



Progress Report File Submission Process Updates

Progress Report File Submission Overview

The Progress Report File Submission Process has recently been updated to help standardize the way in which Progress Reports are submitted, as well as to improve the overall efficiency of the File Submission Process.

Updates Include:

- Defining a standard convention for the naming of Progress Report files
- Providing a consistent method for Vendors to upload Progress Reports
- Providing a simplified way for Vendors to check on the status of submitted files, and if necessary, download Rejected files.
- Providing an automated method for notifying Support Coordinators or Supervisors.

Notes about this update:

- This updated Progress Report File Submission Process will REPLACE the existing methods used by Vendors.



Progress Report Submission

Request must come from the agency signatory

Organization/Company Name, DBA: _____

Organization/Company Address: _____

Four Character Provider Code: _____

Contact Information for Progress Note access

Name: _____

Contact Phone Number: _____

Contact Email Address: _____

Allowed Folder Access: [/ProgressReports](#)

Permissions: [Upload, Download, Delete, Append](#)

- The Division and its technology team have identified a clear path for Qualified Vendors to submit quarterly and monthly progress reports using an existing platform which is familiar to Qualified Vendors. The File Transfer Protocol (FTP) that is currently used to submit billing will also be used to upload monthly and quarterly progress reports. This will be based on the four-letter alpha code your agency's currently using to submit billing.
- If your organization would like to add additional staff secure access to the FTP site to upload monthly and quarterly progress reports, please complete the information to the left and send via email directly to DDDCustomerServiceCenter@azdes.gov The CSC will acknowledge receipt of the email request. Once the new account access has been completed, the new account holder will be emailed while also copying the original submitter.
- Please send an email with the same information requesting deletion of the username/password if a staff member is terminated, resigns or no longer needs access for whatever reason.



Division of Developmental Disabilities FTP Site

Free FTP clients can be found on the internet such as FileZilla, Core FTP, CuteFTP, WinSCP, ProFTPD, Cyberduck, and many more.

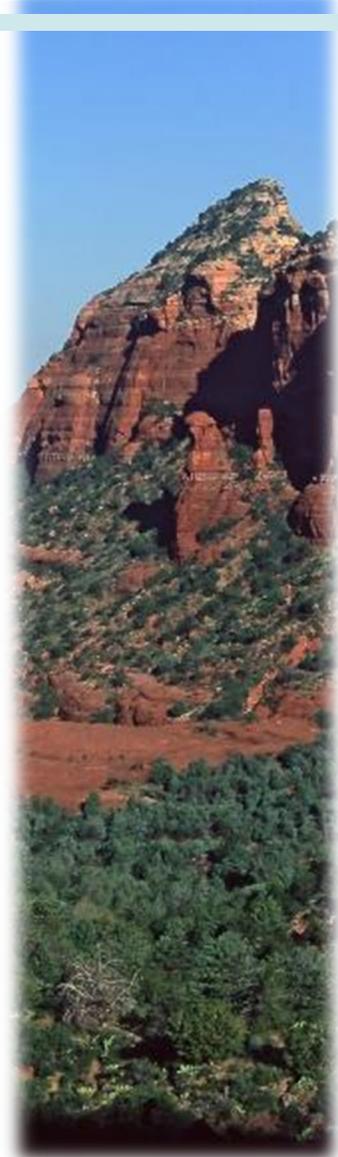
Attached to your vendor blast and available on the DDD Provider Website are instruction guides for each of the three options for uploading documents to the FTP site.

The Division does not endorse the use of any specific software, this is solely up to each agency to select the method used to access the Division's FTP server.

