



# Business Requirements Document

---

*Pharmacy Benefit Manager Data File Requirements*

*Version 0.1*

## Document History

Version	Date	Author	Status	Vendor	Section Updated	Revision Description
0.1	10/1/2025	Duane Maxie	Initial Draft	SHP	All	

## Approvals

Your signature below indicates that this document meets its objectives and is acceptable.

Vendor	Name	Title	Signature	Date
North Carolina State Health Plan	Caroline Smart	Deputy Executive Administrator		

## Table of Contents

---

TABLE OF CONTENTS .....	3
PURPOSE AND OBJECTIVES .....	4
1.1    OBJECTIVE .....	4
ASSUMPTIONS .....	5
2.1    ASSUMPTIONS.....	5
2.2    TIMING .....	5
2.3    RISK TOLERANCE .....	6
REQUIREMENTS .....	7
3.1    BI-MONTHLY PHARMACY CLAIM FILE .....	7
3.2    BI-MONTHLY PHARMACY CLAIM CONTROL FILE .....	7
3.3    MONTHLY PHARMACY FORMULARY FILE.....	8
3.4    MONTHLY PHARMACY FORMULARY CONTROL FILE.....	8
3.5    FIELD FORMATTING .....	9
3.6    CORRECTING PRODUCTION FILES.....	9
TESTING AND PRODUCTION .....	10
4.1    TESTING AND PRODUCTION FILE DELIVERY .....	10
4.2    TESTING .....	10
APPENDIX.....	11
5.1    FINAL CLAIMS DATA FILE LAYOUT& DATA DICTIONARY.....	11
5.2    FINAL FORMULARY DATA FILE LAYOUT & DATA DICTIONARY .....	11

## Purpose and Objectives

---

The purpose of this Business Requirements Document (BRD) is to formally document specifications between the State Health Plan of NC's (the Plan) and the Pharmacy Benefit Manager (PBM) in regard to the data required for claim files, formulary files, control files, testing, naming conventions, file format, frequency, encryption, and secure transmission method between the vendor and the Plan

### 1.1 Objective

- PBM will need to identify elements of a bi-monthly (at a minimum) standard claims data file and be willing to add any necessary custom data fields requested by the Plan. A populated test and control file containing this level of detail is required to demonstrate adherence to the SHP requirements.
- PBM will need to identify elements of monthly formulary file and be willing to add any necessary custom data fields requested by the Plan. A populated test and control file containing this level of detail is required to demonstrate adherence to the SHP requirements.
- PBM will provide complete updated data documents, such as data dictionaries, file layouts and PBM proprietary reference code sets for review. The Plan may request these data documents on an ad hoc basis.
- PBM will follow specific file naming, encryption, and secure transfer protocols provided by the Plan.
- PBM will transmit the Plan's formatted data files to other Plan data partners as required.

## Assumptions

The below section details the assumptions from the State Health Plan's point of view. The PBM should provide additional assumptions, dependencies, and constraints in the solutions document.

### 2.1 Assumptions

- All data exchanges must comply with the Plan's records retention and security standards.
- Files will be PGP Encrypted
- The requirements listed in this document are the Plan's requirements. Any requirement that cannot be met will need to be documented in the solutions document along with the background on why it cannot be met.
- All parties must work together to meet defined deadlines and objectives. Lack of or delayed response by any party involved to defects or other issues raised during implementation could negatively impact the scheduled sign-off and release dates.
- If work-around processes are to be used, they must be approved by the Plan.
- There will be no changes to the schedule or format of these files when finalized to production.
- All data files will be delivered to the Plan's (DST) sFTP and any specified Plan data partners.
- Files will contain all new and changed data since the last extraction.
- PBM will provide updates to the PBM's proprietary reference code sets, the data dictionaries, and the file layouts for each file whenever the PBM makes or is aware of a change without having to be prompted by the Plan for updates.
- The PBM will provide updates to relevant proprietary reference code sets, the data dictionary, and the file layout whenever an approved change is made to any of the files.
- The PBM will provide a meaningful definition for each field on each file sent to the Plan. Definitions must describe the content of the field. Examples of unacceptable definitions include using a restated field name as the field definition and using terms that are ambiguous or not elsewhere defined.
- File layouts with field definitions will be in consistent Excel formats to allow SHP to easily load them into the Plan's HCDM.

