

File Transmission Methods

Slide 1 of 27 - File Transmission Methods

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES

COB&R
Coordination of
Benefits and Recovery

MMSEA Section 111 Group Health Plan

File Transmission Methods

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<https://www.cms.gov/medicare/coordination-benefits-recovery/mandatory-insurer-reporting-group-health-plans>.

Slide notes

Welcome to the File Transmission Methods course.

Slide 2 of 27 - 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 and Medicaid Services (CMS) instructions for the MMSEA Section 111 implementation. All affected entities are responsible for following the instructions found at the following link:

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Slide notes

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All affected entities are responsible for following the instructions found at the following link: [CMS GHP Website](#).

Slide 3 of 27 - Course Overview

Course Overview

- Data Transmission Methods
- Registration Guidelines
- Section 111 COBSW Login ID/Password
- Profile Reports
- Connect:Direct via CMS EFT
- SFTP
- HTTPS

**Slide notes**

The topics in this course include an introduction to the following:

- three data transmission methods,
- Registration Guidelines,
- Login ID and Password for the Section 111 Coordination of Benefits Secure Website (COBSW),
- Profile Reports,
- Connect:Direct via CMS EFT,
- Secure File Transfer Protocol (SFTP), and
- Hypertext Transfer Protocol over Secure Socket Layer (HTTPS).

Slide 4 of 27 - Data Transmission Methods

Data Transmission Methods

The diagram consists of three horizontal bars, each preceded by a downward-pointing arrow. The top bar is green and contains the text 'Connect:Direct via CMS EFT'. The middle bar is blue and contains the text 'SFTP - over the internet to the Section 111 SFTP Server'. The bottom bar is purple and contains the text 'HTTPS - over the internet using the Section 111 COBSW'. Below these bars is a note: '* Choice is dependent on capabilities and volume'.

- Connect:Direct via CMS EFT
- SFTP - over the internet to the Section 111 SFTP Server
- HTTPS - over the internet using the Section 111 COBSW

