



Alabama Medicaid Agency



AMMIS Interface Standards Document

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**Alabama Medicaid Agency
501 Dexter Avenue
Montgomery, Alabama 36104**

**Gainwell Technologies
301 Technacenter Drive
Montgomery, Alabama 36117**

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1. Document Control

The latest version of this document is stored electronically. Any printed copy has to be considered an uncontrolled copy.

1.1 Document Information Page

| Required Information | Definition |
|----------------------|---|
| Document Title | AMMIS Interface Standards Document |
| Version: | 2.1 |
| Location: | https://pwb.alix.slg.eds.com/alix/QA/Developer%20Processes/ |
| Owner: | Gainwell Technologies |

1.2 Amendment History

The following Amendment History log contains a record of changes made to this document:

| Date | Document Version | Author | Reason for the Change | Changes (Section, Page(s) and Text Revised) |
|------------|------------------|--------------------------|--|---|
| 05/13/2010 | 1.1 | Jennifer Sluis | Changed EDS and Electronic Data Systems to HP Enterprise Services Added descriptions of extract files and removed file layouts. | Global |
| 06/18/2012 | 1.2 | Lamar Smith / John Evans | Updated per 2010 ITB Requirement 3.01.043. | Global |
| 10/3/2012 | 1.3 | Jennifer Sluis | Added new files for Recipient subsystem | Section 5 |
| 5/8/2014 | 1.4 | John Evans | Added file hyperlinks | Section 5 |
| 5/12/2017 | 1.5 | Melanie Haygood | Global updates to add procesisng for Safe Harbor. Updated HP to DXC. | Section 2 and Section 3 |
| 4/6/2018 | 1.6 | John Evans | 2018 QA Audit. | Section 2.1: Replaced the website links for the Alabama Medicaid Companion Guides (HIPAA and NCPDP). Section 3.1: Added clarification for the "Site To Site VPN Technical Specifications" document. It's also referred to as the "VPN Subscriber Agreement for Alabama" and can be found in Section 3.2. Section 3.2: Replaced the website link for the Alabama Medicaid HIPAA Companion Guide. |

| Date | Document Version | Author | Reason for the Change | Changes (Section, Page(s) and Text Revised) |
|------------|------------------|-----------------|---------------------------------|---|
| | | | | <p>Section 3.2: Replaced the VPN Subscriber Agreement with an updated version.</p> <p>Section 3.2: Replaced the AMMIS VAN Interface Specifications document with an updated version.</p> <p>Section 3.2: Added a DXC Header to the NCPDP Interactive Activity Volumes .pdf.</p> <p>Section 3.3 Converted VAN documents from DXC to Gainwell</p> <p>Section 4.1: Embedded SFTP Request document replaced with a website link.</p> <p>Section 4.4: Added to document the steps taken to terminate file transmits.</p> |
| 10/06/2020 | 2.0 | Melanie Haygood | Updated per 2020 RFB | <p>Section 2: Updated RFB reference</p> <p>Updated Medicaid website link references</p> |
| 06/07/2023 | 2.1 | Laura Powell | Updated browser recommendations | Section 2.1: Updated browser from MS Explorer to Edge. |

1.3 Related documentation

| Document | Description | url |
|--------------------------------|---|---|
| Alabama Glossary and Acronyms | Provides a listing of commonly used terms and acronyms, including those used within this document, related to Alabama projects. | https://pwb.alix.slg.eds.com/alix/Click on Alabama Glossary and Acronyms under Quick Access to Featured Links. |
| HIPAA Companion Guide for 5010 | Provided information such as registration, testing, support and specific transaction requirements to electronic data interchange (EDI) trading partners that exchange X12 information with the Alabama Medicaid Agency. | https://medicaid.alabama.gov/content/7.0_Providers/7.9_Vendor_Guides.aspx |

2. Introduction

Per RFB Requirement GEN.045: The Vendor shall identify a single point of contact for all external interfaces. This point of contact shall provide prior to the start of operations written procedures on the initial set-up of interfaces, modifications to interfaces and termination of interfaces. The written procedures must contain any forms required by the vendor and identify all information that must be supplied with a timeline defined for each step. The Alabama MMIS Interface List is located in the Procurement Library. Some interfaces may be defined in the requirements for the subsystems.