<https://ftp.azdes.gov>

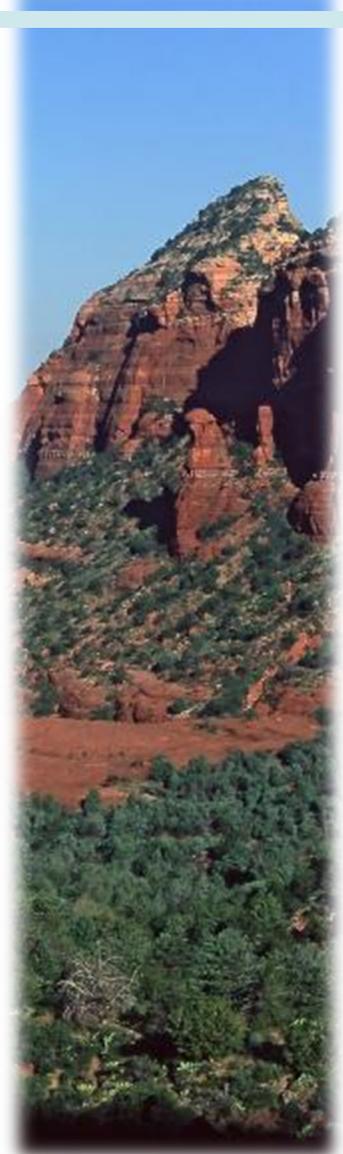
How To access the FTP server

- File Explorer in Windows 7/8/10 allows one file submission at a time
- Internet Browser (Internet Explorer, Chrome etc.) allows one file submission at a time
- FTP Client (downloadable free software) allows multiple files to be submitted at one time



Progress Report File Naming Convention

- Use this standardized naming convention for all Progress Report Files
 - Filename Format:
 - DDDProgressReport_YYYY_MM_PBS_ASSISTID_SVC_SQN.ext
 - Important Note:
 - Files that are uploaded to the FTP site MUST follow this naming convention or they will be rejected by the Progress Report System.



Progress Report File Naming Convention

Naming Convention Parameters

Position	Parameter	Description	Size	Example
1	YYYY	4 Digit Year	4	2018
2	MM	2 Digit Month	2	06
3	PBS	4 Character PBS Vendor Code	4	ABCD
4	ASSISTID	10 Digit Client ASSISTS ID	10	1234567890
5	SVC	Service Code: <ul style="list-style-type: none">• 3 Character DDD Code• 4 Character REV Code• 5 Character HCPCS Code• ALL	3, 4, or 5	OCL; 0111; A9901; ALL;
6	SQN	3 Digit Sequence Number	3	000-999
7	EXT	File extension	(varies)	pdf, xlsx, docx

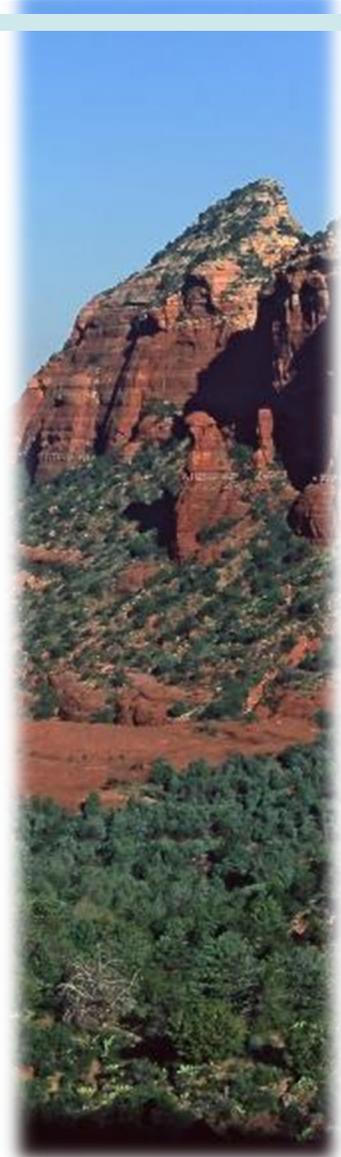
Questions About the File Naming Requirements

- What is a PBS Code and where do I find it?
 - A PBS code is a 4-digit code assigned to each provider for their billing (Professional Billing System). This code should be identified by your billing staff or company signatory.
- What is the Sequence Number and where do I find it?
 - The sequence number is a number you will assign to each specific file you submit. For example, if you are submitting quarterly progress reports in separate files for each month, you could identify them as 001, 002 and 003 for reports for Jan, Feb, and March.
- What month should I use when submitting quarterly reports?
 - The month used in the file name should be the month you are submitting the report.



Progress Report File: Uploading Progress Report Files

- Use an FTP client and upload the file to the progress report file in the following location on the DES FTP:
 - /Reports/ProgressReports/IN
 - Note:
 - The Vendor's FTP site, username and password will remain the same.
 - For this presentation, the Vendor Nelson, with PBS code NELS, will be displayed in each FTP server image.