* Choice is dependent on capabilities and volume

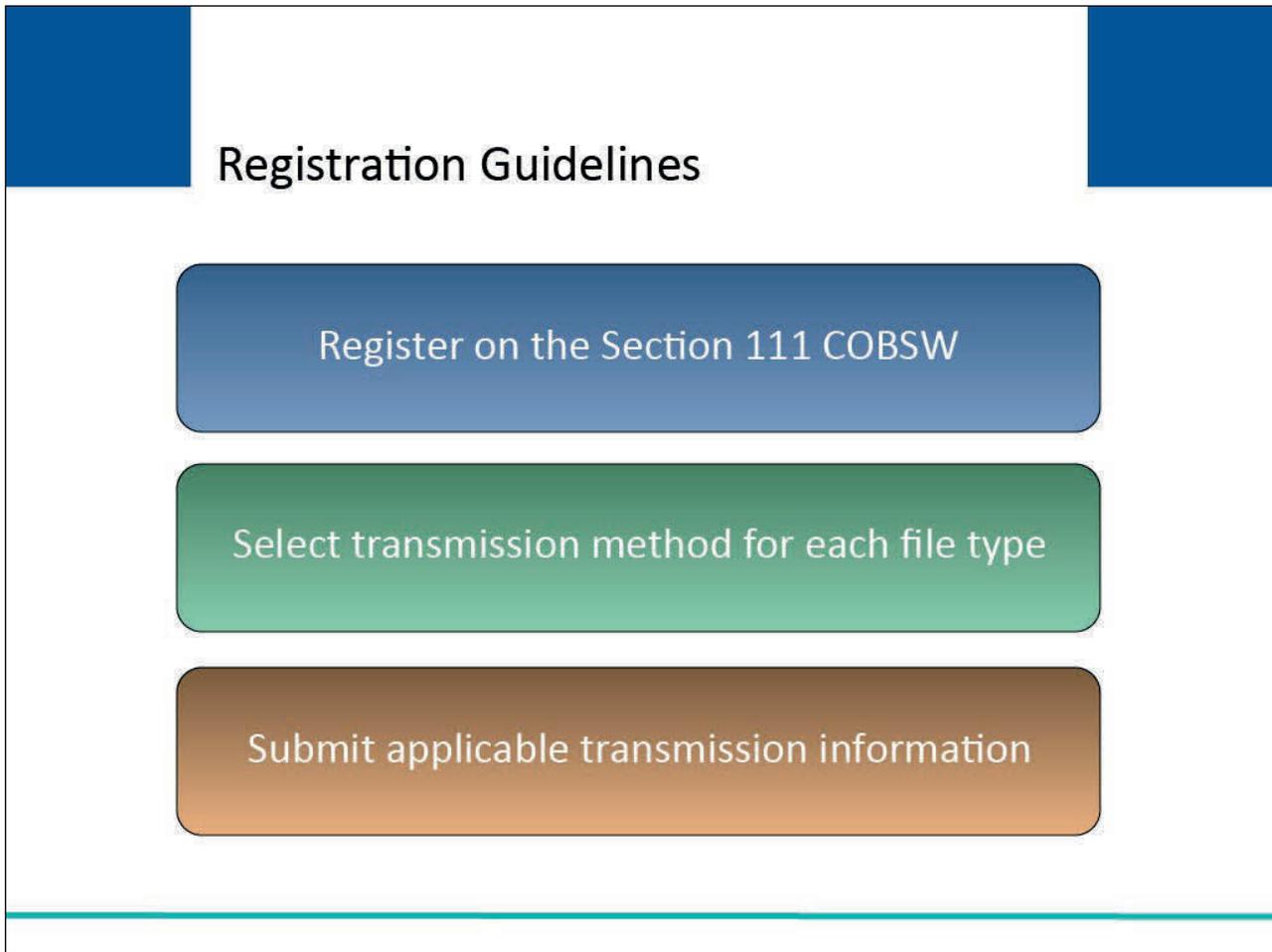
Slide notes

There are three separate methods of data transmission that Section 111 Responsible Reporting Entities (RREs) may utilize.

Connect:Direct via CMS EFT, SFTP over the Internet to the Section 111 SFTP Server, and HTTPS file upload and download over the Internet using the Section 111 COBSW.

Your choice is dependent on your current capabilities and the volume of data to be exchanged. You are responsible for any associated costs related to the data exchange protocol you choose.

Slide 5 of 27 - Registration Guidelines



The slide features a central flowchart with three steps, each in a rounded rectangular box. The first box is blue and contains the text 'Register on the Section 111 COBSW'. The second box is green and contains 'Select transmission method for each file type'. The third box is brown and contains 'Submit applicable transmission information'. The flowchart is set against a white background with blue decorative bars at the top corners and a teal horizontal line at the bottom.

Registration Guidelines

- Register on the Section 111 COBSW
- Select transmission method for each file type
- Submit applicable transmission information

Slide notes

New Section 111 Group Health Plan (GHP) RREs will register on the Section 111 COBSW. As part of your registration and account setup, you will select the file transmission method you will use for each file type (Medicare Secondary Payer (MSP), Non-MSP, and Query Only).

For each file, you may select the same file transmission method or different file transmission methods. For each file transmission method chosen, you will submit the applicable transmission information.

The transmission method you select for each input file will be the same method used to transmit the corresponding response file.

Slide 6 of 28 - Section 111 COBSW Login ID/Password

Section 111 COBSW Login ID/Password

- Login ID/Password
 - Required to transmit files using SFTP and HTTPS
 - Required to monitor file processing on Section 111 COBSW
- Account Manager
 - Obtains Login ID/Password during account set up
 - Can invite users to become Account Designees
- Passwords
 - Must be updated at least once every 60 days
 - BCRC recommends updating Password once/month

Slide notes

A Login ID and Password are required to transmit files for both the SFTP and HTTPS file transmission methods; the same Login ID and Password can be used for both.

A Login ID and Password are also required to view/monitor file processing statistics on the Section 111 COBSW.

Any Login ID/Password assigned to a user of the Section 111 application on the Section 111 COBSW associated with the RRE's account may be used.

The Account Manager obtains a Login ID and Password during account set up.

Once the Account Manager has successfully obtained a Section 111 COBSW Login ID, he/she may log into the application and invite Account Designees to register for Login IDs. Each Account Designee will obtain his own Login ID and Password.

Note: Passwords for the Section 111 COBSW must be updated at least once every 60 days.

The Benefits Coordination & Recovery Center (BCRC) recommends that any user of the Section 111 COBSW (including the RRE's agent) should login to the Section 111 COBSW and perform the Change Password function once a month to avoid Password expiration.

You must sign on to the Section 111 Application on the Section 111 COBSW in order to change your Password. Failure to maintain a current Password will result in an unsuccessful SFTP and HTTPS file transfer.

Slide 7 of 28 - Profile Reports

Profile Reports

Section 111 Mandatory Reporting
Profile Report

Reporter ID: ***** Date: 02/07/2025
Profile Changed: 12/06/2009

EDI Representative: FIRST LAST
Email: EMAIL@DOMAIN.COM Phone: (xxx) xxx-xxxx

Company Information:

TSU: *****
RMC: *****

Name: ***** Phone: (222) 123-1234
Address: *****
***** AL *****

Report Type: NonDWP
Line of Business: Rx Drug Medical Hospital
Use of Claims:

HEA:
ODE:

Authorized Representative:

Name: FIRST LAST Phone: (xxx) xxx-xxxx
Title: Authorized Representative
Address: *****
***** AL *****

Email: EMAIL@DOMAIN.COM

Account Manager/Technical Contact:

Name: FIRST LAST Phone: (xxx) xxx-xxxx
Title: Account Designer
Address: *****
***** AL *****

Email: EMAIL@DOMAIN.COM

Submission Agent (if applicable):

Company:
Name: Phone:
Address:

- Profile reports will be regenerated annually and emailed to the Authorized Representative and Account Manager

- RRE must confirm via email that their current information is correct

- Failure to confirm this information may result in deactivation of the RRE ID

Slide notes

Once your registration has been processed by the BCRC, the person you named as your Authorized Representative during the registration process will receive a profile report via email.

