

Community Care Information Management (CCIM)

Integrated Assessment Record (IAR)

RAI-MH Implementation Validation Guide

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IAR Implementation Testing/Validation/acceptance Responsibilities

Responsibilities of vendors:

Development testing is the responsibility of the implementing vendor. The vendor must ensure that the implemented system meets all of the requirements of Assessment Schema Validation, IAR Manual Upload, Automated Submission and Historical Upload.

The vendor is responsible for performing system testing on Assessment Schema Validation: In the case of RAI-MH this is done through the Canadian Institute for Health Information (CIHI). The vendor is also responsible for data submission testing directly to the IAR system as outlined in this document, as well as assisting the health service providers (HSPs) in performing their systems and data submission testing.

Responsibilities of HSPs:

It is the responsibility of the HSPs to review and understand the automation requirements as documented/communicated by the IAR project team.

It is the responsibility of the HSPs to test, validate and accept the delivered solution from their vendor based on the requirements communicated by the IAR project team AS WELL AS any specific needs that the HSPs have based on their technical infrastructure (e.g. hardware, software), other implemented software applications already in use by the HSP, and the specific business processes, users, access, approval etc. pertaining to the HSP. The HSP must perform IAR data submission testing directly with the project team once their solution has been implemented by their vendor.

Responsibilities of the project team:

It is the responsibility of the project team to clearly document/communicate the requirements to the vendors and the HSPs. The project team must be available to answer any and all questions regarding the requirements and make updates/clarifications to the requirements as needed based on questions/feedback from the vendors and/or HSPs.

It is the responsibility of the project team at CCIM to provide the appropriate material and environment for system testing and to support the vendors and HSPs through their test phases. The project team **IS NOT** responsible for testing, validating or approving the implemented solution delivered to the HSPs.

Purpose of this Document

The Integrated Assessment Record (IAR) is implemented and well under way. Numerous Local Health Integration Networks (LHINs) and related health service providers (HSPs) have been using the system for the first time. As part of the process, assessment collection tools used by HSPs will require modification in order to submit assessments to the Integrated Assessment Record (IAR) system, and to ensure that it can function as a multi-sector clinical viewer.

This document is intended to be a guide for HSPs to use with their vendor of choice as a means to communicate the testing/validation requirements for successful integration of their system to the IAR.

If there are any questions/concerns regarding this document, contact the Integrated Assessment Record (IAR) Project team at: iar@ccim.on.ca

Intended Audience

This document is intended for Mental Health HSPs that are completing the RAI-MH Assessment and their vendor of choice that is implementing the IAR.

This document as well as supporting documents and communication will be shared with both the Mental Health HSPs as well as the vendors involved in the IAR solution.

Implementation validation process overview

For Vendors:

Step 1 – Vendors should complete unit, integration and system testing throughout the implementation process based on the requirements documentation provided by CCIM for the [“Data Submission and Technical Specifications”](#), including any communications or clarifications that come out of the weekly vendor teleconference calls during the implementation phases.

Step 2 – Vendors must pass **Assessment Schema Validation**, which means that their software can produce the required assessment data in the appropriate format: i.e. XML structure for RAI-MH

Step 3 – Vendor software solution includes functionality to generate a data feed that is manually produced and submitted to the **IAR Manual Upload**.

Step 4 – Vendor software solution includes functionality to generate an automated data feed that can automatically transmit to the **IAR Web Service** from the HSP site as often as once per day.

Step 5 – Vendor software solution includes functionality to manually generate and send a data feed that includes up to two years of IAR collected RAI-MH assessment information. (Referred to as **Historical Submission**)

Note: The vendors should not limit their testing to the above mentioned steps. These steps are a minimum set of tests and vendors should engage their quality assurance teams to thoroughly test the IAR solution before delivering the final product to the HSPs.

For Mental Health HSPs:

HSPs should conduct User Acceptance Testing (UAT) and IAR data submission testing and validation to ensure that all key requirements that were defined by the IAR project team have been implemented by their vendor.

All the steps involved in achieving Validation milestone are described in the IAR Testing and Validation slide deck available here:

<https://www.ccim.on.ca/IAR/Private/Pages/Education%20Training.aspx>

HSPs must complete all those steps and obtain validation acknowledgement from CCIM in order to proceed with going “live” with the IAR.

