissions. For example, an agent may be an Account Manager or Account Designee for many RRE IDs.

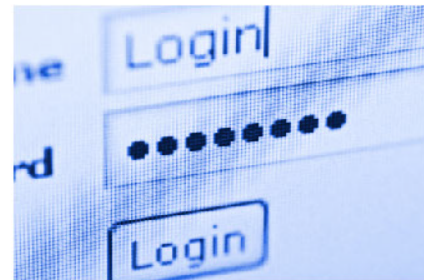
That agent may use his one Login ID and Password to transmit files for all his RRE clients via SFTP as long as his Login ID is associated to all the applicable RRE IDs.

The agent may also use this Login ID to log in to the Section 111 COBSW application and monitor file processing.

Slide 7 of 32- SFTP - Login IDs and Passwords

SFTP - Login IDs and Passwords

- Login at least once every 60 days to update password or SFTP file transfer will be unsuccessful
- Passwords are exactly 8 characters and must be submitted that way when connecting to the SFTP server

**Slide notes**

Users must log on to the Section 111 COBSW at least every 60 days to update their passwords. Failure to maintain a current password will result in an unsuccessful SFTP file transfer.

Note that passwords are exactly 8 characters and must be submitted that way when connecting to the SFTP server.

Slide 8 of 32 - SFTP Software

SFTP Software

- RREs should have working knowledge of SFTP
- RRE must acquire or develop software that is SSH v2 capable

Slide notes

RREs who have chosen SFTP to submit files should have a working knowledge of SFTP. For this transmission method, the RRE will need to acquire or develop software that is SSH v2 capable.

Slide 9 of 32 - SFTP Configuration

SFTP Configuration

The following information is needed to configure your SFTP software to transmit Section 111 files:

Type of Server:	Standard SSH Server
Host or IP Address of Server:	sftp.section111.cms.hhs.gov
Port Number of Server:	10022
Credentials	Section 111 COBSW Login ID/Password associated with the RRE ID

Slide notes

In order to configure your SFTP software to transmit Section 111 files, you will need the following information:

The Type of Server used must be set to a Standard SSH Server.

The Host or IP Address of the COBSW SFTP server is sftp.section111.cms.hhs.gov and the Port Number to be used is 10022.

In addition, you will need to supply credentials

The Login ID and password of the Account Manager or any Account Designee with access to the RRE ID on the Section 111 COBSW may be used.

Slide 10 of 32 - SFTP File Transmission

SFTP File Transmission

- Files are transmitted over the Internet to directories on the Section 111 SFTP server
- Separate directories for each RRE ID
- Subdirectories for test input, production input, test response, and production response files
- Automatically created when SFTP is chosen as the transmission method

Slide notes

RREs who select the SFTP method will transmit files over the Internet to and from the BCRC to directories (mailboxes) created on the BCRC Section 111 SFTP server.

