



# CTMMIS SAFE HARBOR

Connecticut Medical Assistance Program

5010 Companion Guide

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## Companion Guide Amendment History

The following log provides a history of changes that have been made to the Companion Guide.

Version	Version Date	Reason for Revision	Section	Page(s)
1.0	11/1/2014	Initial Release	All	All
1.1	12/3/2015	HP to Hewlett Packard Enterprise updates	All	All
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1.3	10/1/2018	Update to reflect DXC Technology address change	All	All
1.4	11/1/2020	DXC Technology to Gainwell Technologies Updates	All	All

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# 1 Introduction

Section 1104 of the Patient Protection and Affordable Care Act (ACA) establishes new requirements for administrative transactions that will improve the utility of the existing Health Insurance Portability and Accountability Act (HIPAA) transactions and reduce administrative costs.

## 1.1 Overview

ACA Section 1104 requires the Secretary of the Department of Health and Human Services (HHS) to adopt and regularly update standards, implementation specifications, and operating rules for the electronic exchange and use of health information for the purposes of financial and administrative transactions.

In compliance with this requirement, Health and Human Services (HHS) designated the Council for Affordable Quality Healthcare, Inc. (CAQH) Committee on Operating Rules for Information Exchange (CORE) to be the authoring entity for the required rules. The CAQH CORE Operating Rules defined a Connectivity/Security Rule, which is a safe harbor that required the use of the HTTP/S transport protocol over the public Internet. Since the CORE Phase I Connectivity Rule is a safe harbor, CORE certified entities are required to support the adopted CORE Phase I Connectivity method at a minimum.

## 1.2 References

CAQH CORE Operating Rules:

[http://www.caqh.org/ORMandate\\_index.php](http://www.caqh.org/ORMandate_index.php)

Phase II CORE 270: Connectivity Rule Version 2.2.0:

<http://www.caqh.org/pdf/CLEAN5010/270-v5010.pdf>

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## 2 Getting Started

This section contains payer-specific business rules and limitations for the Connecticut Medicaid Management Information System (CTMMIS) Safe Harbor connection. Users of the CTMMIS Safe Harbor connection must be registered as Electronic Data InterChange (EDI) Trading Partners with the Connecticut Medical Assistance Program. A Trading Partner is defined as a Billing Agent, a Health Care Clearinghouse or a Provider who transmits any health information in electronic form in connection with a transaction covered by 45 C.F.R. Parts 160 and 162 (“Trading Partner”). To register as a Trading Partner, the user must first complete a Trading Partner Agreement and then create a Trading Partner Secure Web account. Those steps are defined below.

### 2.1 Trading Partner Registration

To register as a Trading Partner with the Connecticut Medical Assistance Program, a Trading Partner Agreement must be completed and approved. The Trading Partner Agreement may be completed on-line via the Connecticut Medical Assistance Program Web site: [www.ctdssmap.com](http://www.ctdssmap.com) by selecting Trading Partner – Trading Partner Enrollment/Profile.

If there are questions regarding the Trading Partner Agreement, please contact our EDI Support Department at 1-800-688-0503 or email your inquiries to [CTEDISupport@dxc.com](mailto:CTEDISupport@dxc.com).

### 2.2 Acquire CT Medicaid Secure Web Portal Access

Once the Trading Partner Agreement has been approved, the Trading Partner will receive two letters. The first letter that the Trading Partner will receive will contain an initial ID to establish a Secure Web account. The second letter will contain a temporary PIN to also be used in establishing that Secure Web account. Detailed instructions for setting up this Secure Web account are included on the letters. All submitters wishing to submit transactions via the CTMMIS Safe Harbor connection to Connecticut Medical Assistance Program must create this Trading Partner Secure Web account for the Secure Web Portal. Please note that this Secure Web account differs from a Provider Secure Web account.

**Note:** Transactions submitted to the CTMMIS Safe Harbor connection using a Provider Secure Web Account will not be processed.

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# 3 Connection Details

## 3.1 Connecticut Medicaid Supported Transactions

CTMMIS supports batch and real time HIPAA X12 transactions over the CTMMIS Safe Harbor connection. The following transactions are supported on the CTMMIS Safe Harbor connection.