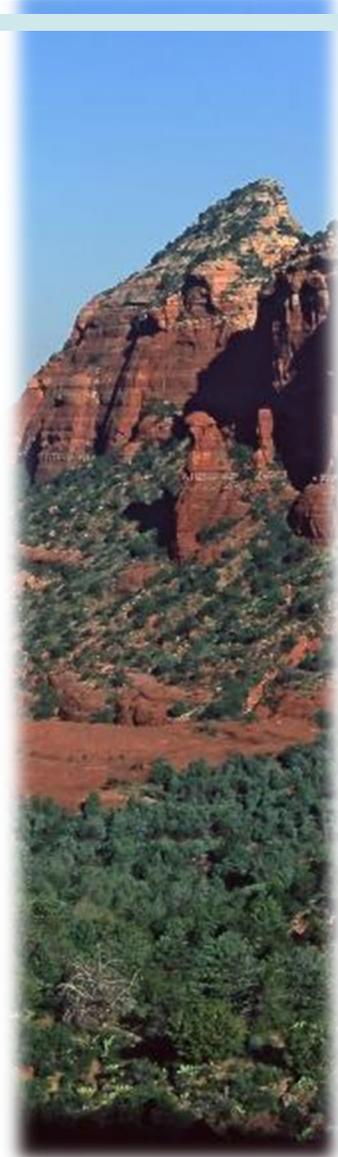
Progress Report File: Acknowledgement File

- An acknowledgement file is created after the first file of the day is picked up by the Progress Reports System.
 - Note: Only 1 Acknowledgement File is created per day. As new Progress Reports are submitted, new entries will be added to the same acknowledgement file.
- File Naming Convention: ACK_PBS_YYMMDD.txt
- This file will be created in
/Reports/ProgressReports/OUT



How do I know my file was received?

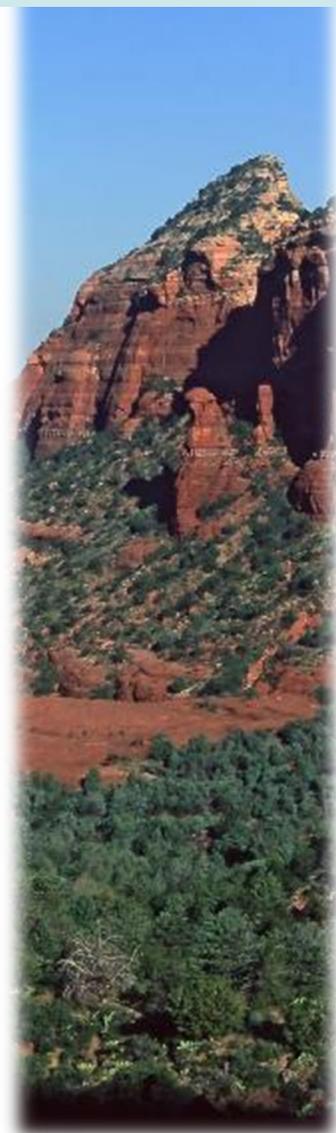
- In the Progress Reports/Out folder, open the acknowledgement file.
- The file will tell you the following for each progress report uploaded:
 - Date and time the progress report was processed
 - The file name
 - The date and time the progress report was posted (sent to the Support Coordinator)
 - The status of the progress report
 - Accepted – This indicates that the progress report was successfully sent to the Support Coordinator
 - Rejected – This indicates why the file was rejected and what correction needs to be made so the progress report can be re-uploaded