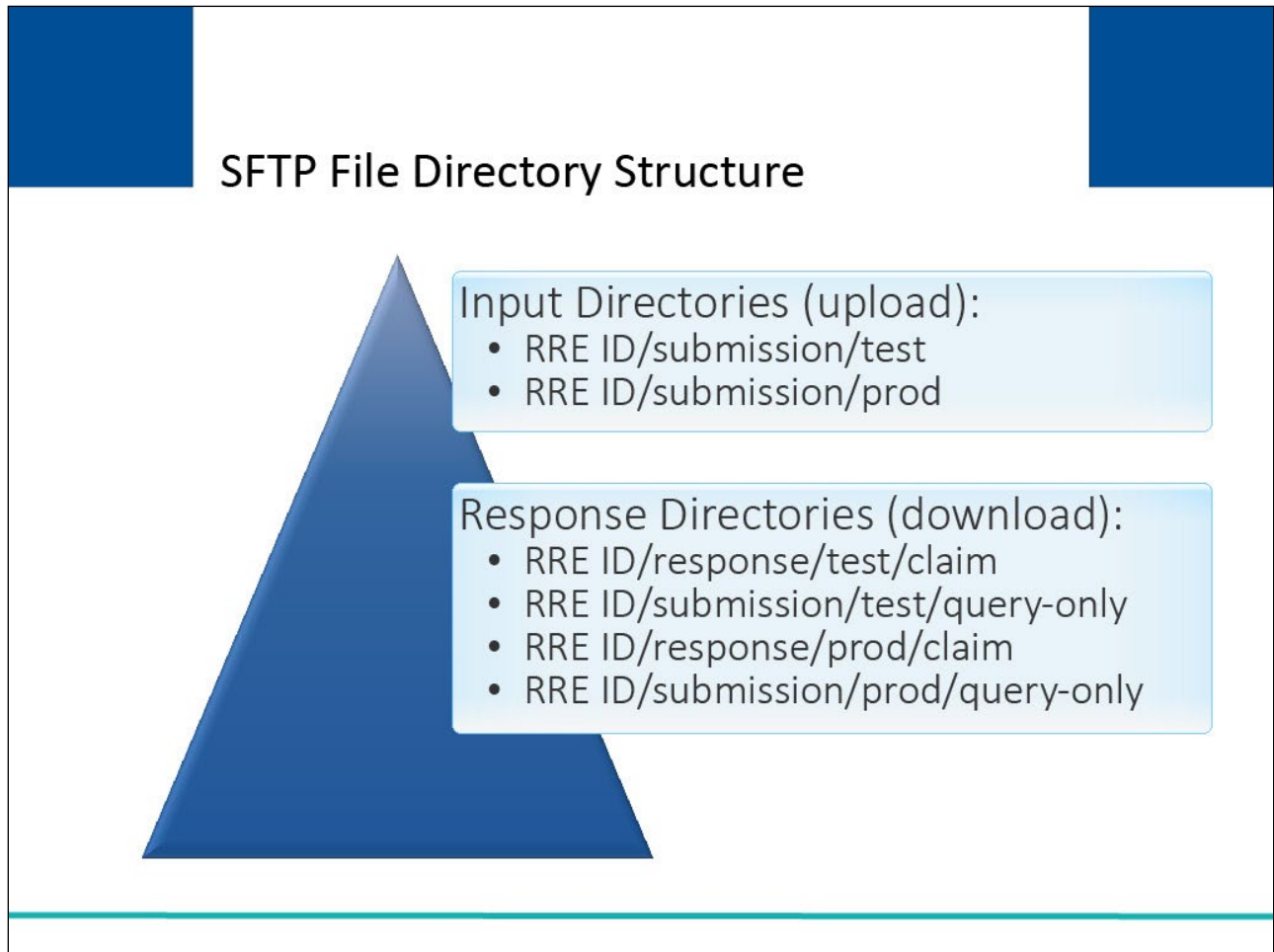
Subdirectory names are in lower case. Separate directories are set up for each RRE ID.

RREs choosing to transmit files via SFTP will receive a test submission mailbox/directory separate from their production submission mailbox/directory on the Section 111 SFTP server.

Subdirectories are set up for test input, production input, test response files, and production response files.

The mailboxes are automatically created when your Account Manager selects SFTP as the file transmission method during the Section 111 COBSW Account Setup.

These are the directories to which you will send files for upload and from which you will pull files for download.

Slide 11 of 25 - SFTP File Directory Structure**Slide notes**

SFTP directory names will be arranged by RRE ID as pictured on the slide. The prod directory is where production files will be located.

Slide 12 of 25 - SFTP File Directory Structure

SFTP File Directory Structure

- RRE ID
 - Submission
 - Test
 - Prod
 - Response
 - Test
 - Claim
 - Query-only
 - Prod
 - Claim
 - Query-only
- Note: TIN Reference Response Files are placed in the “claim” folders

Slide notes

In summary, the SFTP file directory is structured as:

RRE ID

submission

test

prod

response

test

claim

query-only

prod

claim

query-only

Note: TIN Reference Response Files are placed in the “claim” folders.

Slide 13 of 25 - Navigating to an RRE ID Directory

Navigating to an RRE ID Directory

- Connect to Section 111 SFTP server
 - Host name: sftp.section111.cms.hhs.gov
 - Port number: 10022
- Provide credentials (Login ID and Password)
 - If Login ID is associated with multiple RRE IDs, you will see all directories for each RRE ID associated with Login ID
- Navigate (change directories)
 - Submission directory to upload files
 - Response directory to download files

Slide notes

To navigate to an RRE ID directory, you must first connect to the Section 111 SFTP server.

Using your SFTP client or other software (e.g., command line interface), you will sign on to the Section 111 SFTP server using the host name (sftp.section111.cms.hhs.gov) and port number 10022.

You will then provide your credentials (Section 111 COBSW Login ID and Password).

If your Login ID is associated with more than one RRE ID, you will be presented with the directories for each RRE ID to which the Login ID is associated on the Section 111 COBSW.