A sample section of a profile report is illustrated on the slide. Your profile report will include all the information you supplied on your registration.

Profile reports are regenerated and emailed to the RRE's Authorized Representative and Account Manager on an annual basis, based upon the receipt date of the last signed profile report.

The RRE will be asked to confirm via email that their current information is correct. Failure to confirm this information may result in deactivation of the RRE ID.

Slide 8 of 28 - Profile Report

Profile Report

- For Connect:Direct via CMS EFT
 - Includes the BCRC destination dataset names and file attributes
- Review for accuracy
- Report any errors to your EDI Representative immediately
- Sign and return this profile report to the BCRC before testing may begin

Slide notes

If you selected Connect:Direct via CMS EFT as your transmission choice, your report will also include the BCRC destination dataset names and file attributes you will need in order to send your files to the proper location for MMSEA Section 111.

It is important for you to review this report for accuracy. If there are any errors on your profile report, contact your Electronic Data Interchange (EDI) Representative immediately.

Your company Authorized Representative must sign and return this profile report to the BCRC before Section 111 testing may begin. Your signature acknowledges that the information included on the profile report is accurate.

Slide 9 of 28 - Connect:Direct via CMS EFT

Connect:Direct via CMS EFT

- Recommended for RREs with a very large transmission volume
 - Transmission sent via a connection to the CMS Extranet Network and CMS; private CMSNet network
- Contact the EDI Department or your EDI Representative for help establishing this connectivity
 - Encouraged to do this as soon as possible
 - Setup can take a significant amount of time

Slide notes

RREs with a very large transmission volume may wish to consider using Connect:Direct via a connection to the CMS Extranet Network and CMS' private CMSNet network hosted by Verizon Business Network Services.

Please contact the EDI Department at (646) 458-6740 or your EDI Representative for information on how to establish this connectivity. You are encouraged to do this as soon as possible since this setup can take a significant amount of time.

There are implementation costs and ongoing charges related to this transmission method.

Slide 10 of 28 - Connect:Direct via CMS EFT Setup

Connect:Direct via CMS EFT Setup

Account Manager must select Connect:Direct via CMS EFT option and provide

- Test and production destination dataset names
- Optional special instructions

If information is not provided, account setup cannot be completed

Slide notes

During Section 111 COBSW account setup, your Account Manager must select the Connect:Direct via CMS EFT option and provide test and production destination dataset names to which you want the BCRC to send your response files; and optional special instructions such as file triggers you want the BCRC to use.

Note: Your Account Manager must have the destination dataset names on hand when completing account setup on the Section 111 COBSW. If this information cannot be provided, the account setup step cannot be completed, other account information entered during the setup will not be saved and your Account Manager will have to perform the account setup from the beginning once they obtain the required information.

You must then contact your EDI Representative to complete the setup. After your registration has been processed and connectivity established, the BCRC will email a profile report to confirm your Section 111 destination dataset names to which you will send your input files.

If you have already registered for Section 111 under another file transmission method and wish to change to Connect:Direct via CMS EFT, contact your EDI Representative.

Slide 11 of 28 - Connect:Direct via CMS EFT Dataset Naming Conventions

Connect:Direct via CMS EFT Dataset Naming Conventions

Node	Description
PCOB	Always use PCOB
BA	Always use BA
FILETYPE	MRMSP, MRNMSP, or MRQRY
RXXXXXXXX	R followed by Section 111 RRE ID

For Example
 RRE ID 000123456
 MSP Input File = PCOB.BA.MRMSP.R0123456(+1)

Slide notes

The naming convention you should follow when sending Connect:Direct via CMS EFT input files is as follows. The first node is a fixed four position name which will always be PCOB. The second node is a fixed two position name which will always be BA.

The third node represents the file type. If you are sending MSP Input or Tax Identification Number (TIN) Reference Files, this node would be MRMSP. If you are sending Non-MSP Files, this node would be MRNMSP. If you are sending Query Only Files, this node would be MRQRY.

The fourth node (RXXXXXXXX) is the RRE ID. It is the letter R followed by the last 7 digits of your RRE ID. Your RRE ID will be assigned to you after registration and will be included on your profile report.

For Example: An MSP Input File dataset name for RRE ID 000123456 would be:
 PCOB.BA.MRMSP.R0123456(+1).

The BCRC will send your response files back using the dataset names you defined on your Connect:Direct via CMS EFT information attachment as part of your registration.