### 2.2 Timing

- Test Data Files
  1. Test Files – deliver by TBD
- Production Data Files
  1. First Files – deliver by TBD
- All necessary development and configuration must have successfully passed testing and be in production by TBD, for a TBD go live.

### 2.3 Risk Tolerance

The Plan will not sign off on implementing any development or configuration that has not satisfied the success criteria outlined in test plans.

## Requirements

---

To ensure traceability throughout the project lifecycle and adherence to the change management process, each detailed requirement for the project is defined below.

### 3.1 Bi-Monthly Pharmacy Claim File

1. Deliver and include all new claim data not included on the previous file that is available as of midnight on the last day of the previous month and the 15<sup>th</sup> day of the current month.
2. Files will contain all new and changed data since the previous extraction. Files will not be a complete replacement.
3. Format the file
  - a. in fixed-width format with fields for pipe-delimiters, as specified by the file layout referenced in Section 5 below.
  - b. in UTF-8 format.
  - c. with Carriage Return Line Feed (CRLF - Windows New Line) for row delimiter (character separating row data).
4. Name the pharmacy claims data file YYYYMMDD.PBMName.RXCLAIMS.txt where YYYYMMDD is the date that PBM produces the file.
5. Zip the file (name of zipped file will be YYYYMMDD.PBMName.RXCLAIMS.txt.zip).
6. Encrypt (.pgp) the file with SHP's Public File Encryption Key (name of zipped, encrypted file will be YYYYMMDD.PBMName.RXCLAIMS.txt.zip.pgp).
7. Place the zipped, encrypted file in the IN folder on the Plan's production SFTP site.
8. When the PBM places the claims data file on the Plan's production SFTP site, PBM will send email to the confirm sending the file.

### 3.2 Bi-Monthly Pharmacy Claim Control File

1. Provide a control file with each claim data file.
2. Include a header row with the four field names below:
  - a. DataFile: the Name of the Data File (YYYYMMDD.PBMName.RXCLAIMS.txt.zip.pgp).
  - b. CreateDate: the date PBM produces the Data File (YYYYMMDD).
  - c. Checksum: the string of 64 characters derived through a hash algorithm used to verify the integrity of the Data File.
  - d. ColumnList: a comma-delimited list of column names in the Data File.
3. Format the file
  - a. in UTF-8 format.
  - b. with pipe (|) as column delimiter (character separating column data).
  - c. with Carriage Return Line Feed (CRLF – Windows New Line) for row delimiter (character separating row data).
4. Name the pharmacy claims control file YYYYMMDD.PBMName.RXCLAIMS.ctl, where YYYYMMDD is the date that PBM produces the file.
5. Zip the file (name of zipped file will be YYYYMMDD.PBMName.RXCLAIMS.ctl.zip).

6. Encrypt (.pgp) the file with SHP's Public File Encryption Key (name of zipped, encrypted file will be YYYYMMDD.PBMName.RXCLAIMS.ctl.zip.pgp).
7. Place the zipped, encrypted file in the IN folder on the Plan's production SFTP site.
8. When the PBM places the claims data file on the Plan's production SFTP site, PBM will send email to the confirm sending the file.

### 3.3 Monthly Pharmacy Formulary File

1. Deliver and include all formulary data not included on the previous file that is available as of midnight on the last day of the previous month.
2. Files will contain all new data since the previous extraction. Files will not be a complete replacement.
3. Format the file
  - a. in fixed-width format with fields for pipe-delimiters, as specified by the file layout referenced in Section 5 below.
  - b. in UTF-8 format – pipe delimited
  - c. with Carriage Return Line Feed (LF - Windows New Line) for row delimiter (character separating row data).
4. Name the formulary data file YYYYMMDD.PBMName.Formulary.txt, where YYYYMMDD is the date that PBM produces the file.
5. Zip the file (name of zipped file will be YYYYMMDD.PBMName.Formulary.txt.zip).
6. Encrypt (.pgp) the file with SHP's Public File Encryption Key (name of zipped, encrypted file will be YYYYMMDD.PBMName.Formulary.txt.zip.pgp)).
7. Place the zipped, encrypted file in the IN folder on the Plan's production SFTP site.
8. When the PBM places the claims data file on the Plan's production SFTP site, PBM will send email to the confirm sending the file.