- Implementation Acknowledgement For Health Care Insurance (999)
- Health Care Eligibility Benefit Inquiry and Response (270/271)
- Health Care Claim Status Request and Response (276/277)
- Interchange Acknowledgement (TA1)
- Health Care Claim Payment/Advice (835)

Additional transactions will become available over the CTMMIS Safe Harbor connection based on the implementation schedule of the CAQH CORE Operating Rules.

## 3.2 Control Segments and Metadata Elements Definitions

The CTMMIS ASC X12 interchange rules and limitations will be unchanged from the legacy submission methods for all transactions supported over the CTMMIS Safe Harbor connection. Refer to the specific transaction’s Companion Guide for details about functional group formatting.

CAQH CORE Operating Rule 270 specifies the data elements which should be present in the CORE envelope. The following are payer-specific requirements for the envelope metadata elements.

<b>Element</b>	<b>Value</b>
Sender ID	Trading Partner ID as supplied by Connecticut Medicaid
Receiver ID	'445498161' – Connecticut Medicaid Trading Partner ID
User Name	CT Trading Partner Secure Web Portal user name
Password	CT Trading Partner Secure Web Portal password
Payload ID	Payload ID (UUID) must be unique, except when used for retrieval of batch results, for each batch submission or real time transaction. Payload ID values must be re-used for batch results retrieval. Refer to section 4 of this guide for more information.

### **3.3 Rules of Behavior**

CTMMIS Safe Harbor users must not send executable (.exe), portable document format (.pdf), or any other file type which is not a text document. Users must not deliberately submit batch files that contain viruses.

### **3.4 Connection Limitations**

A single Trading Partner may send up to 60 transactions per minute via CTMMIS Safe Harbor batch or interactive methods. Batch files should contain no more than 5000 transactions per file.

If a higher transaction volume is needed, please contact our EDI Support Department at 1-800-688-0503 or email your inquiries to [CTEDISupport@dxc.com](mailto:CTEDISupport@dxc.com).

### **3.5 System Availability**

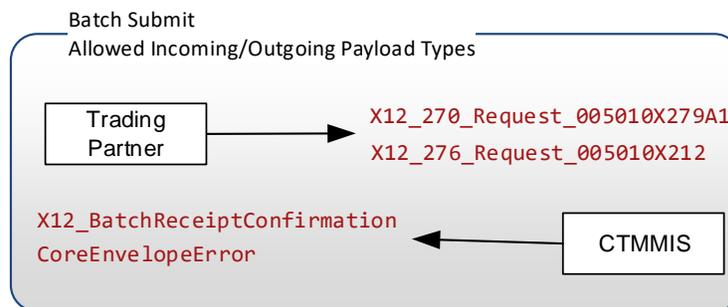
The CTMMIS Safe Harbor connection will be available 24 hours a day, 7 days a week outside of the regularly scheduled system maintenance windows, and unless there are unforeseen technical difficulties. Batch acknowledgement and response files will be available for retrieval via CTMMIS Safe Harbor for 60 days. If a batch file is needed after 60 days, please contact our EDI Support Department at 1-800-688-0503 or email your inquiries to [CTEDISupport@dxc.com](mailto:CTEDISupport@dxc.com).

System Availability Schedules may be viewed Connecticut Medicaid Web site: [www.ctdssmap.com](http://www.ctdssmap.com) – [Provider – Provider Services – Schedules – POS/AEVS System Availability Schedule](#).