Slide 12 of 28 - SFTP**SFTP**

- May be used to transmit large files
- Requires current Login ID and Password on the Section 111 COBSW
 - Failure to maintain Password will result in failed transfer
- Login ID and Password can be used for multiple submissions
 - One agent can transmit files for all his RRE clients using his one Login ID and Password
- User does not have to be logged on to transfer files

Slide notes

Another method for transmitting large amounts of data is SFTP. SFTP is a standards-based protocol that encrypts both commands and data in order to secure data that is transmitted over the network.

The SFTP method requires a Login ID and Password on the Section 111 COBSW. Failure to maintain a current Password will result in an unsuccessful SFTP file transfer.

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

That agent may use his one Section 111 COBSW Login ID and Password to transmit files for all his RRE clients via SFTP. When transferring files, the user does not have to be logged on.

Slide 13 of 28 - SFTP**SFTP**

- Sterling Connect:Enterprise Secure Client
 - Potential software choice
 - Successfully used by other CMS customers
 - Cost is nominal
- Other software must be SSH v2 capable

Slide notes

A potential software choice for SFTP file transmissions is Sterling Connect:Enterprise Secure Client.

CMS has extensive experience with customers who successfully transfer files via SFTP using this software and the cost for you to acquire it is nominal. However, you may use other software as long as it is SSH v2 capable.

Slide 14 of 28 - SFTP

SFTP

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

Type of Server:	Standard SSH Server
Host IP Address of Server:	sftp.section111.cms.hhs.gov
Port Number of Server:	10022
Section 111 COBSW Login ID and Password	One that was assigned to the RRE's Account Manager or Account Designee