Progress Report File: Acknowledgement File FTP Folder Screenshot

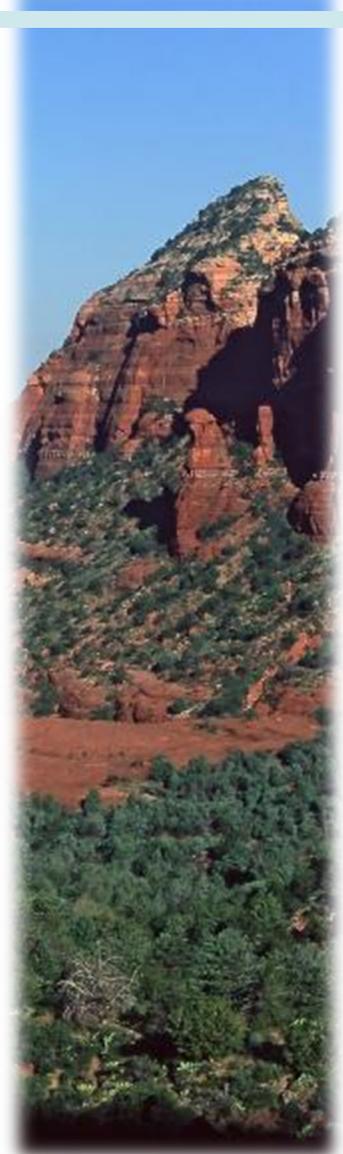


Progress Report File: Acknowledgement File Examples

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- The Acknowledgement File contains information regarding the status of files that have been picked up by the Progress Reports System.
 - Note: The actual Acknowledgement File is plain text and does not contain any highlighting or special character formatting.
 - Processed Date: 08-08-2018 09:34:16, File_Name: DDDProgressReport_2018_05_NELS_0000006512_E4567_013.pdf, Posted_On: 8/8/2018 9:33:33AM, Status: READY, Reason: File Accepted.
 - Processed Date: 08-08-2018 10:04:15, File_Name: DDDProgressReport_2018_05_NELS_0000006333_E4567_013.pdf, Posted_On: 8/8/2018 10:01:33AM, Status: REJECTED, Reason: File with same name already processed.
 - Processed Date: 08-08-2018 11:54:09, File_Name: DDDProgressReport_20188_05_NELS_0000123123_E4567_000.pdf, Posted_On: 8/8/2018 11:51:49AM, Status: REJECTED, Reason: File has incorrect naming format. Verify YYYY.

What if My File Was Rejected?

- Rejected progress reports are automatically sent to the Progress Reports/Reject folder.
- If the progress report was rejected, the progress report will need to be renamed following the file naming convention and re uploaded to the /Progress Reports/In folder
- Once the progress report has been re uploaded, check the Acknowledgement file to ensure that the progress report was successfully accepted and delivered to the Support Coordinator.

