

Electronic Uniform Assessment Instrument (UAI) FAQs

What type of data format is used for the electronic UAI?

Extensible Markup Language (XML)

What is the FTP information needed to submit an electronic UAI?

Once you are approved as a DMAS authorized vendor, submit your application to FHSC (First Health Services Corporation, a Coventry Health Care Company) to receive a vendor ID. In addition, you will receive an FTP specification document which describes all the necessary configuration settings to transfer inbound XML files and retrieve outbound XML files from FHSC. Initially, this confidential vendor ID is only granted with access rights to the FHSC Quality Assurance testing environment. You should coordinate with FHSC to complete the required vendor certification test. Once you have passed the test, you will be granted access to the production environment and will be ready to transfer files.

What is the directory structure of my FTP folder?

Each vendor will be assigned an exclusive vendor ID along with the standard folder structures on the FHSC FTP file server upon the creation of your vendor account. The folder structure looks like the following:

- \Incoming\
- \Outgoing\
- \Sent\
- \SentOut\

The inbound UAI request file needs to go to the Incoming directory; while the outbound UAI response file will reside in the Outgoing directory. The outbound file will indicate whether the submission is successful or not. In the case of validation failure, the outbound file will provide a brief description of the nature of the errors or exceptions in its <errorMessage> tag. The Sent and SentOut directories are for the archival of all inbound and outbound files. Transmitted requests are moved from the Incoming directory to the Sent directory when processed. The response files are moved from the Outgoing directory to the SentOut directory when retrieved.

What type of FTP clients are recommended?

You can use any Secured FTP client, such as FileZella, PuTTY, WinSCP, etc., as long as it supports SFTP (SSH) protocol. FHSC can also support FTP with PGP, FTPS, or an HTTPS interactive website.

What is the FTP service maintenance window?

The Secured FTP server is available 24 X 7.

What is the processing cut-off time?

Inbound UAI request files submitted **BY 4:00 PM** Monday through Friday will be processed overnight. The associated outbound UAI response files will be available by 6:15 AM the following morning. Inbound files submitted **AFTER 4:00 PM** will be processed the following night, with the exception of those submitted after 4:00 PM on Friday. Those requests will be included in the following Monday nights process.

Should I create one XML file per request or include multiple requests in one file?

FHSC ONLY supports one request for each XML file. If you have multiple requests, create multiple XML files with the standard naming convention specified in the FTP specification document.

What kind of error message will I receive for a failed transaction?

Our system provides two types of validation that can potentially create error messages: format validation and content validation. If an inbound UAI request file fails the initial format validation, such as invalid vendor ID and/or field length, you will receive a corresponding outbound UAI response file immediately with a brief description of the error message(s) included. If your request fails the content validation, a corresponding outbound file that contains a status code of '1' along with the associated error description(s) will be available the following day by 6:15 AM.

What can I do to correct the error?

For the errors attributed to the format validation errors, you can resubmit the request after correcting the erroneous field(s). You don't have to change the file name or wait for the next processing cycle. For the errors attributed to the content validation, a corresponding outbound file with the error description(s) will be created on the following day by 6:15 AM. After the correction of the erroneous data, change the file name according to the current date format and resubmit the request.

What will happen if I fail to rename the corrected inbound file from yesterday's submission and send it on the following day?

Failure to rename the file according to the "current-date" naming convention will cause the previous outbound UAI file to be overwritten by the following day's response. This is due to the use of the inbound file naming convention as the base to create the associated outbound file.

What does it mean if my response file has a status code '2'?

This means an internal error occurred while processing the electronic UAI request. There is no need to resubmit this request, it will be reprocessed and the response will be available after the internal error is resolved.

What does it mean if my response file has a status code '0'?

The assessment request processed successfully. The associated 'Assessment Control Number' may be used for payment tracking.

Why does my response have a different enrollee ID from what was sent in the request?

If both an SSN and an enrollee ID were included on the request and the enrollee ID is not present on the database, a match is attempted based on the SSN. If successful, the associated enrollee ID is returned on the response. If no enrollee ID was sent in the request, a match is attempted based on the SSN and, if successful, the associated enrollee ID is returned. When no match is found for a requested SSN, the individual is added and assigned an enrollee ID.

I received a TAD letter for an assessment submitted on paper. Can I submit the corrected assessment through the electronic UAI process?

Yes, the corrected assessment can be submitted through the electronic UAI process.

Will I receive a TAD letter for denied assessments submitted through the electronic UAI process?

No, TAD letters will not be generated for electronic assessments. Instead, an electronic response is generated with a status of '1'.

I submitted both paper and electronic assessments in the same week. If error free, can I expect payment for both?

Yes, as long as they are not duplicate assessments.