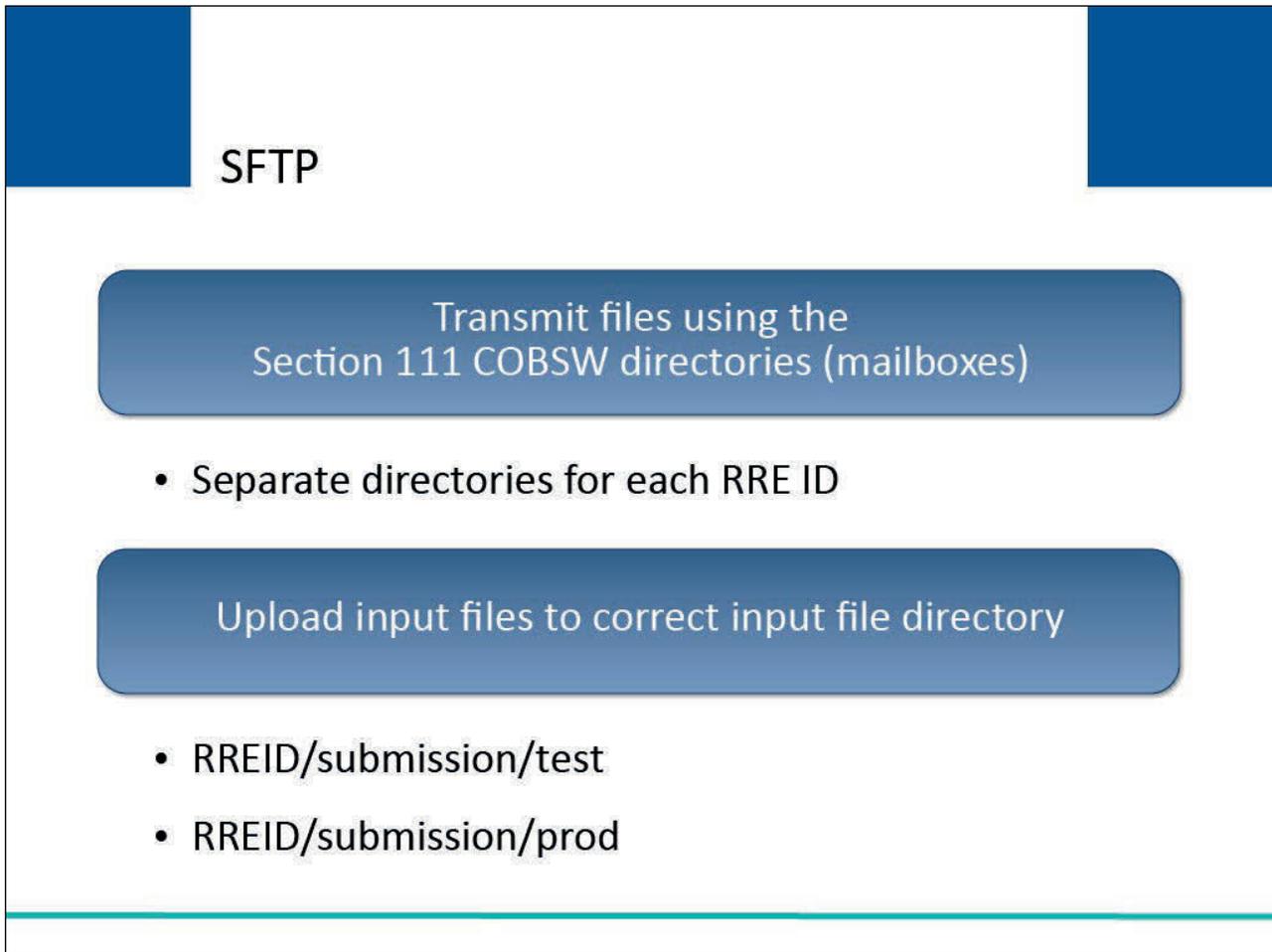
Slide notes

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

The Type of Server used must be set to a Standard SSH Server. The Host IP Address of the Section 111 COBSW SFTP server is sftp.section111.cms.hhs.gov and the Port Number of the Server is 10022.

In addition, you will need to supply a Section 111 COBSW Login ID and Password associated with the RRE ID for the account. In this case, you will need the Login ID and Password that was assigned to the Account Manager or Account Designee.

Slide 15 of 28 - SFTP

The slide features a white background with two blue decorative blocks at the top corners. The title 'SFTP' is centered at the top. Below it, a blue rounded rectangle contains the text 'Transmit files using the Section 111 COBSW directories (mailboxes)'. This is followed by a bullet point: '• Separate directories for each RRE ID'. Another blue rounded rectangle contains the text 'Upload input files to correct input file directory'. Below this, two bullet points are listed: '• RREID/submission/test' and '• RREID/submission/prod'. A thin teal horizontal line is at the bottom of the slide content area.

SFTP

Transmit files using the Section 111 COBSW directories (mailboxes)

- Separate directories for each RRE ID

Upload input files to correct input file directory

- RREID/submission/test
- RREID/submission/prod

Slide notes

RREs who selected the SFTP method will transmit files over the Internet to and from the BCRC using directories (mailboxes) created on the Section 111 COBSW. Separate directories are setup for each 9-digit RRE ID.

These directories are automatically created when your Account Manager selects SFTP as the file transmission method during the Section 111 COBSW account setup. Subdirectory names are in lower case.

When you are uploading input files to the Section 111 COBSW, you will upload them to the appropriate input file directory (i.e. test or production).

SFTP RREs will send all of their test input files, regardless of file type, to the submission test directory (i.e. RREID/submission/test) and all the production input files to the submission production directory (i.e. RREID/submission/prod).

Slide 16 of 28 - SFTP

SFTP

- Test and production response file directories created for each file type

Download Test Response Files from

- RREID/response/test/msp
- RREID/response/test/non-msp
- RREID/response/test/query-only
- RREID/response/test/non-msp-rds

Download Production Response Files from

- RREID/response/prod/msp
- RREID/response/prod/non-msp
- RREID/response/prod/query-only
- RREID/response/prod/non-msp-rds

- Two download directories for Non-MSP Response Files
 - \non-msp - contains response files for N/D records
 - \non-msp-rds - contains response files for S records
 - Separate response returned for each separate header/detail/trailer

Slide notes

Test and production response file directories will be created for each file type: MSP, Non-MSP, Query Only, and Non-MSP RDS.

When you want to download your test or production response files, you will download the response file from the appropriate test or production download file directory for the file you wish to retrieve.

The RRE or its agent is responsible for downloading the response files from the Section 111 COBSW. The BCRC will not transmit response files.

There are two test and two production download directories for the Non-MSP Response Files. The subdirectory named non-msp will contain the response files for the N/D records that were submitted on the Non-MSP Input File.

The subdirectory named non-msp-rds will contain the response files for the S records (i.e. RDS retiree files) that were submitted on the Non-MSP Input File.

