Project Name: XML Forms Submission

Subject Content: Parallel Testing Requirements for the XML Project

Document Date: 2/7/2006

Filename: XML Forms Submission\Misc Documentation\Parallel Testing Requirements for the XML Project 20060207.doc

Table of Contents

Introduction

The purpose of this document is to describe the parallel testing phase of the XML Project to organizations that are working towards becoming the Board's partners in submitting XML submissions that contain C-4 transactions. If additional background information is needed regarding the XML Project, please contact the NYS Workers' Compensation Board Help Desk to request to speak with a member of the XML Project team.

Definition of Parallel Testing

Parallel testing is defined as such because the submitter will submit "real" data meaning it is duplicative of data that has been submitted to the Board on production C-4 forms (via paper or key entered on the web). Parallel test data submitted in an XML submission (data and attachments) will be compared by Board personnel to data submitted on production C-4 forms for the same respective transactions.

Goal of Parallel Testing

The goal of parallel testing is to ensure that the Board will not receive less data and/or fewer attachments by accepting electronic C-4s uploaded to the Board via the XML process. In fact, the Board hopes to receive additional data. Certainly, if required data, as documented by the XML schema, is not currently present on a paper C-4 for any given transaction, then this data would need to be added to the respective electronic C-4 transactions contained within the XML submission.

Parallel Test Phase

The parallel testing phase must be performed within the following chronological sequence:

- Preliminary testing is successfully completed
- Parallel testing is successfully completed
- Production XML submissions are accepted by the Board from the submitter

Preliminary testing gives the partner the opportunity to demonstrate to the Board that they can construct a submission that is properly formatted. It is not necessary to use production data for preliminary testing. The XML file submitted during preliminary testing must properly validate against the schema. Binary attachments (TIFF) must conform to the Board's specified set of requirements. Text attachments (ASCII) must conform to the Board's specifications defined within the schema.

Parallel testing will occur AFTER successful preliminary testing. This is to ensure that a parallel test submission does not fail due to an incorrectly formatted submission.

Before the parallel test phase begins, the submitter needs to identify medical providers to participate in the testing phase with them. The medical providers' role during the parallel test phase will be to submit production C-4 data and attachments to the Board as they normally do, and at the same time, make this production data available to the submitter to create the XML submission for submission to the Board for a parallel test. The submitter is responsible for providing the URL (http://www.wcb.state.ny.us/content/ebiz/xmlschemas/xmldata.htm) to each medical provider they wish

to partner with, so that each medical provider may register with the Board to become part of the parallel test.

The parallel test phase of the project must be successfully completed before the submitter may submit C-4 data and attachments for production.

Legal Requirements for Medical Providers

The medical provider is required to register online to become part of the testing. This includes clicking "I accept" on a disclaimer explaining that the testing process does NOT eliminate the medical provider's requirement to submit production C-4 data during the parallel testing phase. C-4 data supplied by the medical providers to the submitters during any of the testing phases will NOT, under any circumstances, become production data accessible from the Board's claims information system. Therefore it is important for the medical provider to understand, by reading the disclaimer, that the data given by the medical providers, to submitters for testing purposes, MUST also be submitted into production, as the medical provider currently does, via paper or key entered into the online form on the Board's website.

Legal Requirements for the Submitter

The submitter must sign and notarize a confidentiality testing agreement and return that agreement to the Board prior to beginning the parallel test phase.

Required Characteristics of Parallel Test XML Submissions

The parallel testing phase will be accomplished in two parts in order to manage the volumes of transactions in a way that will be most cost effective for the submitter to produce. The first part will consist of the submitter submitting "smaller" parallel test XML submissions.

After the minimum amount of "smaller" XML parallel test packages have been submitted to the Board AND the last "smaller" package submitted was 100% in compliance regarding format and completeness of data and attachments, then one or more "larger" XML parallel test packages must be submitted to the Board by the submitter.

The "larger" submission will earn a "Pass" or "Fail" designation, based on the criteria described in the section of this document entitled "Pass / Fail Criteria for the Parallel Test XML submissions". As soon as the submitter has earned a "Pass" designation for a "larger" submission XML submission, the submitter will have successfully completed the parallel test phase and will not be required to submit additional parallel test XML submissions.

Parallel Test Part 1: "Smaller" XML Submissions

Five or more "smaller" parallel test XML submissions must be sent by the submitter to the Board.

Each "smaller" parallel test XML submission <u>must</u> have:

- a minimum of 3 transactions, AND
- a minimum of 1 text type attachment as part of a transaction, AND
- a minimum of 1 binary type attachment as part of a transaction, AND
- transactions from a minimum of two different medical providers.

[Please refer to the terminology section for more information about attachments.]

<u>All</u> of the criteria noted above must be met with respect to each of the "smaller" parallel test XML submissions submitted to the Board.

