



PALMETTO GBA[®]

A CELERIAN GROUP COMPANY

Medicare Advantage and Part D Communications Handbook

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Table 26: Encounter Data Submission Dataset Names when connecting to FES using Connect:Direct.....	19
Table 27: MMP Data Submission Dataset Names when connecting to FES using Connect:Direct	19
Table 28: PDE Data Submission Dataset Names when connecting to FES using Connect:Direct	21
Table 29: IRA Subsidy Report 46 Dataset Name when connecting to FES using Connect:Direct.....	21
Table 30: RAPS Data Submission Dataset Names when connecting to FES using Connect:Direct.....	21
Table 31: DDE Edit Examples	26
Table 32: Download Example.....	28
Table 33: Record of Change	29
Table 34: Acronym List.....	31

The *Medicare Advantage and Part D Communication Handbook* is subject to change. Updated versions of this document and other Electronic Data Interchange (EDI) related documents will be published on the Customer Service Support Center (CSSC) Operations website at www.csscooperations.com.

1. Overview

Introduction

Palmetto GBA's Front End System (FES) uses a secure, encrypted platform to support file transfer connectivity from organizations through Connect:Direct, and Secure File Transfer Protocol (SFTP) applications. Specifications on these applications are included later in this document.

The use of PKZIP compatible compression software is encouraged for file transfers. FES is defaulted to send uncompressed files to organizations. If files need to be received by organizations in a compressed format, notify the CSSC Operations at (877) 534-2772 (Option 2), or by email at csscoperations@palmettogba.com.

Any other software referenced within this document is licensed or copyrighted by their respective companies and is for informational purposes only.

- FES supports the following file formats for file transfers:
 - ✓ Accredited Standards Committee (ASC) X12N 837 5010 for Encounter and Medicare Medicaid Plans (MMP)
 - ✓ MMP National Council for Prescription Drug Programs (NCPDP) Post Adjudication Standard, version 4.2
 - ✓ Prescription Drug Event (PDE)
 - ✓ Risk Adjustment (RA)
- FES is available 24 hours a day, seven days a week, except for scheduled maintenance performed on Sundays. If FES is not available, organizations may still transfer files to FES. As soon as FES becomes available, the files will be edited and processed. Upon completion of the initial edit process, a response report will be generated and returned to the organization and accessible for retrieval within two business days.

Establishing Connectivity

Organizations must contact a Centers for Medicare & Medicaid Services (CMS) approved Network Service Vendor (NSV) to establish file transfer connectivity with FES. A list of approved NSVs is published on the CSSC Operations website at [CSSC Operations - EDI Onboarding and Connectivity](#).

- Organizations may establish connectivity directly with CMS. For assistance in establishing this connectivity, contact the Medicare Advantage Prescription Drug (MAPD) Help Desk at 1-800-927-8069 or by email at MAPDHelp@cms.hhs.gov.

5. Reference the figure below for additional functions:
 - a. After all diagnosis clusters have been entered on the Input Tab, **Select**, 'Add Next CCC Record' to create or add the CCC Record.
 - b. **Select** 'New Batch' to create a new BBB and CCC Record.
 - i. When entering a new Contract ID, a new batch will automatically be created.
 - c. **Select** 'Create File' after all information has been entered.
 - i. File name is user defined.
 - d. **Select** 'Clear CCC Records' to remove CCC record entries from the screen or current Input tab.
 - e. **Select** 'Clear Records Tab' to remove all records on that tab.

Figure 8: Additional Functions

Add Next CCC Record	Click this button to add CCC records. You must click this button to move the CCC record to the Records tab before adding a new batch or creating a file.
New Batch	Click here to create a new batch.
Create File	Click here to create a file.
Clear CCC Records	Click here in the event you want to remove CCC record entries from this tab only.
Clicking this button will clear <u>ALL</u> records on the Records tab. Do not select this unless you want to delete all records created so far.	
Clear Records Tab	

6. **Select** 'Records Tab' at the bottom of the Workbook to display all the fields and records entered for the file, if needed.

The user must **submit** the file via SFTP Command Line.

