

## **SD/MC HIPAA Phase I - DMH County HIPAA Testing Procedure**

### **STEP 1. HIPAA Validation**

**Create an 837P and 837I transaction** (if applicable) for testing. See the [DMH Office of HIPAA Compliance - Transactions & Code Sets](#) for detailed information on the content of the transactions for Short-Doyle / Medi-Cal claiming.

### **STEP 2. Obtain access to ITWS HIPAA 837 testing area**

If you do not have an ITWS user ID yet, you will need to go through the new user enrollment process. See the [ITWS Virtual Tour](#) for detailed information on the enrollment process with ITWS.

If you are an existing ITWS user, you will need to go through the membership addition process to obtain the access to the testing area. See the [ITWS Virtual Tour](#) for detailed information adding memberships with ITWS.

Access to ITWS testing area will NOT be available until you receive the authorization approval email. The process may take up to 3-5 working days. If you have any questions regarding user access, please call Loren Rubenstein at 916-654-6249.

### **STEP 3. Zip and name your test data**

The password for zipping the file is the same as the one used currently in the production environment. The compressed claim file name must be in the following format:

DMH\_SDM\_yourcountycode\_T\_837\_yyyymm\_##.zip

The text claim file name must be in the format:

DMH\_SDM\_yourcountycode\_T\_837\_yyyymm\_##.txt

- yyyy: Calendar year applicable to the service period of the claims. Only one fiscal year of claims may be included in a single text claim file.
- mm: Calendar month applicable to the service period of the claims. Claims may be from multiple months of services but not cross fiscal years within a single text claim file.
- ##: Sequential number defining the number of files created for the same service period year and month. This character must sequence from "01" through "99".

Each claims file must be compressed and encrypted using PKZip® V6.0.147 or Winzip® V8.0 (or above). Each zip file may contain only one claim file.

### **STEP 4. Upload to ITWS**

Upload testing data to ITWS. See the [ITWS Virtual Tour](#) for detailed information uploading data to ITWS.

### **STEP 5. HIPAA Validation (Claredi) / Translator Validation / SDMC / 835 & EOB**

All test files must meet WEDI SNIP Type 1 to type 5 testing requirements (see page 3).

If you would like to use another testing tool, the following web sites may be of assistance: [Edifecs](#) or [Claredi](#)

An 837 file successfully uploaded via ITWS will automatically do a HIPAA validation using Claredi. An automated e-mail message notifies the county when a 997 is ready for download from ITWS. Errors must be corrected and the test file can be re-submitted by using the [ITWS Processing Status](#) Screen. This screen also provides a detail description of errors by hitting the "HIPAA Error Details" button. Note: If no error details are available is displayed, usually a TA1 error. For a TA1 error you want to double check the header and trailer groups of your 837 file. When a PRO file is created the

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DMH TCS Coordinator will validate and send the file to DHS for SD/MC processing. Successful test will generate an EOB and 835 (DMH representative will notify the submitter when the 835/EOB is ready for download). A county can repeat this step as many times as necessary until you are ready to certify. Then move to **STEP 6**.

### **STEP 6. County HIPAA Certification for Production**

Certifying for the SD/MC production system starts by submitting a new 837 (I/P) file with an average claim file size via ITWS upload (average claim file size = average claim file size currently submitted in the proprietary SD/MC system). **Contact your DMH HIPAA TCS Coordinator if you need to know the average claim file size for your county.**  
Note: A MH1982A claim form is only required for production processing.

### **STEP 7. Translator Validation and SD/MC Validation**

The 837 needs to pass 15 edits in the translation process to create a proprietary PRO file. All errors must be corrected. The file can be re-submitted using the ITWS Processing Status screen via ITWS. When a PRO file is created the DMH TCS Coordinator will validate and send the file to DHS for SD/MC processing. The following e-mail will be sent to the submitter "The SDMC claim file "file name" was successfully validated and assigned the batch number: 123456. The DMH TCS Coordinator will notify the county via email when the EOB/835 are ready for download.

### **STEP 8. County Acceptance of SD/MC EOB and 835**

**If the County accepts the results from the EOB/835, the last step is to send an email confirmation of acceptance to the DMH TCS Coordinator. A county staff person must send the email (not a vendor) to the DMH TCS HIPAA Coordinator. (See sample email attachment "A")**

### **STEP 9. Trading Partner Agreement (TPA)**

DMH requires that a TPA be signed by a signing authority of your county and returned to DMH prior to submitting HIPAA production claims for the SD/MC billing process. A copy of the TPA can be downloaded at anytime during the testing phase and completed prior to certification. DMH has provided a TPA template for your county to download using ITWS, select 'systems' select HIPAA, and under 'HIPAA Information', click on CHIP, find and open the TPA, or use the following link: <https://mhhitws.cahwnet.gov/systems/hipaa/docs/public/chip.asp> , or 2) contact your **DMH HIPAA TCS Coordinator** at (916) 653-0736 or [David.Hartson@dmh.ca.gov](mailto:David.Hartson@dmh.ca.gov) .

