

# Accountable Entities

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*For Rhode Island Executive Office of Health  
and Human Services*

*July 24, 2019*

**gainwell**

# Statement of Confidentiality

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## Revision History

<b>Version</b>	<b>Date</b>	<b>Sections Revised</b>	<b>Reason for Revision</b>
1.0	September 2021	All Sections	Name Change
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# Introduction

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This document describes the Accountable Entity Attribution files specification which will be delivered by the Health Plans to Gainwell Technologies and the Response files that will be delivered from Gainwell Technologies to EOHHS.

This work is required for Gainwell Technologies to load the data to the Rhode Island Human Services Data Warehouse (HSDW). The current participating Health Plans are as follows: Neighborhood Health Plan of Rhode Island (NHPRI), United HealthCare (UHC) and Tufts Health Plan (THP).

Housing this data in the HSDW will enable the Executive Office of Health and Human Services (EOHHS) to perform analysis and monitor recipient eligibility for services.

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# Technical Requirements

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## General

This document contains the Accountable Entity Attribution file technical requirements that are to be built by the health plans and delivered to Gainwell Technologies. While these requirements are the same for each health plan, information specific to a health plan, such as SFTP folder structure, have been placed in health plan specific appendix documents.

## Intake Files

### Description

Each Health Plan will deliver an attribution extract file, Intake Data File, with an associated attribution extract control file, Intake Control File, to Gainwell Technologies on a monthly basis.

### Attribution Extract File

The attribution extract file will only contain individuals with active eligibility during the previous month.

The attribution extract file will contain one record per individual enrolled. The exception to this is if an individual changes programs during the month under the same Health Plan. If these changes occur, the attribution extract file will contain multiple records for a single individual.

### Attribution Extract Control File

Each attribution extract file will be accompanied by an attribution extract control file, used by Gainwell Technologies for auditing. The control file will contain one record that holds the number of records in the attribution extract file.

### File Delivery

#### Location:

Each health plan will deliver files to Gainwell Technologies using the Gainwell Technologies SFTP server. Each health plan will have their own id to connect to the SFTP server which Gainwell Technologies will set up. There will be folders within the Id with sub-folders using the following rules

There will be a sub-folder level for ACCOUNTABLE\_ENTITY in case the health plan is using the id to share files with Gainwell Technologies for other systems/processes.

There will be a sub-folder level for production vs. test. This gives the health plan and Gainwell Technologies the ability to share files under test without conflicting with production files in progress.

There will be a sub-folder level for sending vs. receiving files. The health plan will place files being delivered to Gainwell Technologies in the TO sub-folder. If there is a need for Gainwell Technologies to deliver files to the health plan, they will be placed in the FROM sub-folder.

See the health plan specific appendix for the actual folder structure.

### **Schedule:**

Each health plan will deliver the attribution extract files according to an agreed upon schedule each month.

See the health plan specific appendix for the actual schedule.

### **File Naming Convention**

The files delivered by the health plans will use the following file naming conventions.

#### **Attribution Extract File**

The attribution extract file will use the format: AEPopulationExtract\_YYYY-MM\_HHH.txt where YYYY-MM is the month and year of the enrollment month on the records contained in the file and HHH is the identifier of the health plan. See health plan specific appendix for examples.

#### **Attribution Extract Control File**

The attribution extract control file will use the format: AEPopulationExtractControlFile\_YYYY-MM\_HHH.txt where YYYY-MM is the month and year of the enrollment month on the records contained in the file and HHH is the identifier of the health plan. See health plan specific appendix for examples.

### **File Format and Layout**

#### **File Format**

The files delivered by the health plans will use the following formatting:

- Files will be delimited text files
- The field delimiter will be a vertical pipe (|)
- If a field is empty (null), it will show as two field delimiters in a row within the file
- Only significant characters are needed. Trailing spaces to match the length of a field are not necessary.
- Specific field formatting, such as date fields, are noted in the file layouts

- The first record in each file will contain the field names of that file

**Attribution Extract File Layout**

Data files from each Health Plan will follow the layout in the table below.

**Intake File Layout received by Gainwell Technologies**

Field Name	Type	Example
MID	STRING(10)	1234567890
SSN	STRING (9)	555555555
LAST_NAME	STRING (25)	SMITH
FIRST_NAME	STRING (25)	JOHN
DATE_OF_BIRTH	STRING (8)	YYYYMMDD
GENDER_CODE	STRING (1)	M or F
ENROLLMENT_MONTH	STRING (6)	YYYYMM
PROVIDER_NAME	STRING (50)	DOUGLAS
PROVIDER_NPI	STRING (10)	1649388612
MANAGED_CARE_ORGANIZATION	STRING (5)	NHPRI, UHC, THP
LINE_OF_BUSINESS	STRING (9)	RITECARE, RHE, etc.
AE_UID	STRING (15)	Integra, PCHC, etc.
TYPE_2_IND	STRING(1)	Y or blank

**Attribution Extract Control File Layout**

Field Name	Type	Example
AE_COUNT	NUMBER(10)	1234567890

**File/Record/Field Requirements**

1. If the number of records in the Attribution Extract file (not including the first record of field names) does not equal the record count in the Population Extract Control file then the whole file will be rejected
2. If the Medicaid Id (MID) is blank then the record will get rejected and not loaded to the HSDW
3. If there are multiple records from a single health plan with the same MID, Line of Business (LINE\_OF\_BUSINESS), and Enrollment Month (ENROLLMENT\_MONTH) then the records will get rejected and not loaded to the HSDW
4. Updates to previously processed and loaded records will not be accepted. If a record already exists in the HSDW then the record will be rejected. The health plan (MANAGED\_CARE\_ORGANIZATION), Medicaid Id, Line of Business, and Enrollment Month are used to determine if the record has already been loaded.