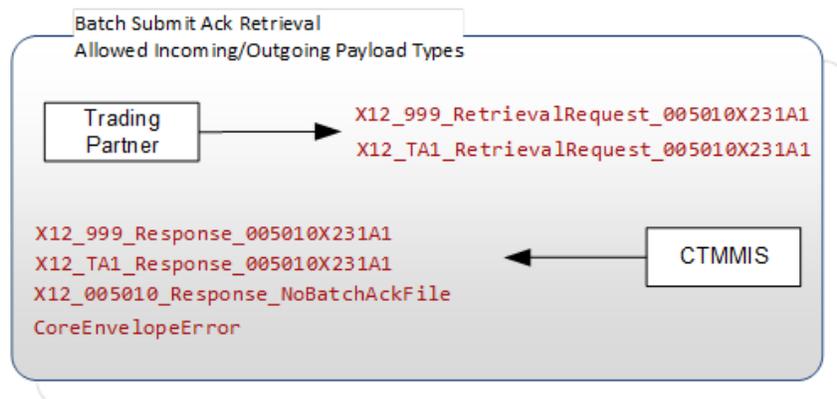
## 4 Batch Submission and Retrieval

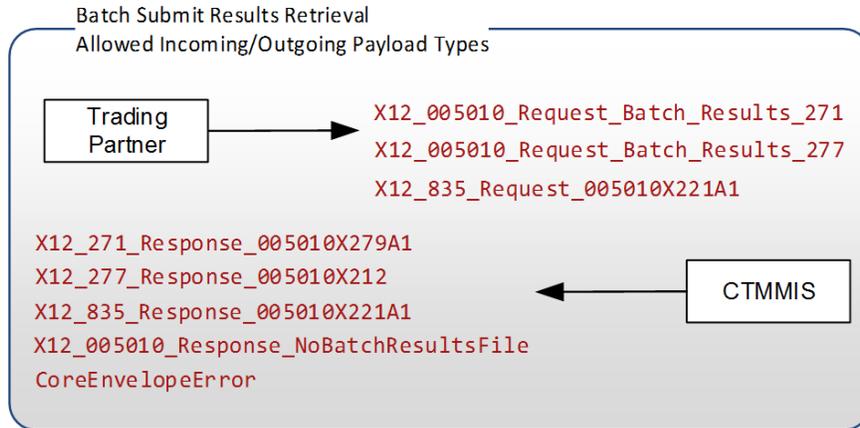
CAQH CORE described a specific set of web services which can be used over the CTMMIS Safe Harbor connection. The *BatchSubmitTransaction* operation will allow Trading Partners to submit a single batch file through CTMMIS Safe Harbor for processing. CTMMIS will respond with a message indicating whether the submission was received successfully or encountered an error using the same operation.

Note that the response from CTMMIS to a *BatchSubmitTransaction* request is not an ASC X12 acknowledgement transaction, such as 999 or TA1. Acknowledgement transactions can be retrieved by the Trading Partner using the *BatchSubmitAckRetrievalTransaction* operation described below.



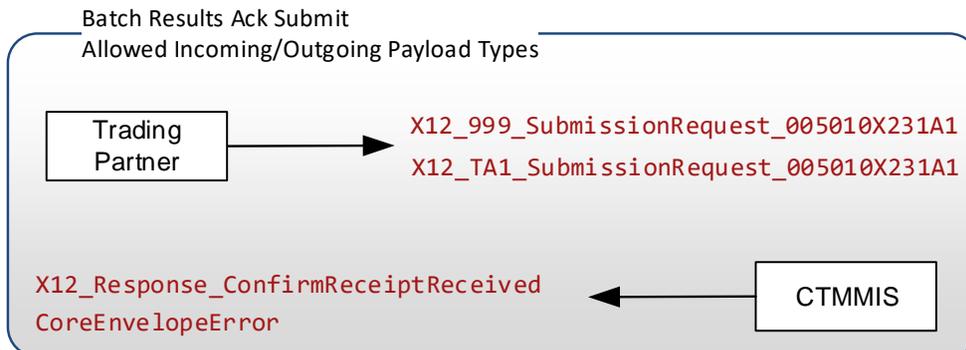
The *BatchSubmitAckRetrievalTransaction* and *BatchResultsRetrievalTransaction* operations can be used to retrieve a specific acknowledgement or response file by using the Payload ID of the originally submitted batch file. The original transaction's Payload ID should appear as the Payload ID on the request transaction. CTMMIS will respond with the specified file in the Payload if an acknowledgement or batch response file can be found with that Payload ID. Otherwise, the response from CTMMIS will have the Payload Type *X12\_005010\_Response\_NoBatchAckFile* or *X12\_005010\_Response\_NoBatchResultsFile*.