### **Step 10. DMH Production Readiness Letter**

When steps 6-9 are completed, DMH will send out a letter that confirm the county is HIPAA certified and ready to begin submitting HIPAA Production claims. A DMH HIPAA Production Checkoff List will be enclosed with the letter. **Please note: A county certified is expected to send 837 transactions for claims processing, but the SD/MC Proprietary system is available as a backup contingency plan until a cut-over date is determined. The QA HIPAA Test environment is always available for additional testing.**

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**DMH Contact Information**  
Office of HIPAA Compliance  
David Hartson  
916-653-0736  
[David.Hartson@dmh.ca.gov](mailto:David.Hartson@dmh.ca.gov)

**DMH Help Desk**  
ITWS Enrollment or Technical  
916-654-3117

### Web Links:

[DMH Office of HIPAA Compliance - Transactions & Code Sets](#)

[Edifecs](#) - HIPAA Validation Test Tool

[Claredi](#) – HIPAA Validation Test Tool

[ITWS Virtual Tour](#) – Enrollment Process

[ITWS Virtual Tour](#) - Adding Memberships

[ITWS Virtual Tour](#) – How to Upload Data

## DMH Short-Doyle / Medi-Cal (SD/MC) HIPAA Phase I County/Vendor Testing and Certification Procedure **WEDI SNIP Testing Type 1 to Type 5**

From: Transaction Compliance and Certification  
WEDI SNIP – Transaction Work Group Testing Sub Workgroup  
At [http://www.wedi.org/snip/public/articles/Testing\\_whitepaper082602.pdf](http://www.wedi.org/snip/public/articles/Testing_whitepaper082602.pdf)

**Type 1:** EDI syntax integrity testing – Testing of the EDI file for valid segments, segment order, element attributes, testing for numeric values in numeric data elements, validation of X12 or NCPDP syntax, and compliance with X12 and NCPDP rules. This will validate the basic syntactical integrity of the EDI submission.

**Type 2:** HIPAA syntactical requirement testing – Testing for HIPAA Implementation Guide-specific syntax requirements, such as limits on repeat counts, used and not used qualifiers, codes, elements and segments. Also included in this type is testing for HIPAA required or intra-segment situational data elements, testing for non-medical code sets as laid out in the Implementation Guide, and values and codes noted in the Implementation Guide via an X12 code list or table.

**Type 3:** Balancing – Testing the transaction for balanced field totals, financial balancing of claims or remittance advice, and balancing of summary fields, e.g. all claim line item amounts equal the total claim amount (see pages 19-22, Healthcare Claim Payment/Advice – 835 Implementation Guide).

**Type 4:** Situation testing – The testing of specific inter-segment situations described in the HIPAA Implementation Guides, such that: If A occurs then B must be populated. This is considered to include the validation of situational fields given values or situations present elsewhere in the file. Example: if the claim is for an accident, the accident date must be present.

**Type 5:** External code set testing – Testing for valid Implementation Guide-specific code set values and other code sets adopted as HIPAA standards. This will validate the code sets and also make sure the usage is appropriate for any particular transaction and appropriate with the coding guidelines that apply to the specific code set. Validates external code sets and tables such as CPT, ICD9, CDT, NDC, status codes, adjustment reason codes, and their appropriate use for the transaction.

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### Attachment "A"

#### SAMPLE E-MAIL TO DAVE For HIPAA CERTIFICATION

**From:** "John Doe" <JDoe@co.riverside.ca.us>  
**To:** <David.Hartson@dmh.ca.gov>  
**Date:** 3/29/2005 9:08:23 AM  
**Subject:** HIPAA Certification Procedures (Riverside County)

To: Dave Hartson,

As per the DMH HIPAA Certification procedures, please consider this email notice that (**YOUR COUNTY**) is accepting the test results of the EOB/835 test claim. The total amount approved in this EOB / 835 was (**PERCENTAGE** example:**96.6%**) from our Dec 04 Mental Health (**837P OR 837I**) test claim. (you'll have two e-mails if you have both the 837 I & P with the difference being the percentage of approved claims).

Our "County Director" is Ted Tanza, Director. Our address is 4095 County Circle Drive, Riverside, CA 92503.

Thanks.