



Small Provider High Level Administrative Simplification Transaction Testing Checklist

The Small Provider High Level Administrative Simplification Transaction Testing Checklist is designed to provide guidance for completing tasks at each of the three levels of testing within an estimated timeline.

Complete each task as you move through the Levels. More than one task can be completed at the same time.

This High Level Checklist may be used alone or along with the more detailed version of the Administrative Simplification Transaction Testing Checklist.

Level 1

Timeline: 12 – 18 months from regulation implementation date

Level 1 Testing is the period during which entities perform all of their internal readiness activities in preparation for testing the new versions of the standards with their Trading Partner(s).

Planning

- Develop a Plan to meet your practice/organization needs.
- Review Regulation and begin identifying all areas that could be impacted by the Regulation changes, including Operating Rules. Look to professional associations for information and resources to help in understanding the impact to your practice/organization.
- Create a calendar with important deadline dates, including activities, from Trading Partner(s).
- Identify and list potential Issues/Risks to help your practice/organization manage the issues while implementing Regulation changes, including Operating Rules.
- Develop a plan to communicate with your Trading Partner(s).
- Create a Budget and secure funding for the Regulation implementation.

Assessment

- Identify potential impact of the Regulation change to your practice/organization by conducting a complete inventory of items such as business processes, vendors, and systems.
- Identify and create a list all Trading Partner(s) and the types of transactions traded with each.
- Contact your software vendor(s), including billing software, print image, and EHR/EMR vendors, to determine if they are planning to meet the new regulation and deadline.
- Begin developing a back-up plan in the event your practice/organization experiences delays with various transactions and/or processes.
- Evaluate staffing and training needed to meet Regulation changes.

Testing

- From the list of Trading Partner(s) created, identify those that are mission-critical.
- To identify your mission-critical Trading Partner(s) to be used in testing, contact each to determine their readiness and availability for testing.
- In preparation for End-to-End testing in Level 2, work with your mission-critical Trading Partner(s) identified in testing to:
 - Determine if your practice/organization will conduct testing or if your software vendor(s) will be testing on your behalf.
 - Determine how test files will be created and sent and how test results will be communicated to you.
 - Determine the types of transactions and data that your practice/organization requires to be tested.

Transition

- Before moving to Level 2, review Level 1 tasks verifying they are as complete as possible.
- Work with your software vendor(s) to determine when system/hardware changes will be finalized and update calendar.
- Determine and document how you will monitor claims and reimbursements after implementation deadline.

Level 2

Timeline: 6 – 12 months from regulation implementation date

Level 2 Testing is the period during which entities are preparing to reach full production readiness with Trading Partner(s). When an entity is in compliance with Level 2, it has completed some End-to-End testing with external Trading Partner(s).

Assessment

- Work with mission-critical Trading Partner(s) to be used in testing to determine their schedule for the system/software upgrade(s) and testing. Update calendar as necessary.
- Review potential Issues/Risks identified to ensure adequate contingencies are in place.
- Finalize training plans for staff.

Testing

- End-to-End testing should begin after system upgrade(s)/installation(s) has been completed. Once completed then verify:
 - Software versions are Regulation compliant.
 - NPI and TIN numbers to be used in testing are accurately set up.
 - Connectivity with Trading Partner(s) as applicable.
- When your identified Trading Partner(s) are ready for Level 2 End-to-End testing, verify and track the following:
 - Test files are being submitted.
 - Corrective action is being taken on errors identified during testing.
 - Retesting is being performed as necessary.
- Obtain and retain documentation for completed and passed testing with each mission-critical Trading Partner in your folder.

Transition

- Work with identified mission-critical Trading Partner(s) to obtain testing progress and estimated Regulation upgrade installation date.
- Establish a plan on how your practice/organization will implement changes and ensure staff will be familiar and knowledgeable with all new or changed workflows, business processes, and system upgrades.
- Before moving to Level 3, review Level 2 tasks verifying they are as complete as possible.

Level 3

← **Timeline:** 1 – 3 months from regulation implementation date →

Level 3 Testing is the period during which End-to-End testing is performed with external Trading Partner(s) and the Trading Partner(s) is able to operate in production/production-like mode with the new versions of the standards by the end of that period.

Planning

- Revisit and finalize potential Issues/Risks identified to ensure adequate contingencies are in place prior to Regulation implementation deadline.
- Work with software vendor(s) to finalize production migration after testing is completed and ensure all system upgrade(s)/installation(s) have been or will be implemented prior to or by the Regulation deadline.
- Verify all documentation, including budget, is up-to-date in your folder.

Testing

- Continue to work with identified mission-critical Trading Partner(s) until End-to-End testing is completed.

Transition

- As End-to-End testing is being completed, work with software vendor(s) to schedule implementation of software upgrade(s)/installation(s) and complete transition to production-ready systems.
- If your practice/organization and/or your Trading Partner(s) will not be ready to implement Regulation changes by deadline date, work with each to:
 - Document reasons why you/they will not be ready.
 - Document plans to be taken to get ready and estimated date to be ready.
 - Implement your back-up plan for submitting and receiving transactions.
- Once upgrade(s)/installation(s) have been completed, verify the software was installed successfully and your system(s) operates as expected.
- Confirm any new workflows, business processes, and office flow changes have been implemented. Make adjustments as necessary.
- Implement plan created to monitor Regulation change(s) to ensure compliance and the impact on your practice/organization.

Process Flow