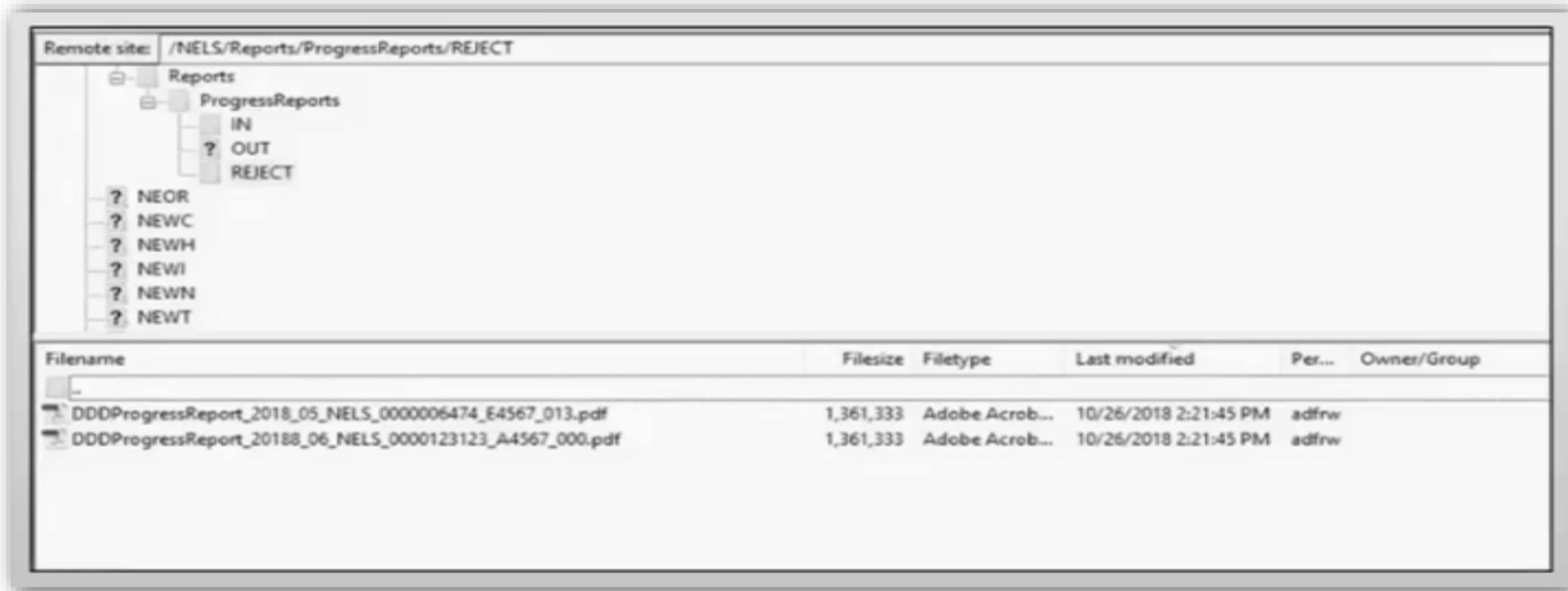


Progress Report File: Rejected Files

- Files that are rejected by the Progress Reports System are moved to the Vendor's REJECT folder, which can be found at the following location:
 - /Reports/ProgressReports/REJECT



Progress Report File: Rejected Files FTP Folder Screenshot

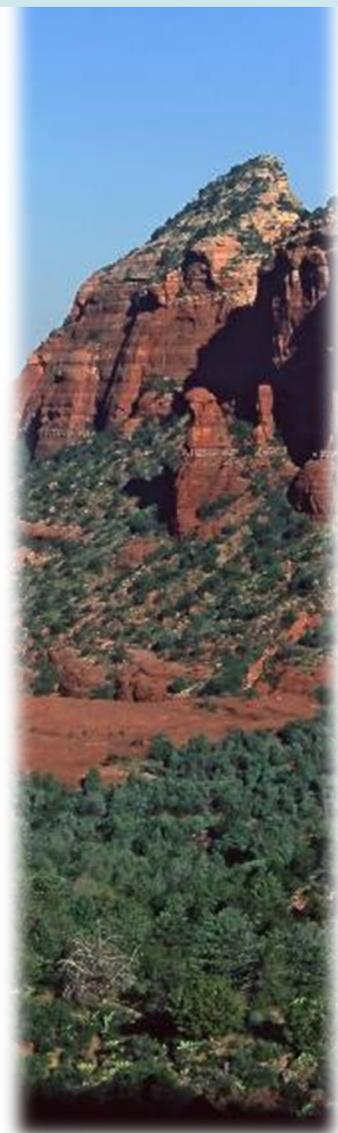


Remote site: /NELS/Reports/ProgressReports/REJECT

Directory structure:

- Reports
 - ProgressReports
 - IN
 - ? OUT
 - REJECT
 - ? NEOR
 - ? NEWC
 - ? NEWH
 - ? NEWI
 - ? NEWN
 - ? NEWT

Filename	Filesize	Filetype	Last modified	Per...	Owner/Group
DDDProgressReport_2018_05_NELS_0000006474_E4567_013.pdf	1,361,333	Adobe Acrob...	10/26/2018 2:21:45 PM	adfrw	
DDDProgressReport_20188_06_NELS_0000123123_A4567_000.pdf	1,361,333	Adobe Acrob...	10/26/2018 2:21:45 PM	adfrw	



Progress Report File: Notification Emails

Files that are successfully processed by the Progress Reports System will be matched to the appropriate Support Coordinator or Supervisor. All the files that are successfully processed each day will be grouped together and emailed to the Support Coordinator or to the Supervisor if the Support Coordinator is not available. Only one email will be sent each day and that email will contain every successfully processed Progress Report File as an attachment.



Progress Report File: Sample Notification Email



Have Questions After Reviewing This Information?

Please contact your District Network Manager or the Customer Service Center

- DES DDD Customer Service Center

DDDCustomerServiceCenter@azdes.gov

Toll Free (844) 770-9500 ext. 1

TTY/TDD 711

Fax: (602) 542-6870

