

Accountable Entities

*For Rhode Island Executive Office of Health and
Human Services
September 26, 2019*



DRAFT - Final Documents to be provided to awarded Contractor

Statement of Confidentiality

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Revision History

Version	Date	Sections Revised	Reason for Revision
1.0	September 2017	All Sections	Name Change
1.1	September 2019	All Sections	Name Change
1.2	September 2021	All Sections	Name Change
2.0	September 2021	All Sections	Name Change

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Introduction

This document describes both the Accountable Entity Provider Roster files specifications to be delivered by the health plans to Gainwell Technologies and the response files delivered from 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 provider roster information.

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Technical Requirements

General

This document contains the Accountable Entity Provider Roster 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 a Provider Roster file with an associated Provider Roster Control file to Gainwell Technologies on a monthly basis.

Provider Roster File

The Provider Roster file will only contain providers that were active during the previous month.

The Provider Roster file will contain one record per provider.

Provider Roster Control File

Each Provider Roster file will be accompanied by a Provider Roster Control file, used by Gainwell Technologies for auditing. The control file will contain one record that holds the number of records in the Provider Roster file.

File Delivery

Location:

Each health plan will deliver files to Gainwell Technologies using the Gainwell technologies SFTP server. Each health plan will have its own id to connect to the SFTP server. Gainwell Technologies will set up the id. 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.

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. The location for the Provider Roster files is the same place that the attribution extract files are placed.

Schedule:

Each health plan will deliver the Provider Roster files each month according to an agreed upon schedule. This schedule will be the same as the Attribution Extract files.

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.

Provider Roster File

The Provider Roster file will use the format: AEProviderRoster_YYYY-MM_HHH.txt where YYYY-MM is the month and year of the report month on the records contained in the file and HHH is the identifier of the health plan. See health plan specific appendix for examples.

Provider Roster Control File

The Provider Roster Control file will use the format: AEProviderRosterControlFile_YYYY-MM_HHH.txt where YYYY-MM is the month and year of the report 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

Provider Roster File Layout

Data files from each health plan will follow the layout in the table below.

Layout for Intake File Received by Gainwell Technologies

Field Name	Type	Example
PROVIDER_NPI	STRING(10)	0987654321
PROVIDER_ID_KEY	STRING(10)	*Population optional
PRACTICE_TIN	STRING(10)	#Tax ID Number#
PROVIDER_TAXONOMY	STRING(10)	XXXXXXXXXX
PCP_IND	STRING(1)	Y/N
PROVIDER_NAME	STRING(50)	DOE
SUBMITTING_PLAN_ID	STRING(5)	NHPRI, UHC, THP
AE_UID	STRING(15)	Integra, PCHC, etc.
REPORT_MONTH	STRING(6)	YYYYMM

Provider Roster Control File Layout

Field Name	Type	Example
AE_COUNT	NUMBER(10)	1234567890

File/Record/Field Requirements

1. If the number of records in the Provider Roster file (not including the first record of field names) does not equal the record count in the Provider Roster Control file, the whole file will be rejected.
2. If there are multiple records from a single health plan with the same Provider NPI, Practice Tax Id Number, Provider Taxonomy and Accountable Entity Id, the first record encountered will be identified and loaded to the HSDW. The rest of the duplicate records will get rejected and will not be loaded to the HSDW.
3. If there are multiple records from a single health plan with the same Provider NPI, Practice Tax Id Number and Provider Taxonomy but with different Accountable Entity Id's, the records will be identified and loaded to the HSDW.
4. Updates to previously processed and loaded records will not be accepted. If a record already exists in the HSDW, the record will be rejected. The Submitting Plan Id, Provider NPI, Practice Tax Id Number, Provider Taxonomy, Accountable Entity Id, and Report Month are used to determine if the record has already been loaded.
5. If the Taxonomy contains more than 10 characters, the record will be rejected.

Response Files

Description

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

Provider Roster Response File

The Provider Roster Response file will only contain records from the Intake Data file that are marked with a reason code during processing.

Reason Codes and Reasons:

- 01** – “Duplicate Record with different AE Id / Record Not Loaded” (Multiple records within the same submitted file are duplicate based on Provider NPI, Practice Tax Id Number, and Provider Taxonomy with different Accountable Entity Ids)
- 02** – “Duplicate Record with same AE Id / Record Loaded” (Multiple records within the same submitted file are duplicate based on Provider NPI, Practice Tax Id Number, Provider Taxonomy, and Accountable Entity Id. The first record encountered as a duplicate)
- 03** – “Duplicate Record with same AE Id / Record Not Loaded” (Multiple records within the same submitted file are duplicate based on Provider NPI, Practice Tax Id Number, Provider Taxonomy, and Accountable Entity Id. The subsequent records encountered as a duplicate)
- 04** – “Record already exists / Record not loaded” (The record on the Intake Data file already exists on the HSDW table)
- 05** – “Invalid Taxonomy/Record not Loaded” (The record contains a Taxonomy that has more than 10 characters)

Provider Roster Response Control File

Each Provider Roster Response file will be accompanied by a Provider Roster Response Control file, used for auditing. The control file will contain one record that holds the number of records in the Provider Roster Response file.

File Delivery

Location:

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

There will be a folder level for production vs. test. This gives the EOHHS and Gainwell Technologies the ability to share files under test without conflicting with production files.

There will be a sub-folder level for ACCOUNTABLE_ENTITY.

Schedule:

Gainwell Technologies will deliver the Provider Roster Response files within 24 hours of receiving and processing health plan specific Provider Roster files, according to an agreed upon schedule each month. See the health plan specific appendix for the actual schedule.

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File Naming Convention

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

Provider Roster Response File

The Provider Roster Response file will use the format:

HHH_ae_provider_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.

Provider Roster Response Control File

The Provider Roster Response Control file will use the format:

HHH_ae_provider_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

Provider Roster Response File Layout

Data files from each health plan will follow the layout in the table below.

Layout for Response File

Field Name	Type	Example
PROVIDER_NPI	STRING(10)	0987654321
PROVIDER_ID_KEY	STRING(10)	*Population optional
PRACTICE_TIN	STRING(10)	#Tax ID Number#
PROVIDER_TAXONOMY	STRING(10)	XXXXXXXXXX
PCP_IND	STRING(1)	Y/N
PROVIDER_NAME	STRING(50)	DOE
SUBMITTING_PLAN_ID	STRING(5)	MHPRI, UHC, THP
AE_UID	STRING(15)	Integra, PCHC, etc.
REPORT_MONTH	STRING(8)	YYYYMMDD
RESPONSE_CODE	STRING(2)	01
REASON	STRING(60)	01 Duplicate Record with different AE Id / Record Not Loaded 02 Duplicate Record with same AE Id / Record Loaded 03 Duplicate Record with same AE Id / Record Not Loaded 04 Record already exists / Record not loaded 05 Invalid Taxonomy/Record not Loaded

Provider Roster Response Control File Layout

Field Name	Type	Example
AE_RESPONSE_COUNT	NUMBER(10)	1234567890

File/Record/Field Requirements

- Records from the Provider Roster file that are marked with a response code ('01', '02', '03', '04', '05') during processing will be written to the response file