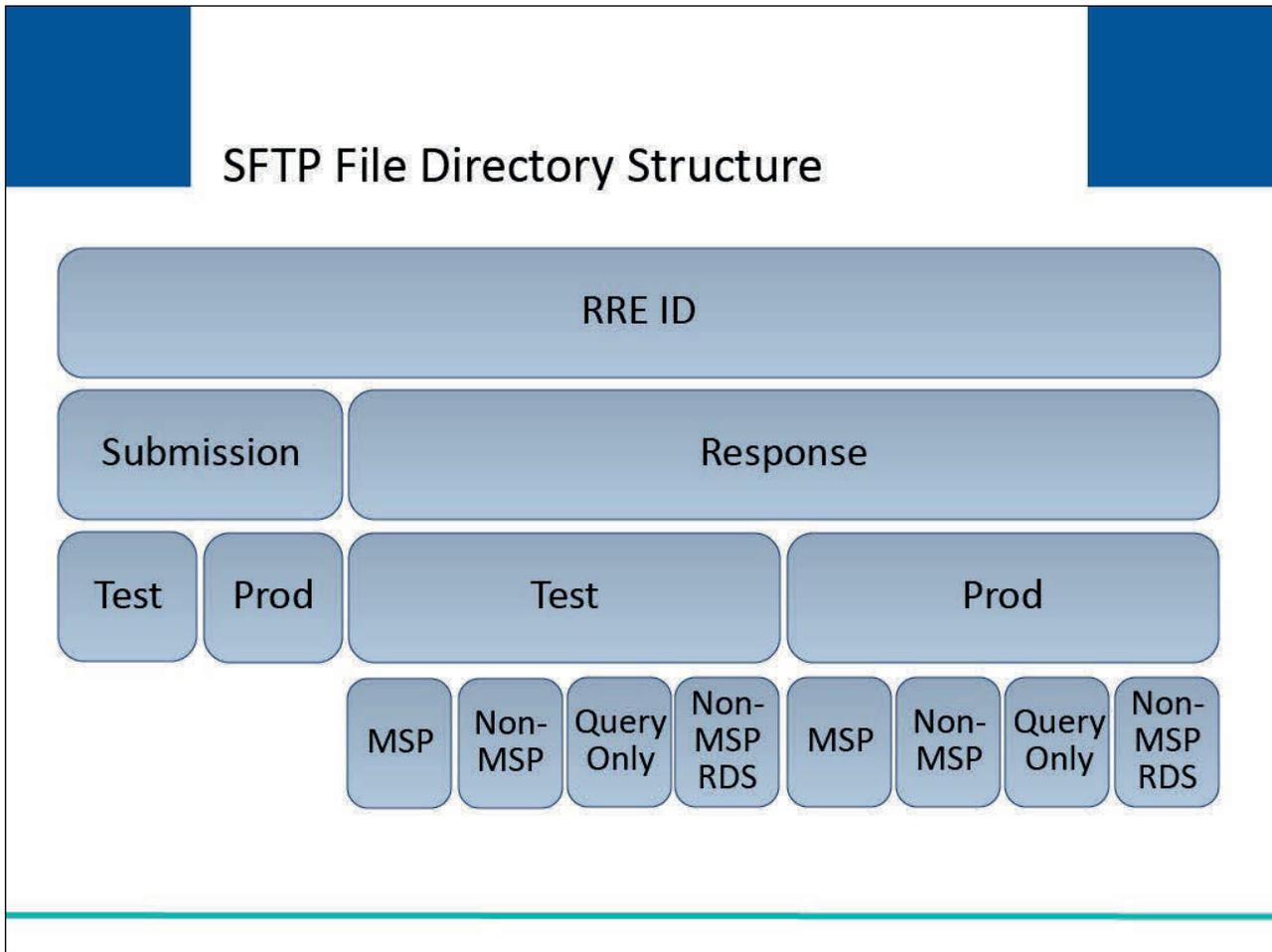
A separate response file will be returned for each separate logical file (i.e. each separate header/detail/trailer) that was included on the Non-MSP Input File.

When you view your Non-MSP Response File results on the Section 111 COBSW, you will see a row for the submitted Non-MSP Input File, and beneath that, you will see indented rows for each associated component file (i.e. each separate header/detail/trailer if the Non-MSP Input file contained multiple logical files).

Note: GHP RREs are required to include the Insurer Name when submitting supplemental drug (D) records on Non-MSP Input files. As a result, a new SP25 error code has been added.

This error may also occur for S records that convert to D records and are missing or do not include the Insurer Name during conversion.