If the Payload ID of the original transaction is not known, or if the Trading Partner is attempting to retrieve an unsolicited transaction such as the Health Care Claim Payment/Advice (835), then Trading Partners can use the Generic Batch Retrieval services to see a list of available files. Generic Batch Retrieval is described in Sections 4.1.3 and 4.2.3 of this guide.

The *BatchResultsAckSubmit* operation can be used to submit an ASC X12 Implementation Acknowledgement (999) or an ASC X12 Interchange Acknowledgement (TA1) for receipt of the batch response file. CTMMIS will respond with a message indicating whether the submission was accepted or encountered an error.



## 4.1 Specifications for SOAP+WSDL

The following is the URL for batch CTMMIS Safe Harbor connection using SOAP+WSDL:

### Production SOAP Batch:

<https://ediservices.ctdssmap.com/PROD/CoreSoapServices/CoreBatch.svc>

### 4.1.1 Sample Envelope for Batch Submission using SOAP+WSDL

```
<COREEnvelopeBatchSubmission
xmlns="http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.xsd">
  <PayloadType>X12_270_Request_005010X279A1</PayloadType>
  <ProcessingMode>Batch</ProcessingMode>
  <PayloadID>8ee353df-2bef-484b-a896-442be4f5b91b</PayloadID>
  <PayloadLength>533</PayloadLength>
  <TimeStamp>2014-05-15T18:42:30Z</TimeStamp>
  <SenderID>209000000</SenderID>
  <ReceiverID>445498161</ReceiverID>
  <CORERuleVersion>2.2.0</CORERuleVersion>
  <Checksum>229147227BFFF64DF9500096AA9CE58DE0A7CD8B</Checksum>
  <Payload>SVNBKjAwKiAg...</Payload>
</COREEnvelopeBatchSubmission>
```

Note: On submission, payload must be sent as an MTOM encapsulated MIME part.

## 4.1.2 Sample Envelope for Batch Results Retrieval using SOAP+WSDL

```
<COREEnvelopeBatchResultsRetrievalRequest
xmlns="http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.xsd">
  <PayloadType>X12_005010_Request_Batch_Results_271</PayloadType>
  <ProcessingMode>Batch</ProcessingMode>
  <PayloadID>8ee353df-2bef-484b-a896-442be4f5b91b</PayloadID>
  <TimeStamp>2014-05-15T18:49:24Z</TimeStamp>
  <SenderID>209000000</SenderID>
  <ReceiverID>445498161</ReceiverID>
  <CORERuleVersion>2.2.0</CORERuleVersion>
  <Checksum>F6E8D7F0EA3B376DC57E222702B9F5DDB51713E7</Checksum>
</COREEnvelopeBatchResultsRetrievalRequest>
```

Note: The Payload ID of this transaction matches the Payload ID of the submitted file in Section 4.1.1. This is a demonstration of the CTMMIS method for linking CTMMIS Safe Harbor batch transactions by Payload ID.

### 4.1.3 Generic Batch Retrieval using SOAP+WSDL

The *GenericBatchRetrievalTransaction* operation will retrieve a list of Payload IDs for all available batch files for the specified Payload Type and Sender ID. Trading Partners can use this operation to identify the Payload ID for a desired file, and then use the *BatchSubmitAckRetrievalTransaction* or *BatchResultsRetrievalTransaction* operations to retrieve the specified file using that Payload ID. Note that Trading Partners will need to utilize this process to identify the Payload ID of an 835 Claim Payment/Advice transaction.

The response payload to a Generic Batch Retrieval request will have the following format:

```
<FileList>
  <File>
    <PayloadType>X12_999_Response_005010X231A1</PayloadType>
    <ResultTimestamp>2014-05-15T18:49:24Z</ResultTimestamp>
    <PayloadID>b4bf62da-e1fa-4571-a1c6-aca887a54aeb</PayloadID>
  </File>
  <File>
    <PayloadType>X12_999_Response_005010X231A1</PayloadType>
    <ResultTimestamp>2014-05-15T18:49:24Z</ResultTimestamp>
    <PayloadID>e70eeaf5-32b7-4a70-a21e-cd1d0701a291</PayloadID>
  </File>
</FileList>
```

A file will no longer appear on the Generic Batch Retrieval list after the transaction has been explicitly retrieved by the Trading Partner.