If there are any concerns or errors in the system, HSPs can then escalate them to their vendor. In addition, UAT is a good exercise for HSPs to familiarize themselves with the system prior to Go Live.

Implementation Validation Test Process

The Integrated Assessment Record is the central data repository for all assessment information. The Implementation Validation Test Process involves capturing assessment information in the mental health HSP's software and submitting completed assessment records to the IAR test environment.

There are 4 identical submission tests that need to be covered for both manual file uploads and Web Service uploads to IAR. This set of submission tests needs to be passed for each major assessment type for a given sector supported by the vendor: i.e. RAI-MH plus up to 2 years of historical formats covering 2010 and 2011.

In order to successfully pass a test, the submission must pass through schema validation and successfully upload manually and through Web Service to the IAR without error.

The tests themselves will confirm that the following criteria are met:

1. The IAR Submission Envelope is formatted correctly
2. The IAR SOAP Envelope is formatted correctly (Web Service only)
3. All necessary submission header values are properly configured
4. Assessment data and IAR PHI data match correctly
5. Assessment data passes schema validation
6. All of the various assessment types are covered
7. All allowed actions (adding, updating, deletion) work as expected
8. Historical information can be produced, submitted and accepted into the IAR
9. Error conditions are handled by vendor software

Important:

The CCIM Validation Environment is provided by CCIM for testing and validation purposes only. The Validation Environment is a developing environment that does not and cannot provide necessary controls to safeguard PHI. In case of an accidental upload of PHI to the Validation Environment please immediately notify the CCIM Vendor Management team at 416-597-6019 or 416-597-6508 to remove the uploaded PHI to minimize the risk of unauthorized PHI disclosure.

How to obtain access to the IAR Test Environment

Prior to any test submission, a specific account must be set up within the IAR Test Environment. The IAR will issue a unique ID and application identifier to each vendor and health service provider to be used for all test purposes.

An account will be made available upon receipt of an email request to iar@ccim.on.ca with a subject line of "IAR Technical – Request Test system access".

IAR Validation Environment –Instructions for Manual and Web Service Submissions

Web Service Configuration:

You will need to configure your source test software environment to submit automatically to the IAR validation environment.

Configuration Details:

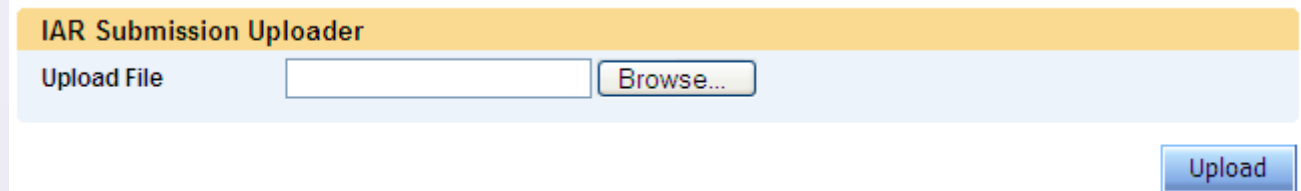
- To configure web service submissions in your source test software, the submission url is: <https://iarvt.ccim.on.ca/iarws-2.0/services/SubmissionService>
- Configure your source test software with the user ID: **Contact CCIM to obtain the user ID**
- Configure your source test software with the password: **Contact CCIM to obtain the password**

Web Service Submission Verification:

1. Once you have completed your web submission, Sign into the IAR validation environment (with the same username and password as above) to review the status of your submission via this link: <https://iarvt.ccim.on.ca/concerto/Concerto.htm>. This is a direct link to the IAR validation environment.
2. Enter the first and last name of your mock client in the appropriate search boxes
3. Click on 'Search' and ensure that you are able to find your mock client and associated assessment scenarios
4. If you have successfully found your mock client and associated assessment scenarios, please request validation of your test submission by e-mailing CCIM at: iar@ccim.on.ca. Subject Line: **Request for Validation**
5. Please provide the following in your request:
 - Mock client's first and last name used in the submission
 - Assessment IDs (generated by your source test software)
 - Transaction IDs
 - Note: Please ensure the use of unique client names. Avoid the use of common names (i.e. John Smith, Test Client), cartoon characters (i.e. Bugs Bunny) & celebrity names (i.e. Tom Cruise).