### 3.4 Monthly Pharmacy Formulary Control File

1. Provide a control file with each claim data file.
2. Include a header row with the four field names below:
  - a. DataFile: the Name of the Data File (YYYYMMDD.PBMName. Formulary.txt.zip.pgp).
  - b. CreateDate: the date PBM produces the Data File (YYYYMMDD).
  - c. Checksum: the string of 64 characters derived through a hash algorithm used to verify the integrity of the Data File.
  - d. ColumnList: a comma-delimited list of column names in the Data File.
3. Format the file
  - a. in UTF-8 format.
  - b. with pipe (|) as column delimiter (character separating column data).
  - c. with Carriage Return Line Feed (CRLF – Windows New Line) for row delimiter (character separating row data).
4. Name the pharmacy formulary control file YYYYMMDD.PBMName. Formulary.ctl, where YYYYMMDD is the date that PBM produces the file.
5. Zip the file (name of zipped file will be YYYYMMDD.PBMName. Formulary.ctl.zip).

6. Encrypt (.pgp) the file with SHP's Public File Encryption Key (name of zipped, encrypted file will be YYYYMMDD.PBMName. Formulary.ctl.zip.pgp).
7. Place the zipped, encrypted file in the IN folder on the Plan's production SFTP site.
8. When the PBM places the formulary data file on the Plan's production SFTP site, PBM will send email to the confirm sending the file.

### **3.5 Field Formatting**

1. DATE: 10 characters in 'YYYY-MM-DD' format.
2. DATETIME: 23 characters in 'YYYY-MM-DD HH:MM:SS[.nnn]' format where 1000th of second is optional. This is 24hr time.
3. INTEGER: 'n' characters right justified with preceding '-' for negatives. No preceding 0's.
4. DECIMAL: 'n' characters right justified with the '.' included and preceding '-' for negatives. No preceding 0's.
5. ALPHA NUMERIC: 'n' characters left justified with trailing blanks (All characters except '|')

### **3.6 Correcting Production Files**

Where any file from PBM does not match all requirements in sections 2 agreed on in the SHP\_PBM\_BRD\_DataFiles version 1.x, within two State Business Days of receiving the file from PBM SHP will email the PBM Dedicated Data Manager to request a corrected file. PBM will correct all errors described in the email and place an updated data file and control file in the IN folder of the Plan's PROD SFTP within 10 State business days.

## Testing and Production

---

### 4.1 Testing and Production File delivery

The PBM vendor will need to share test data files prior to the full production files based on the items in this document:

- PBM must
  - Establish and utilize an SFTP connection with the Plan
  - Obtain the SHP PGP encryption public key
  - Share test sample data files with the Plan
- The Plan must:
  - Provide SFTP connection information with the PBM
  - Provide the SHP PGP encryption public key
  - Provide feedback, and final approval that the files received meet all requirements and are processed successfully

### 4.2 Testing

All necessary development and configuration must have successfully passed testing and be in production by TBD. All parties must work together to meet defined deadlines and objectives. This requires cooperation and mutual approval of vendors and business partners during implementation, including internal testing and deployment. Lack of or delayed response by any party involved to resolve defects or other issues raised during implementation could negatively impact the scheduled sign-off and release dates.

- A preliminary test claim file with the tier codes from the updated formulary applied to real claims from TBD – TBD, for agreed upon members will be delivered to the Plan's sFTP test site no later than TBD.
- A second test claim file with the tier codes from the updated formulary applied to real claims from TBD – TBD, for agreed upon members will be delivered to the Plan's sFTP test site no later than TBD.
- PBM will deliver a test file and control file for each the monthly formulary data file to the Plan's sFTP TEST site no later than TBD.
- The Plan will notify PBM of acceptance of the test files by TBD.

## Appendix

---

### *5.1 Final Claims Data File Layout& Data Dictionary*

<<attached TBD embedded file>>

### *5.2 Final Formulary Data File Layout & Data Dictionary*

<<attached TBD embedded file>>