DDE Edit Examples

Table 31: DDE Edit Examples

Error	Tab/Screen/Field Name	Resolution
Alphanumeric. This must be 6 characters. (i.e., SHnnnn)	Profile Information/Submitter Number	Enter up to 6 alphanumeric positions for the Submitter Number.
Alphanumeric 10 character maximum	Profile Information/File ID	Enter up to 10 alphanumeric positions for the File Id.
Alphanumeric. This must be 5 characters. (i.e., Hnnnn)	Input/Contract ID	Enter up to 5 alphanumeric positions for the Contract ID
OPTIONAL FIELD Alphanumeric 40 character maximum	Input/Patient Control #	Enter up to 40 alphanumeric positions for the Patient Control #. This is an optional entry and is not required.
Alphanumeric 25 character maximum	Input/Medicare ID	Enter up to 25 alphanumeric positions for the Medicare ID. Also known as the HICN or the MBI.
Must be formatted as MM/DD/YYYY	Input/Date of Birth	Enter the Patient Date of Birth in the MM/DD/YYYY format where 'MM' is a 2-position month (i.e., 05), DD is a 2-position day (i.e., 06) and YYYY is a 4-position year (i.e., 1964). This is an optional entry and is not required.
Must be formatted as MM/DD/YYYY	Input/From Date	Enter the Diagnosis Cluster 'From Date' in the MM/DD/YYYY format where 'MM' is a 2-position month (i.e., 05), DD is a 2-position day (i.e., 06) and YYYY is a 4-position year (i.e., 1964).
Must be formatted as MM/DD/YYYY	Input/Thru Date	Enter the Diagnosis Cluster Thru Date in the MM/DD/YYYY format where 'MM' is a 2-position month (i.e., 05), DD is a 2-position day (i.e., 06) and YYYY is a 4-position year (i.e., 1964).
Must be 3 to 7 Characters	Input/Diagnosis Code	Enter a 3 to 7 position Diagnosis Code.
The Contract ID must begin with H or R	Input/Contract ID	Enter a Contract ID that begins with H or R.
Submitter Number must begin with SH, SE, SR, SRT or SPT and be followed by numbers	Profile Information/Submitter Number	Enter a Submitter Number that begins with SH, SE, SR, SRT or SPT followed by 3 or 4 numbers depending on the entry.
Thru date should not be < from date	Input/'Next CCC Record' is selected	Enter a Thru Date that is less than the From Date.
For ICD10 File Type the from date should be >= 10/01/2015	Input/'Add Next CCC Record' is selected	For ICD10 Diagnosis Codes, the From Date must be greater than or equal to 10/01/2015.
For ICD10 File Type the thru date should be >= to 10/01/2015	Input/'Add Next CCC Record' is selected	For ICD10 Diagnosis Codes, the Thru Date must be greater than or equal to 10/01/2015.
For ICD9 File Type the from date should be < 10/01/2015	Input/'Add Next CCC Record' is selected	For ICD9 Diagnosis Codes, the From Date must be less than 10/01/2015.
For ICD9 File Type the thru date should be < to 10/01/2015	Input/'Add Next CCC Record' is selected	For ICD9 Diagnosis Codes, the Thru Date must be less than 10/01/2015.

8. Connecting Using SFTP

The following information is needed when creating a new entry within the SFTP application:

1. HOST Name (The *HOST Name* is an IP address provided along with a Submitter ID once enrolled by CSSC Operations).
2. Port: 22
3. Protocol: SSH/SFTP File Transfer Protocol.
4. User: Submitter ID/Submitter ID (i.e., SH9999/SH9999)
Note: All letters within the Submitter ID are in all caps.
5. Password: Received via email notification to the technical contact after enrollment is complete.
Note: Password is case sensitive and must be submitted as given on the email notification.
6. Once entry setup is complete, launch the SFTP software to connect.

When access to the SFTP server is successful, see steps below for sending and receiving files.

Sending Files

The following steps explain how to send files through the SFTP server:

1. Access Outbox directory path to submit files: outbox/EZComm/BC/1.0/Notify
2. Once access is successful to the outbox directory, upload or drop files into outbox directory for processing.
3. A message will be received that the upload was successful.

Note: Uploaded files in a PK-ZIP 14+ compatible format can decrease upload time.

Note: It is recommended to use sequential file names (i.e., FILE1, FILE2, etc.) instead of repeatable file names to prevent the files from being overwritten.

Receiving Files

The following steps explain how to receive files through the SFTP server:

1. Access Inbox directory path to download files: inbox/EZComm/BC/1.0/Notify
2. Follow the commands outlined in the SFTP software to download the files available in the inbox.

Note: Reports should be downloaded and saved prior to viewing as the SFTP environment removes reports from the SFTP mailbox once viewed.

It is recommended not to select the wildcard option (*.*) for options like ALL SUBMITTERS or ALL REPORTS. Specific reports can be downloaded by Grouping, Date, or Individual File. Refer to the table below for an example.

Table 32: Download Example

Grouping	Date	Individual File
<Submitter ID>*.TA1	<Submitter ID>.20180419.*.TA1	<Submitter ID>.20180419.T115449.381992.1.TA1

CSSC Operations has report restore capabilities.

Note: After 14 days, if reports still reside in a SFTP mailbox without any activity (i.e., viewing), the reports will be removed from the SFTP mailbox.