An outside entity (Contractor), or a provider vendor, referred to as a Value Added Network (VAN), may require access to the Alabama Medicaid Computer Network. When approved by the Alabama Medicaid Agency, this connection would allow access to some or all of the following services:

- Alabama Medicaid Management System (AMMIS)
- Decision Support System (DSS)
- Feith Document Database (FDD)
- Interactive Eligibility through ACA Safe Harbor
- Interactive Pharmacy Transaction Processing

The methods described herein are the preferred methods and file layouts of Gainwell and approved by the Alabama Medicaid Agency.

2.1 Services

AMMIS and FDD information is viewed and/or updated through a thin client interface displayed in a browser window. AMMIS is compatible with Microsoft's Edge browser.

FDD is compatible with Microsoft's Edge browser.

DSS has both a thin client and a fat client interface. The Contractor should discuss with the DSS team to determine which interface is best suited for the Contractor's business requirements.

Interactive Eligibility is done through the real time exchange of HIPPA compliant, X12 formatted 270/271 files. Alabama Medicaid Companion Guides are available on the Alabama Medicaid website at:

https://medicaid.alabama.gov/content/7.0_Providers/7.9_Vendor_Guides.aspx

Interactive Pharmacy Transaction Processing is done through the real time exchange of NCPDP version D.0 files. Alabama Medicaid Companion Guides are available on the Alabama Medicaid website at:

https://medicaid.alabama.gov/content/7.0_Providers/7.9_Vendor_Guides.aspx

Connectivity to any of these services is at the approval of the Alabama Medicaid Agency. Access for NCPDP processing is available through a site to site Virtual Private Network (VPN) tunnel. Access for Eligibility processing is available through URL access over the public internet. See Section 3 for detailed information.

For further assistance: Electronic Media Clams (EMC) Help Desk contact names, numbers and call center availability is located on the Alabama Medicaid website at:

https://medicaid.alabama.gov/content/10.0_Contact/10.3_Provider_Contacts.aspx

2.2 File Exchange Method

The method for file exchange is Secure File Transfer Protocol (SFTP). SFTP is an encrypted method of file exchange. See Section 4 for detailed information concerning SFTP with Alabama Medicaid.

2.3 File Layout

Common files available for exchange via SFTP are in the subsystem areas of Recipient, Provider, and Claims. Section 5 of this document provides details concerning the file layouts for these areas.

3. Network Access

Access to the Alabama Medicaid Computer Network is provided through a site to site VPN tunnel. The data center housing the Alabama Medicaid Computer Network contains redundant public Internet Service Providers (ISPs) and redundant VPN hardware to provide high reliability. Traffic is exchanged through the site to site VPN tunnel using the Triple Data Encryption Algorithm (3DES) process of encryption. The Agency Contractor or VAN is required to provide a suitably sized ISP and VPN hardware to support the contractor's network.

3.1 Agency Contractors

At the request of the Alabama Medicaid Agency, Gainwell will establish the VPN tunnel with an Agency Contractor. The Contractor will need to complete the Site To Site VPN Technical Specifications document furnished by Gainwell (also known as a "VPN Subscriber Agreement for Alabama". See Section 3.2 for access to the document) to provide the necessary technical information for the establishment of the tunnel. Using the information from this document, Gainwell will provide to the contractor an encryption key and IP addresses for the necessary environments. For security purposes the encryption key is provided via a telephone call directly with the Contractor and Gainwell.

Gainwell will bill the Alabama Medicaid Agency for setup fees and quarterly charges for the Contractor's VPN tunnel. It is at the State of Alabama's prerogative how these costs are to be recovered from the Contractor. The Alabama Medicaid Agency should contact the Gainwell Electronic Data Interface (EDI) coordinator to begin this process.

3.2 Eligibility Interactive Transactions

Eligibility interactive transactions are now performed with the ACA Safe Harbor connection, as defined by CAQH Core, using specific URLs, as defined in Connectivity section of the Alabama Medicaid Companion Guides found on the Alabama Medicaid website at:

<https://www.medicaid.alabamaservices.org/documentation/HIPAA%20Companion%20Guide.pdf>

3.3 Value Added Network (VAN)

A Value Added Network is a company providing services to Alabama Medicaid providers through interactive eligibility through ACA Safe Harbor, interactive pharmacy transactions, or both of these interactive services. Two types of connections are available based on the transaction submission type. Pharmacy (NCPDP format) interactive transactions are performed on a real-time basis across a site to site VPN tunnel. Gainwell assigns one unique port number to each VAN for pharmacy connectivity.