## 4.2 Specifications for HTTP MIME Multipart

The following is the URL for batch CTMMIS Safe Harbor connection using HTTP MIME Multipart:

### Production MIME Multipart:

<https://ediservices.ctdssmap.com/PROD/CoreMIMEServices/CoreTransactions.aspx>

### 4.2.1 Sample Envelope for Batch Submission using HTTP MIME Multipart

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="SenderID"

209000000

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="Password"

SamplePassword123

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="ProcessingMode"

Batch

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="ReceiverID"

445498161

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="CORERuleVersion"

2.2.0

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="TimeStamp"

2013-05-23T14:28:29Z

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="PayloadID"

**03171c34-bab8-4a17-8e1b-03ccd74a3090**

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="UserName"

T209000000

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="PayloadType"

X12\_270\_Request\_005010X279A1

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="Payload";

filename="test270\_5010\_request.txt"

Content-Type: text/plain

ISA\*00\*                   \*00\*                   \*ZZ\*...

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve--

## 4.2.2 Sample Envelope for Batch Results Retrieval using HTTP MIME Multipart

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="SenderID"

209000000

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="Password"

SamplePassword123

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="ProcessingMode"

Batch

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="ReceiverID"

445498161

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="CORERuleVersion"

2.2.0

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="TimeStamp"

2013-05-25T19:13:58Z

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="PayloadID"

**03171c34-bab8-4a17-8e1b-03ccd74a3090**

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="UserName"

T209000000

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve

Content-Disposition: form-data; name="PayloadType"

X12\_005010\_Request\_Batch\_Results\_271

-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve--

Note: The Payload ID of this transaction matches the Payload ID of the submitted file in Section 4.2.1. This is a demonstration of the CTMMIS method for linking CTMMIS Safe Harbor batch transactions by Payload ID.

### 4.2.3 Generic Batch Retrieval using HTTP MIME Multipart

As described in Section 4.1.3, the SOAP+WSDL method specifically calls the *GenericBatchRetrievalTransaction* operation in order to retrieve a list of available files for a specified Payload Type and Sender ID. In order to invoke the same functionality using HTTP MIME Multipart, the Trading Partner must enter the term "FILELIST" in the Payload field of the request. Note that Trading Partners will need to utilize this process to identify the Payload ID of an 835 Claim Payment/Advice transaction.

The following is an abbreviated example of Generic Batch Retrieval using HTTP MIME Multipart:

...

```
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
```

```
Content-Disposition: form-data; name="PayloadType"
```

```
X12_270_Request_005010X279A1
```

```
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
```

```
Content-Disposition: form-data; name="Payload";
```

```
FILELIST
```

```
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve--
```

The response payload to a Generic Batch Retrieval request will have the following format:

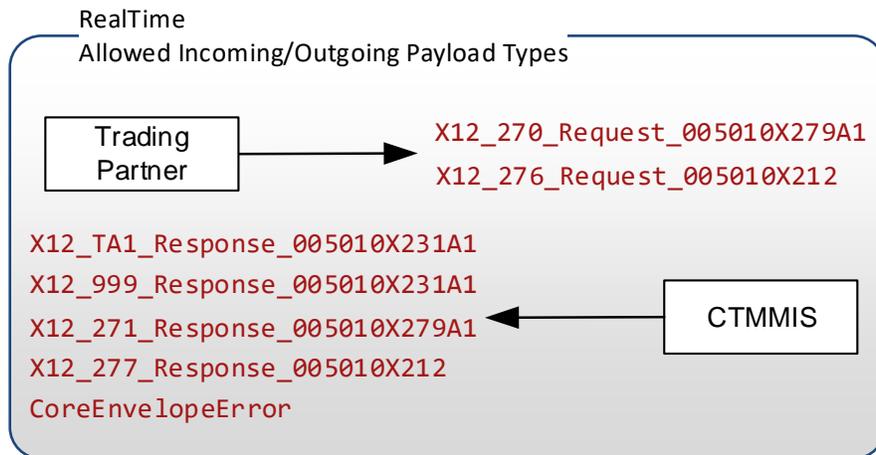
```
<FileList>
  <File>
    <PayloadType>X12_999_Response_005010X231A1</PayloadType>
    <ResultTimestamp>2014-05-15T18:49:24Z</ResultTimestamp>
    <PayloadID>4d594f7a-d694-416a-bad6-5706dc9dc9</PayloadID>
  </File>
  <File>
    <PayloadType>X12_999_Response_005010X231A1</PayloadType>
    <ResultTimestamp>2014-05-15T18:49:24Z</ResultTimestamp>
    <PayloadID>285438f8-fefc-4cbc-b7df-ca7a401b2f48</PayloadID>
  </File>
</FileList>
```