Slide 17 of 28 - SFTP File Directory Structure

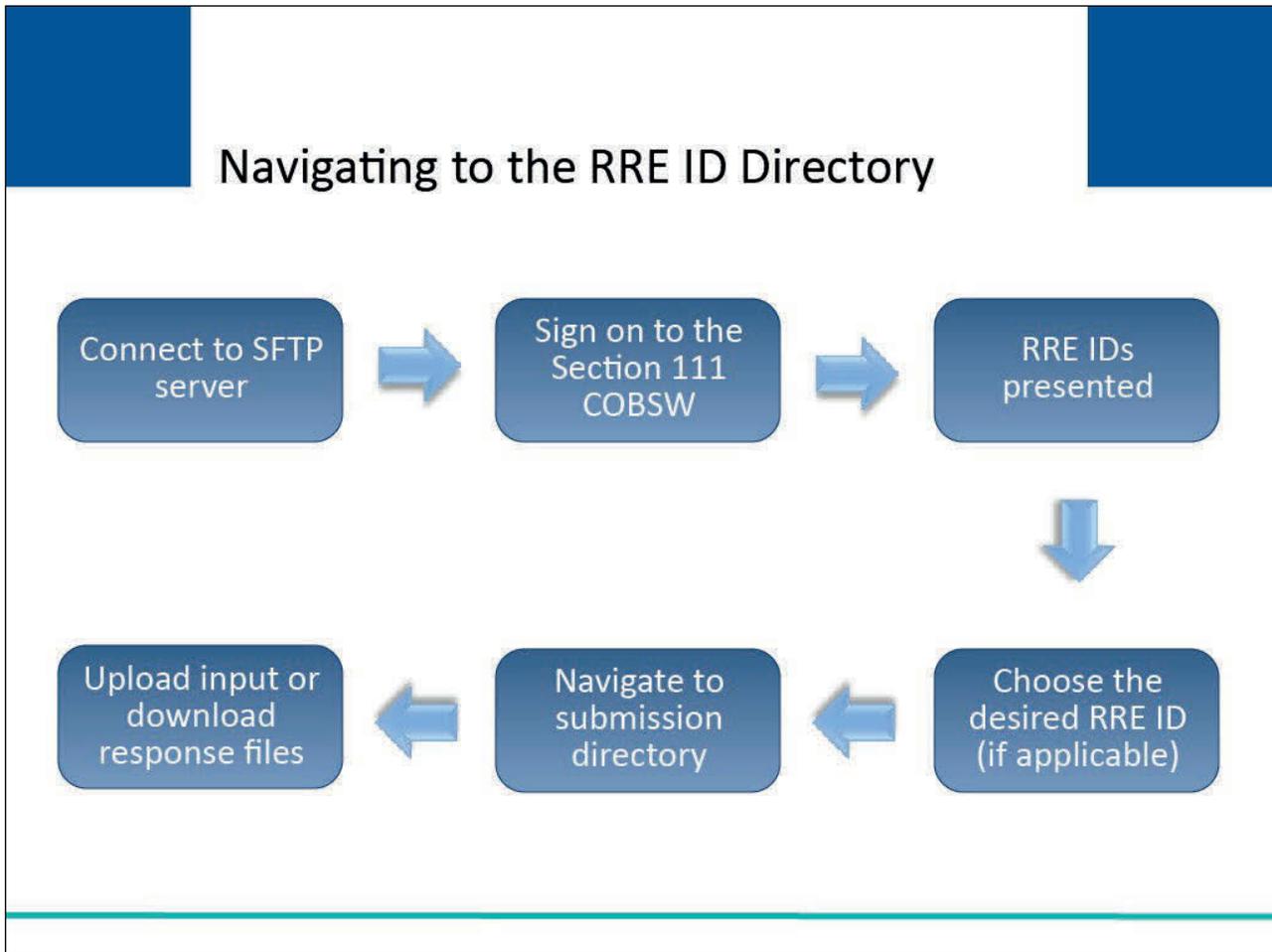


Slide notes

Using your SFTP client or other software (e.g. command line interface), you will sign on to the Section 111 SFTP server, provide your credentials, navigate through the RRE ID directories and subdirectories to which you have access and then upload or download the applicable file(s).

Note: TIN Reference Response Files are placed in the "MSP" folder.

Slide 18 of 28 - Navigating to the RRE ID Directory



Slide notes

To navigate to the RRE ID directory, connect to the Section 111 SFTP server using the host name/IP address and port provided; sign on with your 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 response directory to download response files.

Slide 19 of 28 - Uploading Input Files

Uploading Input Files

- Go to test or prod (i.e. production) directory
- Upload file

**Slide notes**

After going to the submission directory as described, navigate (change directories) to either the test or production (i.e. test or prod) 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 directory to which it's uploaded.

Slide 20 of 28 - Downloading Response Files

Downloading Response Files

- Go to test or prod (i.e. production) directory
- Go to the applicable subdirectory (MSP, Non-MSP, Query Only, Non-MSP RDS)
- Download Response File

**Slide notes**

After going to the response directory, navigate (change directories) to either the test or prod (i.e. production) directory as applicable for the response file you wish to download.

After selecting the test or prod directory, you will be presented with the response file directories to choose from (MSP, Non-MSP, Query Only, and Non-MSP RDS). Select or navigate to the applicable subdirectory for the response file you wish to download.

Once you have navigated to the correct subdirectory, proceed to download the response file. The response file naming convention used will be shown and will contain a date and timestamp.

If you are automating your SFTP, you may wish to perform the following two tasks. First, set up your software to pull response files subsequent to a certain date parameter.

Second, do a comparison of the files present in the directory with the files you previously downloaded so that you only pull new response files added by the BCRC since your last access.

Response files remain on the Section 111 SFTP server for 180 days and can only be deleted by the BCRC.

Slide 21 of 28 - HTTPS

HTTPS

- Used to transmit data via the internet to the Section 111 COBSW
- No additional cost for this method
- Should only be used by RREs with small amount of data

**Slide notes**

Another method for file transmission is HTTPS. RREs who choose to transmit files using HTTPS, will upload their files over the Internet to the Section 111 COBSW.

There is no additional cost or software associated with using this method as long as a standard Internet browser is used. However, because this method requires a user to be logged in to the Section 111 COBSW with an active session, use of HTTPS is only recommended for entities with a relatively small amount of data to submit (i.e. less than 24,000 records on a regular basis). Fields within the records are length delimited and all records are fixed length.