Upon request, Gainwell will provide the VAN with the following documents.

1. **Vendor Trading Partner Agreement** - found at https://medicaid.alabama.gov/content/7.0_Providers/7.9_Vendor_Guides.aspx
2. **VPN Subscriber Agreement for Alabama (for Pharmacy processing only)** – found at https://pwb.alxix.slg.eds.com/alxix/Subsystem/utlils/FolderAndSubList_reverse_sort.asp?Folder=../EDI/Trading_Partner_ID_Request

3. **Gainwell Connection Setup for VAN** – found at https://pwb.alxix.slg.eds.com/alxix/Subsystem/utills/FolderAndSubList_reverse_sort.asp?Folder=../EDI/Trading Partner ID Request

4. **NCPDP Interactive Activity Volumes for Alabama Medicaid (for Pharmacy processing only)** – found at https://pwb.alxix.slg.eds.com/alxix/Subsystem/utills/FolderAndSubList_reverse_sort.asp?Folder=../EDI/Trading Partner ID Request

Using the information from this document, Gainwell will provide to the VAN an encryption key, trading partner ID, and IP addresses for the necessary environments. For security purposes the encryption key is provided via a telephone call directly with the Contractor and Gainwell. For Pharmacy processing the setup fee and quarterly charges for the VPN tunnel are detailed in the Gainwell VPN Billing Agreement. Gainwell bills the VAN directly.

3.4 Initial Setup of VAN

The Alabama Medicaid Agency or the VAN should contact the Gainwell EDI team to begin this process. The requestor would need to submit the four forms listed in section 3.2.

3.5 Procedures and Timing

| Step | Procedure | Timing |
|------|---|-------------------------------------|
| 1 | Requesting VAN submits all documents to EMC. EMC will distribute the forms to appropriate Gainwell parties. | At the discretion of the submitter. |
| 2 | Vendor Trading Partner Agreement is sent to Agency Fiscal Agent for approval routing. | At the discretion of the Agency |
| 3 | For Pharmacy processing - Upon receipt of the Agency approved Vendor Trading Partner Agreement, a request by EMC is made of the EDI subsystem team to assign appropriate ports for the VAN. For Eligibility processing – Upon receipt of the Agency approved Vendor Trading Partner Agreement, the VAN will be notified of trading partner and URL links so they can perform testing in the UAT environment using the Safe Harbor URL. | 2 business days |
| 4 | For Pharmacy processing - The VAN Interface Specification document is updated with the necessary IP addresses and ports, then submitted in a ODC Request Ticket to add the necessary routes and permissions for access. | 1 business day |
| 5 | For Pharmacy processing - Gainwell ODC Network staff completes request, contacts requestor directly with encryption keys and requests confirmation from requestor of a success connection. | 5 business days |

| Step | Procedure | Timing |
|------|--|---|
| 6 | For Pharmacy Processing - VAN verifies port connection and sends transactions in the TEST environment to verify submission and response. For Eligibility Processing – VAN sends test transactions using the Safe Harbor TEST URL. | At the discretion of the submitter, but highly recommended. |
| 6 | For Pharmacy Processing – VAN completes testing and may begin submitting transitions using the production environment. For Eligibility Processing – VAN completes testing and may begin submitting transactions using the Safe Harbor production URL. | At the discretion of the submitter. |
| 7 | For Pharmacy processing - ODC Request ticket is closed | 1 business day |

3.6 Modifications of VPN

Modifications to an existing VPN connection may be made by the VAN submitting only the Site To Site VPN Technical Specifications (ODC4_B2BVPN_specs) to the EDI coordinator with a written request to change their VPN connection to match the attached specifications. Steps 3 through 7 will apply from Section 3.4.

3.7 Termination of VPN

Termination of an existing VPN connection may occur due to the written request of the VAN, the Agency, or Gainwell in accordance with the terms of the VPN Subscriber Agreement for Alabama. Steps 4 and 5 of the chart in Section 3.4 would apply. In cases of an emergency termination, the request may be escalated.

4. File Exchange

Agency Contractors wishing to exchange files with Alabama Medicaid may do so using a SSH File Transfer Protocol (SFTP) method only. No other FTP process is allowed. SFTP is an encrypted, point to point transfer methodology.

