



Department
of Health



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All Payer
Database



OPTUM®

Office of Quality and Patient Safety

Division of Information and Statistics

Original Source Data Submitter Project (OSDS)

Transaction Certification Process

Presented via WebEx by: NYS DOH All Payer Database and Optum Government Solutions, Inc.

July 10, 2020

Overview

- This presentation defines the approach, criteria, process instructions, and timeline for the OSDS certification for production.

OSDS Multi-phased Data Submitter Testing Approach

Network Connectivity Testing

- Confirm SFTP credentials and configuration to submit files to the OSDS system
- Confirm capability to retrieve responses via the SFTP

OSDS Data Submitter Testing

- Successfully test all transaction types from end-to-end
- Verify the ability to understand response files for edits on data structure and content

Certification

- Validate data submitter capability to meet minimum quality criteria for submitting files for 834, 837 and NCPDP transactions
- A data submitter will be certified by transaction type

Certification for Production Criteria

Data submitters will be certified to submit files to production for a transaction upon achievement of the following:

- ✓ Demonstrate ability to exchange files for each transaction type
- ✓ Submit at least 6 files for each transaction type; each file must contain 40 or more records; achieve an acceptance rate of at least 90% on each file
- ✓ Demonstrate the ability to process the associated response files

High-Level Overview of Certification Process

DOH approves the transaction type for certification

DOH notifies data submitters that the transaction type is open for certification

Data submitter follows “*Instructions for Certification*”*

Optum will notify a data submitter when certification requirements are met

* See Slide #7

Third Party Administrators

- Follow same process as a data submitter, except:
 - select one issuer whose data will be used during the certification process
- Will be certified to submit data for all of its issuers once certification requirements are met
- Will need to meet certification requirements for all transactions for which it submits data
- Do not need to submit files for all issuers for certification

Data Submitter *Instructions for Certification*

1. Confirm ECG SFTP is set up with Optum
2. Confirm ability to send and receive files with Optum
3. Send data file with a minimum of 40 records
4. Retrieve response file
5. Modify file, as necessary, to improve acceptance rate
 - **Minimum Tier II acceptance rate is 90%**
6. Repeat Steps 4 – 6 until:
 - **Six (6) files are returned with an acceptance rate of at least 90%**
7. Open Optum Help Desk Ticket to indicate readiness for certification for a specific transaction

Certification Process Details

- Data submitter will be certified for one transaction at a time
 - X12 834 Plan Membership Reporting
 - X12 837 Post-Adjudicated Claims Data Reporting (PACDR)
 - Professional
 - Institutional
 - Dental
 - National Council for Prescription Drug Programs (NCPDP) Post-Adjudication Standard
- Data submitters may be certified for one transaction and not others depending upon their business

Certification Process Details

- The six test files that achieve at least a 90% acceptance rate do not need to be sequential
 - Example: File 1, 2, and 3 pass and File 4 fails. Data submitter will need to submit 3 more files successfully.
- Six files must be submitted for each transaction type to be certified
 - 6 files for 834
 - 6 files for 837 Institutional
 - 6 Files for 837 Professional
 - 6 files for 837 Dental
 - 6 Files for NCPDP

Certification Process Details

- OSDS opening to accept production files will be announced separately
- Certification process will not end
 - It is expected that data submitters will be at different stages and will meet the certification requirements over time
 - Allows for new data submitters to be added
 - Allows for data submitters to add new transactions
- Data submitters are encouraged to test voids or adjustments prior to being certified for production

Certification Process Timeline

Transaction Type	Target Start Date
834	July 10th
NCPDP	Late July
837 Professional	Late July
837 Institutional	Early August
837 Dental	Early August

Questions and Answers



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