Slide 22 of 28 - HTTPS File Upload and Download

HTTPS File Upload and Download

```
graph LR; A[Login to Section 111 COBSW application] --> B[Use application interface to upload and download files]
```

Section 111 COBSW

- All users can upload input files/download response files
- Instructions available in Section 111 COBSW User Guide
- Active session required for upload/download via HTTPS

Slide notes

Section 111 COBSW users associated with the RRE’s account will login to the Section 111 application on [Section 111 COBSW](#) link and use the application interface to upload and download files.

All users associated with an account can upload input files and download response files. Instructions are provided in the Section 111 COBSW User Guide available on the site and associated Help pages.

Users must maintain an active session on the Section 111 application on the Section 111 COBSW when uploading or downloading files via the HTTPS file transfer method.

Slide 23 of 28 - HTTPS Uploaded Files

HTTPS Uploaded Files

- May not be viewed by users
- Cannot be viewed/deleted
- If uploaded in error, EDI Representative should be contacted

Slide notes

Once a file has been successfully uploaded to the Section 111 COBSW, it is not accessible by users of the Section 111 COBSW. It cannot be viewed or deleted.

If a file is uploaded in error, the RRE should contact their EDI Representative for assistance.

Slide 24 of 28 - SFTP/HTTPS Response File Naming Conventions

SFTP/HTTPS Response File Naming Conventions

Node	Description
PCOB	Always PCOB
BA	Always BA
MR	Always MR
Filetype	GHPMSP, GHPTIN, GHPNMSP, GHPQRY, GHPRDS
RESP	Always RESP
Dccyymmdd	Date
Thhmmsscc	Time
TXT	Always TXT

For Example
MSP File dated June 6, 2009 at time of 10:45:30:25
PCOB.BA.MR.GHPMSP.RESP/D20090606.T10453025.TXT

Slide notes

There is no specific naming convention needed for uploaded SFTP or HTTPS input files. However, the BCRC will name SFTP and HTTPS response files as follows:

- The first node is a fixed four position name which will always be PCOB.
- 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 the response file is regarding an MSP File, it would be GHPMSP. If it is regarding a TIN File, it is GHPTIN. If it is regarding a Non-MSP File, it is GHPNMSP.
 - If it is for a Query Only File, it is GHPQRY and if it is for a Non-MSP RDS File, then it is GHPRDS.
- The fifth node is a fixed four position name which will always be RESP.
- The sixth and seventh nodes represent the date and time where 'Dccyymmdd' is 'D' followed by century/year/month/day and 'Thhmmsscc' is 'T' followed by hours/minutes/seconds/centiseconds.
- The eighth node is a fixed three position name, which will always be TXT.

- For example, if you are downloading an MSP Response File dated June 6, 2009, at a time of 10:45:30:25, your MSP Response File format would be
PCOB.BA.MR.GHPMSP.RESP.D20090606.T10453025.TXT

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

Response files for SFTP transmissions will be placed in their corresponding directory (mailbox) on the Section 111 COBSW for download by the RRE or its agent.

Response files for HTTPS transmissions, which are available for download, will be listed and presented to Section 111 COBSW users when they select the download option on the Section 111 COBSW.

Slide 25 of 28 - SFTP/HTTPS Response Files

SFTP/HTTPS Response Files

- Available for 180 days
- May be downloaded more than once
- Cannot be deleted by RRE
- Removed by the BCRC after 180 days

Slide notes

SFTP and HTTPS response files will remain available for downloading for two calendar quarters (180 days). Response files can be downloaded more than once as needed by the RRE.

The RRE cannot delete response files from the Section 111 COBSW. The BCRC will remove these files automatically after 180 days.

Slide 26 of 28 - Course Summary

Course Summary

- Data Transmission Methods
- Registration Guidelines
- Section 111 COBSW Login ID/Password
- Profile Reports
- Connect:Direct via CMS EFT
- SFTP
- HTTPS

**Slide notes**

The topics in this course included an introduction to the following:

- three data transmission methods,
- Registration Guidelines,
- Login ID and Password for the Section 111 Coordination of Benefits Secure Website (COBSW),
- Profile Reports,
- Connect:Direct via CMS EFT,
- Secure File Transfer Protocol (SFTP), and
- Hypertext Transfer Protocol over Secure Socket Layer (HTTPS).

Slide 27 of 28 - Conclusion

You have completed the File Transmission Methods course. Information in this course can be referenced by using the GHP User Guide's table of contents and any subsequent alerts. These documents are available for download at the following link:
<https://www.cms.gov/medicare/coordination-benefits-recovery/mandatory-insurer-reporting-group-health-plans>.

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Slide 28 of 28 – GHP Training Survey



If you have any questions or feedback on this material, please go to the following URL:
<http://www.surveymonkey.com/s/GHPTraining/>.

Slide notes

If you have any questions or feedback on this material, please go the following URL: [GHP Training Survey](http://www.surveymonkey.com/s/GHPTraining/).