It is preferred to push outbound files from Alabama Medicaid to the Contractors SFTP server and to receive inbound files as a push from the Contractor to the Alabama Medicaid SFTP server. An inbound folder will be dedicated to receiving the files from the Contractor.

At the request of the Agency, Gainwell will establish and exchange SFTP encryption keys and folder information with the Contractor. The Agency should contact the Gainwell EDI Coordinator to begin this process.

4.1 Initial Set-up of SFTP

The Alabama Medicaid Agency or the Agency Contractor should provide the SFTP Request form to the business analyst or developer assigned to the change order associated with the SFTP requirement:

<https://pwb.alix.slg.eds.com/alix/Subsystem/System%20Wide/SFTP/SFTP%20Security%20Request%20Form.doc>

4.2 Procedures and Timing

| Step | Procedure | Timing |
|------|---|-------------------------------------|
| 1 | Requesting contractor submits request to Gainwell staff assigned to relevant change order. | At the discretion of the submitter. |
| 2 | Gainwell staff member submits a Service Desk ticket with SFTP request attached. | 2 business days |
| 3 | SFTP access and folders are established. Username and password is provided back to Gainwell staff member who made request. | 3 business days |
| 4 | Gainwell staff member communicates username and password to requesting contractor and request confirmation of successful connection | 1 business day |
| 5 | Requesting contractor confirm success connection | At the discretion of the submitter. |

4.3 Modifications to SFTP connection

Modifications to an existing SFTP connection may be made by the Agency or the contractor submitting a SFTP request form to the Gainwell staff member associated with the relevant change order. See section 4.2 for the procedures and timing of a modification request.

4.4 Termination of SFTP

Termination of an existing SFTP connection may occur at the written request of the Agency contractor or the Agency.

| Step | Procedure |
|------|--|
| 1 | We receive a CSR from the Agency that the entity is no longer needed (or no longer the right vender). |
| 2 | Change Order(s) (COs) are written to stop sending file(s) to the entity. |
| 3 | The CO(s) is assigned and as part of construction control files and/or programs are suspended and removed to stop sending files to the entity. |
| 4 | The developer (SE) working the CO sends notice (usually email, could be a ticket) to the System Administrator (SA) and Solution Architect that this entity should be removed. The notice will include the ID(s) to be removed. |
| 5 | The SA removes the ID(s) and access from that entity. |

In cases of an emergency termination, the request maybe escalated. Gainwell may also terminate a SFTP connection with any outside source deemed to pose a risk to the Alabama Medicaid environments. Notification would be provided to the Agency immediately upon such action being taken.

5. File Extracts

At the request and authorization of the Medicaid Agency, Gainwell will provide data extracts to Contractors. The following is a partial list and description of readily available extracts.

- **Daily Recipient Extract File**: This file is produced on Agency business days (generally Monday through Friday of each week, excluding State holidays.) This file contains updates that were made since the last daily extract for data including long term care, EPSDT and Managed Care enrollments.
- **Bi-Monthly or Monthly Recipient Cross Reference File**: This file is produced after each financial cycle as well as after the monthly bit cycle. It contains a cross reference of Medicaid Recipient IDs, allowing the receiving entity to take any recipient ID and identify the current, active ID.
- **Monthly Recipient Reconciliation Extract File**: This file is produced monthly, following the State's monthly eligibility updates. This file contains all data that has its source in the State's AMAES system. This includes eligibility, patient liability, retroactive eligibility as well as demographic information.
- **Monthly Eligibility Extract File**: This file is produced monthly and contains aid category and county and date periods for all active (unlinked) recipients from 10/1/2008 forward.
- **Monthly Managed Care, Long Term Care, and Waiver Data Extract File**: This file is produced monthly and contains data for all active (unlinked) recipients from 10/1/2008 forward for Managed Care, Long Term Care, Waiver, Lockin Physician and Lockin Pharmacy data.
- **Monthly Application Data Extract**: This file contains application status and dates for all active (unlinked) recipients.
- **Monthly Provider Extract File**: This file is produced following each financial cycle and contains provider enrollment information, including NPI and Medicaid Provider IDs.
- **Biweekly Claims Extract**: These files are available after each financial cycle. Each file contains the claims of a given form type (professional, institutional, dental, pharmacy). There is a single layout for all of the claims extract formats, with a number of optional fields for each. These files are provided in an XML format.

The file layouts for these extracts are available upon request.