# Response Files

## Description

Gainwell Technologies will create an attribution extract response file for each health plan submitted attribution extract file, Intake Data File, as well as an associated attribution extract response control file. The response files will be delivered to EOHHS on a monthly basis.

### Attribution Response File

The attribution response file will only contain records from the Intake Data File that are marked with a reason code during processing.

Reason Codes and Reasons:

**00 – “Rejected Record / Record Not Loaded”** (MID is invalid. It is either null or has an incorrect format)

**01 – “Recipient Not Found / Record Loaded & Flagged”** (The MID is valid but has no active eligibility in MMIS)

**02 – “No Matching Health Plan / Line of Business”** (The MID is valid but the MMIS eligibility does not match the health plan or line of business. Record Loaded & Flagged)

**03 – “Duplicate Records for the same MID / Record Not Loaded”** (Multiple records within the same submitted file are duplicate based on MID, Line of Business and Enrollment Month)

**04 – “Record already exists / Record not loaded”** (Record already exists in HSDW for the same Health Plan, MID, Line of Business, Enrollment Month)

### Attribution Response Control File

Each attribution response file will be accompanied by an attribution response control file, used for auditing. The control file will contain one record that holds the number of records in the attribution response file.

## File Delivery

### Location:

Gainwell Technologies will deliver response files to EOHHS using the Gainwell Technologies SFTP server. EOHHS will use their own id to connect to the SFTP server which Gainwell Technologies will set up. There will be folders within the Id with sub-folders using the following rules:

There will be a sub-folder level for ACCOUNTABLE\_ENTITY in case EOHHS is using the id to share files with Gainwell Technologies for other systems/processes.



There will be a sub-folder level for production vs. test. This gives the health plan and Gainwell Technologies the ability to share files under test without conflicting with production files in progress.

### Structure

- /EOHHS\_Analytics/Prod/ACCOUNTABLE\_ENTITY  
This folder is for sharing files between EOHHS and Gainwell Technologies
- /EOHHS\_Analytics/Test/ACCOUNTABLE\_ENTITY  
This folder is for sharing files between EOHHS and Gainwell Technologies

### Schedule:

Gainwell Technologies will deliver the attribution response files within 24 hours of receiving and processing health plan specific attribution extract files, according to an agreed upon schedule each month.

See the health plan specific appendix for the actual schedule.

### File Naming Convention

The response files delivered to EOHHS will use the following file naming conventions.

### Attribution Response File

The attribution response file will use the format: *HHH\_ae\_response\_yyyymmdd\_hhmiss.txt* where *yyymmdd\_hhmiss* is the date and time the response file was created and *HHH* is the identifier of the health plan. See health plan specific appendix for examples.

### Attribution Response Control File

The attribution extract control file will use the format: *HHH\_ae\_response\_ctrl\_yyyymmdd\_hhmiss.txt* where *yyymmdd\_hhmiss* is the date and time the response file was created and *HHH* is the identifier of the health plan. See health plan specific appendix for examples.

### File Format and Layout

#### File Format

The response files created by Gainwell Technologies will use the following formatting:

- Files will be delimited text files
- The field delimiter will be a vertical pipe (|)
- If a field is empty (null), it will show as two field delimiters in a row within the file

- Only significant characters are needed.
- Specific field formatting, such as date fields, are noted in the file layouts
- The first record in each file will contain the field names of that file

**Attribution Response File Layout**

Data files from each Health Plan will follow the layout in the table below.

**Response File Layout**

Field Name	Type	Example
MID	NUMBER(10)	1234567890
ORIGINAL_MID	STRING(10)	1234567890
SSN	STRING(9)	555555555
LAST_NAME	STRING(15)	SMITH
FIRST_NAME	STRING(15)	JOHN
DATE_OF_BIRTH	STRING(8)	YYYYMMDD
GENDER_CODE	STRING(1)	M or F
AE_ENROLLMENT_MONTH	STRING(8)	YYYYMMDD
PROVIDER_NAME	STRING(15)	DOUGLAS
PROVIDER_NPI	STRING(10)	1649388612
MANAGED_CARE_ORGANIZATION	STRING(5)	NHPRI, UHC, THP
LINE_OF_BUSINESS	STRING(9)	RITECARE, RHP, RHE
AE_UID	STRING(15)	Integra, PCHC, etc.
TYPE_2_IND	STRING(1)	Y or N
RESPONSE_CODE	STRING(2)	00, 01, 02, 03, 04
REASON	STRING(60)	<p><b>00 – “Rejected Record / Record Not Loaded”</b> (MID is invalid. It is either null or has an incorrect format)</p> <p><b>01 – “Recipient Not Found / Record Loaded &amp; Flagged”</b> (The MID is valid but has no active eligibility in MMIS)</p> <p><b>02 – “No Matching Health Plan / Line of Business”</b> (The MID is valid but the MMIS eligibility does not match the health plan or line of business / Record Loaded &amp; Flagged)</p> <p><b>03 – “Duplicate Records for the same MID / Record Not Loaded”</b> (Multiple records within the same submitted file are duplicate based on MID, Line of Business and Enrollment)</p>

		Month) <b>04 – “Record already exists / Record not loaded”</b> (Record already exists in HSDW for the same Health Plan, MID, Line of Business, Enrollment Month)
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**Attribution Extract Control File Layout**

Field Name	Type	Example
AE_RESPONSE_COUNT	NUMBER(10)	1234567890

**File/Record/Field Requirements**

1. Records from the Attribution Extract file that are marked with a response code ('00', '01', '02', '03', '04') during processing will be written to the response file

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