The Board will compare the transactions contained within the "smaller" parallel test XML submissions to the production data submitted via [paper] C-4s and provide feedback to the submitter regarding format and completeness of data and attachments. AFTER a "smaller" parallel test XML submission has been submitted with all the required data and attachments, as determined by the Board AND a minimum of five (5) "smaller" parallel test XML submissions have been submitted, the submitter may submit a "larger" parallel test XML submission to earn a "Pass" or "Fail" determination for that package. If a "Pass" is not earned on a "larger" parallel test XML submission, the submitter may submit additional parallel test XML submissions until a "Pass" is earned.

Parallel Test Part 2: "Larger" XML Submission(s)

The submitter must submit at least one "larger" parallel test XML submission.

Each "larger" parallel test XML submission <u>must</u> have:

- a minimum of 100 to 150 C-4 transactions, AND
- at least 10 transactions with 1 or more attachments (i.e. a minimum of 10 attachments) such that 1 or more of those 10 attachments be of a text type attachment *and* 1 or more of those 10 attachments be of a binary type attachment, AND
- transactions from a minimum of five different medical providers.

Please refer to the terminology section for more information regarding attachments.

The Board will compare the transactions contained within the "larger" parallel test XML submission to the production data submitted by the medical providers via [paper] C-4s and provide feedback to the submitter. The submitter will be informed as to whether or not the "larger" parallel test XML submission earned a "Pass" or not. If the file did not earn a "Pass", according to the criteria set forth in this document, detail will be provided to the submitter regarding the changes that need to be made so the

submitter may take that information into account when preparing a subsequent parallel test XML submission.

"Pass" / "Fail" Criteria for the Parallel Test XML Submissions

A parallel test XML submission is composed of multiple C-4 transactions.

Each C-4 transaction submitted in a parallel test XML submission will earn a 1 (acceptable) or 0 (not acceptable).

To earn a 1 for the transaction, all the criteria below MUST be met for that transaction:

- all required fields as specified in the schema must be provided, AND
- all conditionally required fields as specified in the schema must be provided, AND
- all attachments included in the corresponding production C-4 must be included with the XML C-4 transaction, AND
- all data contained in the corresponding production C-4 form must be included in the corresponding XML C-4 transaction.

If any one or more of the criteria above is not satisfied then the transaction will earn a 0.

Each parallel test XML submission submitted will earn a "Pass" or a "Fail".

To earn a "Pass", all of the criteria below must be met for that XML submission.

- A minimum of 98% of the transactions contained within the XML submission must have earned a "1".

  Formula:
      (number of transactions that earned a "1") / (total number of transactions in the XML submission)

  This quotient must be equal to or greater than .98

  Please note that the Board expects this number to be 100% however, a 2% margin has been allowed to handle potential situations such as where the production C-4 transaction has additional data however the data has been perceived as having no value. An example might be a word that was on the production C-4 with strikethrough.

- All the characteristics of the "larger" parallel test XML submission must meet or exceed the minimum requirements (i.e. number of transactions, number of attachments, number of different providers).

5

Conclusion

The parallel test phase has been designed to ensure the Board collects the same amount or additional data by accepting electronic C-4 transactions uploaded to the Board via the XML process. At the same time, the Board respects the time and effort required by both the submitter and medical providers to participate in the parallel testing phase. The Board feels the requirements contained in this document will ensure a quality testing process and as with any electronic process, the success rate of the process increases with the quality of the testing.

Terminology

Electronic Attachments (binary and text)

In the paper world, an attachment to a C-4 form consists of a separate paper related to the C-4 paper to which it is attached. Electronic attachments are part of the XML submission and associated with the discrete data provided within the respective C-4 electronic forms within that XML submission.

There are two types of electronic attachments, binary attachments and text attachments, which may be included as part of the XML submission. A binary attachment (TIFF) is a separate file within the XML submission. A text attachment (ASCII) consists of additional text contained within the XML file itself which must conform to the XML schema.

Please refer to the URL (http://www.wcb.state.ny.us/content/ebiz/xmlschemas/xmldata.htm) for the specifications regarding binary and text attachments. Both binary and text attachments are required to be included during the testing process.

Medical Provider

A medical provider is the author of the C-4 data and attachments.

Production C-4 Form

A production C-4 form is a C-4 form, either electronic or paper, that is submitted to the Board's production Claims Information System to be processed as part of the claimant's case. As of January, 2005, there are two methods a medical provider may use to submit production C-4 forms and attachments to the Board. The provider may fill out paper and mail it to the Board or the provider (with a User ID and password) may key enter the data onto the electronic C-4 form on the Board's web site.

Submitter

A submitter is the company that is submitting the XML submission to the Board.

Transaction

A transaction is a discrete C-4 form and all the corresponding data and attachments submitted with that discrete C-4 form.

XML Submission

An XML submission consists of the zip file submitted to the Board containing the discrete data described by the schema and all attachments. Attachments may be text attachments (ASCII) contained within the schema or binary attachments (TIFF).