Appendix A: Record of Changes

Table 33: Record of Change

Version Number	Date	Author/Owner	Description of Change
3.3	06/18/2025	Palmetto GBA	On page 10, updated the SFTP MAO-001 and MAO-002 Report and File naming conventions to reflect "Report" and "File"
3.2	02/05/2025	Palmetto GBA	Updated the version and date on the main page and in all footers. Updated the page numbers associated with items in the table of contents. Added three Report 25 filenames in the PDE section under Gentran and SFTP. Corrected the Table 16 number from 1 to 16.
3.1	08/20/2024	Palmetto GBA	Updated sections 2, 3, and 4 with MA Dental information.
3.0	05/30/2024	Palmetto GBA	Updated Table 5 with 512- and 1000-byte information. Added two rows to Table 13 and 19 for Reports 45 and 47. Moved Table 21 below table 19 and relabeled it to Table 20. Table 27 for PDE LRECL and BLKSIZE and distinguished between PROD and Test/Cert effective dates. Added Table 29 for IRA Subsidy. Renumbered Tables 30 through 34.
2.12	08/1/2023	Palmetto GBA	Updated links throughout the document. Also updated the date and version in the footer and on the coverage page.
2.11	04/14/2023	Palmetto GBA	Updated Establishing Connectivity information in Section 1 for clarification of the criteria to establish direct connection with CMS. Updated Table 13 and Table 19 to include file naming conventions for the PDE Other TrOOP Amount Indicator Summary Report.
2.10	10/05/2021	Palmetto GBA	Updated Section 7 - Creating a RAPS File using Direct Data Entry (DDE). DDE accepts 'SRT' or 'SPT' prefixes for the Submitter Number.
2.9	07/13/2021	Palmetto GBA	Updated document for clarification and consistency.
2.8	02/10/2020	Palmetto GBA	Updated document to be in compliance with CMS XLC Standards.
2.7	01/24/2020	Palmetto GBA	Updated the term "Gentran" to "TIBCO MFT" throughout the document.
2.6	12/12/2018	Palmetto GBA	Updated GENTRAN mailbox Processing File Names for Production and Test PDE. Cosmetic changes for consistency. Added Note for after 14 days reports are removed if not viewed.
2.5	10/11/2018	Palmetto GBA	Added Gentran mailbox Processing File Names Section Added Invalid File Naming Conventions. Cosmetic changes for better clarification. Updated Table of Contents.

2.4	09/13/2018	Palmetto GBA	Revised SFTP process. Moved Appendix A: Record of Change to the last page. Changed to Appendix B. Updated Table of Contents.
2.3	09/11/2018	Palmetto GBA	Remove File Transfer Protocol (FTP) Information. Added new DDE processes.
2.2	08/21/2018	Palmetto GBA	Updates to the SFTP Naming Conventions including RA and PDE and SFTP processes.
2.1	08/10/2018	Palmetto GBA	Updates to Encounter and MMP due to the TIBCO/SFTP Migration. Included NCPDP and Encounter Dental naming conventions for TIBCO mailboxes.
2.0	08/04/2018	Palmetto GBA	Updates due to decommissioning of websites and TIBCO/SFTP Migrations.
1.0	11/20/2017	Palmetto GBA	Initial creation.

Appendix B: Acronym List

Table 34: Acronym List

Acronym	Definition
A	
ASC	Accredited Standards Committee
C	
CA	Claim Acknowledgement
CMS	Centers for Medicare & Medicaid Services
CSSC	Customer Service Support Center
D	
DDE	Direct Data Entry
DDPS	Drug Data Processing System
DME	Durable Medical Equipment
E	
EDFES	Encounter Data Front End System
EDI	Electronic Data Interchange
EDPS	Encounter Data Processing System
F	
FES	Front End System
FERAS	Front End Risk Adjustment System
H	
HICN	Health Insurance Claim Number
I	
ICD-9/ICD-10	International Classification of Diseases, Clinical Modification (Versions 9 and 10)
ID	Identification
IRA	Inflation Reduction Act
IRASA	Inflation Reduction Act Subsidy Amount
M	
MAPD	Medicare Advantage Prescription Drug
MAO	Medicare Advantage Organization
MBI	Medicare Beneficiary Identifier
MFT	Managed File Transfer
MMP	Medicare Medicaid Plan
N	
NCPDP	National Council for Prescription Drug Programs
NDM	Network Data Mover
NSV	Network Service Vendor
P	
PDE	Prescription Drug Event
PDFS	Prescription Drug Front End System
R	
RA	Risk Adjustment
RAPS	Risk Adjustment Processing System
S	
SFTP	Secure File Transfer Protocol