A file will no longer appear on the Generic Batch Retrieval list after the transaction has been explicitly retrieved by the Trading Partner.

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## 5 Real Time Submission

CAQH CORE describes a specific set of web services which can be used over the safe harbor connection. The *RealTimeTransaction* operation will allow Trading Partners to submit individual 270 or 276 requests and receive a direct response to the submission which will be one of the following: CoreEnvelopeError, X12 TA1, X12 999, X12 271 or X12 277.



The following are the URLs for Real Time CTMMIS Safe Harbor connection:

**Production SOAP Real Time:**

<https://ediservices.ctdssmap.com/PROD/CoreSoapServices/CoreRealTime.svc>

**Production MIME Real Time:**

<https://ediservices.ctdssmap.com/PROD/CoreMIMEServices/CoreTransactions.aspx>

## 5.1 Sample Envelope for Real Time Request Using SOAP+WSDL

```
<COREEnvelopeRealTimeRequest
xmlns="http://www.caqh.org/SOAP/WSDL/CORERule2.2.0.xsd
">
  <PayloadType>X12_270_Request_005010X279A1</PayloadType>
  <ProcessingMode>RealTime</ProcessingMode>
  <PayloadID>b220b650-0b00-439d-8b26-4d5b53d5fed7</PayloadID>
  <TimeStamp>2014-05-15T18:49:24Z</TimeStamp>
  <SenderID>209000000</SenderID>
  <ReceiverID>445498161</ReceiverID>
  <CORERuleVersion>2.2.0</CORERuleVersion>
  <Payload>ISA*00*          *00*          *ZZ*... </Payload>
</COREEnvelopeRealTimeRequest>
```

## 5.2 Sample Envelope for Real Time Request using HTTP MIME Multipart

```
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="SenderID"

209000000
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="Password"

SamplePassword123
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="ProcessingMode"

RealTime
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="ReceiverID"

445498161
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="CORERuleVersion"

2.2.0
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="TimeStamp"

2014-02-23T14:28:29Z
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="PayloadID"

e85886b0-5c8e-4701-9ecf-642c3862b013
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="UserName"

T209000000
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="PayloadType"

X12_270_Request_005010X279A1
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve
Content-Disposition: form-data; name="Payload"

ISA*00*          *00*          *ZZ*...
-----1c1sqqxvv2z4w1khvyofix6nzq-1xbrjh7adw5ve--
```

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## 6 Contact Information

### 6.1 EDI Customer Service

For all EDI related inquiries, please contact the EDI Support Department at:

**Phone:** 1-800-688-0503

**Email:** [CTEDISupport@dxc.com](mailto:CTEDISupport@dxc.com)

### 6.2 Provider Service Number

For recipient eligibility information, claim status, billing and payment inquiries, and questions about the Connecticut Medicaid secure Web Portal, including Direct Data Entry (DDE) claims, please contact the Provider Assistance Center at 1-800-842-8440.

### 6.3 Relevant Websites

Connecticut Medicaid (public site) - <https://www.ctdssmap.com/>

Washington Publishing Company - <http://www.wpc-edi.com/>

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