Manual Uploads:

1. Open your internet browser and go to the following link:
<https://iarvt.ccim.on.ca/concerto/Concerto.htm>. This is a direct link to the IAR validation environment.
2. Use the user ID: Contact CCIM to obtain the user ID
3. Use the password: Contact CCIM to obtain the password
4. The Menu Bar on the left hand side of the IAR window is the primary navigation method. Click on 'Submissions'
5. Click on 'Upload'



IAR Submission Uploader

Upload File

6. The above screen will appear
7. Click on 'Browse' and choose the submission file you wish to upload
8. Once the file appears in the window, click 'Upload'
9. Return to the Menu Bar, select 'Person Search'
10. Enter the first and last name of your mock client in the appropriate search boxes
11. Click on 'Search' and ensure that you are able to find your mock client and associated assessment scenarios
12. If you have successfully found your mock client and associated assessment scenarios, please request validation of your test submission by e-mailing CCIM at: iar@ccim.on.ca. Subject Line: Request for Validation
13. Please provide the following in your request:
 - Mock client's first and last name used in the submission
 - Assessment IDs (generated by your source test software)
 - Transaction IDs

Tests Requirements

The tests comprise two main categories, Web Service submissions and Manual File upload. In order for a system to be deemed compliant, the test steps listed must be completed and successful. The same set of assessment data can be used to test both categories.

Important: When generating names for mock clients it is important to use names unique enough to search easily. The following site is one of many that can generate random names for testing:

<http://www.kleimo.com/random/name.cfm>

Please avoid using names such as 'Test Client' etc.

Important: Please remember that the information entered to complete mock assessments should not be real information pertaining to any real person. The information entered including first name, last name etc. as well as answers to all other questions in the assessment should be fake information.

Step 1 – RAI-MH (2012) Single assessment using same assessment ID

Assessment Type	Test 1: Web Service	Test 2: Manual	Direction
Add New	pass/fail	pass/fail	Submit mock assessment, take a screenshot of that assessment in client record in IAR.
Update (correction)	pass/fail	pass/fail	Make a minor change in the previously submitted assessment and resubmit, take a screenshot of change
Deletion	pass/fail	pass/fail	Submit a deletion of the same submitted assessment. Once deleted, ensure that the assessment is not longer viewable in the IAR.

For the update or correction, the IAR database will keep a record of both submitted assessments and track the assessment type. A deletion request record is to be sent to IAR when there is a deletion in the source software.

Step 2 – RAI-MH (2012) One upload per assessment type

Assessment Type	Test 1: Web Service	Test 2: Manual	Direction
Full Admission	pass/fail	pass/fail	Submit each mock assessment type in separate submission file
Quarterly	pass/fail	pass/fail	
Discharge	pass/fail	pass/fail	
Change in Status	pass/fail	pass/fail	

Short Stay	pass/fail	pass/fail	
Medication	pass/fail	pass/fail	

Step 3 - RAI-MH (2012) Multiple assessment per upload

Assessment Type	Test 1: Web Service	Test 2: Manual	Direction
Full Admission	pass/fail	pass/fail	Submit 3 or more assessments of any combination - mock assessments from the single upload can be reused
Quarterly	pass/fail	pass/fail	
Change in Status	pass/fail	pass/fail	

Step 4 –RAI-MH historical assessments

Assessment Type	Test 1: Web Service	Test 2: Manual	Direction	Assessment Type
RAI-MH 2010	pass/fail	pass/fail		Submit 1 file of 2 or more assessments of any combination for each historic year
RAI-MH 2011	pass/fail	pass/fail		

Step 5 – RAI-MH assessments with Grant/Deny consent directive

Assessment Type	Test 1: Web Service	Test 2: Manual	Direction	Assessment Type
RAI-MH 2012	pass/fail	pass/fail		Submit 1 assessment with consent directive as “grant”, take a screenshot of that assessment in client record in IAR. Re-submit the same assessment with the consent directive changed to “Deny”

Provide a screenshot of the consent directive option as it appears in vendor system UI (User Interface).