Navigate (change directories) to the RRE ID for which you will be uploading or downloading. If your Login ID is only associated with one RRE ID, skip this step.

Within the RRE ID directory, you will find submission and response directories. Navigate (change directories) to the submission directory to upload input files or the response directory to download response files.

Slide 14 of 25 - Uploading Files

Uploading Files

- Navigate to submission directory
- Navigate to test or production directory as applicable
- Upload file
 - Submission directory to upload files
 - File type is determined from file contents and directory

**Slide notes**

To upload a file, you must first navigate to the submission directory. Once there, you must navigate to either the test or production directory as applicable to the file you are uploading.

Once you have navigated to the correct directory, proceed to upload your file.

There is no specific file naming convention needed. The BCRC will determine the file type from the file contents and the test/prod directory to which it's uploaded.

Slide 15 of 25 - Uploaded Files

Uploaded Files

- Not accessible after submission
- Cannot be deleted
- If uploaded in error, EDI Representative should be contacted

**Slide notes**

Once a file has been successfully uploaded to the Section 111 SFTP server, it is not accessible. If a file is uploaded in error, the RRE does not have the ability to delete it.

They must contact their EDI Representative for assistance.

Slide 16 of 25 - Response Files

Response Files

- System sends email when file has been processed
- Available for 60 days
- May be downloaded more than once
- Cannot be deleted by RRE
- Removed by the BCRC after 60 days

Slide notes

When the file has been processed and the response file is ready for download, the system will send an email to the Account Manager assigned to the RRE ID.

SFTP response files will remain available for download for 60 days. There is no limit to the number of times a file can be downloaded in that time.

The RRE or its agent is responsible for downloading the response files from the Section 111 SFTP server. The RRE cannot delete response files from the Section 111 SFTP server.

The BCRC will automatically remove these files after 60 days.

Slide 17 of 25 - Response Files - How to Download

Response Files - How to Download

The BCRC places response files on the SFTP server

Navigate to response directory

- Navigate to test or prod directory as applicable

Navigate to applicable subdirectory (claim or query-only) for response file you wish to download

- Download response file

Slide notes

The BCRC will place response files in the appropriate directory on the SFTP server. To download a file, you must first navigate to the response directory.

Once there, you must navigate to either the test or prod directory as applicable to the file you wish to download.

After selecting the test or prod directory, you will be presented with the response file directories (claim and query-only).

Navigate to the applicable subdirectory for the response file you wish to download. Once you have navigated to the correct directory, proceed to download the response file.

Slide 18 of 25 - Response Files Naming Conventions

Response Files Naming Conventions

Node	Description
1 st	Production Files: Always use PCOB
	Test Files: Always use TCOB
2 nd	BA
3 rd	MR
4 th	Claim Input File: NGHPCLM
	TIN Reference Response File: NGHPTIN
	Query Input File: NGHPQRY
5 th	RESP
6 th	Date: Dccyymmdd
7 th	Time: Thhmm#####
8 th	TXT

Example: PCOB.BA.MR.NGHPCLM.RESP.Dccyymmdd.Thhmm#####.TXT

Slide notes

The BCRC will name response files according to the following convention and place them in the corresponding subdirectories for download by the RRE or its agent.

The first node is a fixed four-position name which will always be PCOB for production files and TCOB for test files.

The second node is a fixed two-position name which will always be BA.

The third node is a fixed two-position name which will always be MR.

The fourth node represents the file type. If you are receiving the Claim Response File this would be NGHPCLM. If you are receiving the TIN Reference Response File this would be NGHPTIN.

If you are receiving the Query Response File this would be NGHPQRY.

The fifth node is a fixed four-position name which will always be RESP.

The sixth node is for the date, the letter D followed by a date as century/year/month/day.

The seventh node is for the time, the letter T followed by a time as hours/minutes/and a number from 0000 to 9999.

The eighth node is a fixed three-position name which will always be TXT.

For example: PCOB.BA.MR.NGHPCLM.RESP.Dccyymmdd.Thhmm####.TXT

Fields within the records are length delimited and all records are fixed length.

Slide 19 of 25 - Response Files - Date and Timestamp

Response Files - Date and Timestamp

Response files contain a date and timestamp which can be used to automate download process

- Pull files subsequent to a certain date parameter or
- Only pull new response files

**Slide notes**

The response file naming convention contains a date and timestamp. The date and timestamp are generated by the BCRC when it creates the response file.

If you are automating your SFTP, you may wish to set up your software to pull response files subsequent to a certain date parameter or do a comparison of the files present in the directory to the files you previously downloaded so that you can only pull (download) new response files added by the BCRC since your last access.

Slide 20 of 25 - Monitor File Processing

Monitor File Processing

- Account Managers and Account Designees can monitor results of file processing on Section 111 COBSW
- File processing results will not post until after the BCRC runs their batch cycle

**Slide notes**

As test and production files are received and processed by the BCRC, file information is saved and stored on a database.

While the BCRC presents this information on the Section 111 COBSW, it is the RRE's responsibility to maintain this information.

By logging into the Section 111 COBSW, Account Managers and Account Designees may review this information to see what files were submitted and processed, the number of records accepted and rejected, and whether the testing requirements have been fulfilled.

Please note, you will not see the results of file processing until after the BCRC runs their batch cycle and posts the results to the Section 111 COBSW.

Slide 21 of 25- Monitor File Processing

Monitor File Processing

- File processing statuses and processing results displayed on File Listing and File Detail Pages
 - Receipt and Process Dates
 - File Status
 - File record counts
 - Records received
 - Records matched to Medicare beneficiaries
 - Records in error
 - Compliance flags
- Information remains on Section 111 COBSW for a one-year period

Slide notes

File processing statuses and processing results for submitted Section 111 files will be displayed on the Section 111 COBSW on the File Listing and File Detail pages for the RRE ID.

Users associated with the RRE ID will be able to see the following information:

Date the file was received and processed by the BCRC,

File status, and

Record counts for each completed file, such as:

the number of records received, including counts for adds, updates and deletes:

the number of records that were matched to a Medicare beneficiary:

the number of records in error: and

a count of compliance flags posted by the BCRC.

Historical information on files submitted and processed remains on the Section 111 COBSW for a one-year period.

Slide 22 of 25 - Monitor File Processing

Monitor File Processing	
Status codes track file as it processes through the system	
Received	File received but the BCRC processing not started
Severe Error	File rejected, contact EDI Representative
In Process	The BCRC currently processing the file
Threshold Error	File suspended for a threshold check, contact EDI Representative
On Hold	If not early submission, contact EDI Representative
Completed	Processing complete, response file available
Deleted	File deleted, contact EDI Representative to resubmit

Slide notes

Status codes are used to track the file as it processes through the system. The statuses you will see on the Section 111 COBSW related to a particular file are as follows:

Received - File received but the BCRC processing not started.

Severe Error - File rejected. Contact your EDI Representative.

In Process - The BCRC is currently processing the file.

Threshold Error - File suspended for a threshold check. Contact your EDI Representative.

On hold - If not due to early submission, contact your EDI Representative.

Completed - Processing complete. Response file available.

Deleted - File deleted by your EDI Representative. Contact your EDI Representative to determine when to resubmit.

For more information on file processing results, refer to the Section 111 COBSW User Guide and the following CBTs: COBSW Monitor Test File Processing and COBSW Monitor File Processing.

The Section 111 COBSW User Guide is available for download after logging in at the following link:
<https://www.cob.cms.hhs.gov/Section111>.

Slide 23 of 25- Course Summary

Course Summary

- Section 111 COBSW
- Transmit files using SFTP
- Monitor file processing results

**Slide notes**

This course provided a high-level overview on the Section 111 Coordination of Benefits Secure Website (COBSW) and included a discussion on the procedures an RRE (or their agent) would follow to transmit files using SFTP for Section 111.

SFTP is one of the recommended choices of file transmission for Section 111 for those RREs who expect to be transmitting files with more than 24,000 records in one file submission on a regular basis.

Slide 24 of 25 - Conclusion

You have completed the SFTP File Transmission for Section 111 presentation. Information in this course can be referenced by using the NGHP User Guide's table of contents and any subsequent alerts. These documents are available for download at the following link:
<http://go.cms.gov/mirnghp>.

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Slide 25 of 25 - NGHP Training Survey



The slide features a dark blue background. In the top left corner is the CMS logo (Centers for Medicare & Medicaid Services). In the top right corner is the COB&R logo (Coordination of Benefits and Recovery). The main text in the center reads: "If you have any questions or feedback on this material, please go the following URL: <https://www.surveymonkey.com/s/NGHPTraining>."

Slide notes

If you have any questions or feedback on this material, please go the following URL:
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