
DHB Compliance Procedure

System Upgrades and the National Collection Maintenance Programme (NCAMP)

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1. Introduction

This document describes the compliance testing process that takes place when either:

- (a) The Ministry of Health (the ministry) changes reporting requirements to the national collection.
- (b) A District Health Board upgrades or their Patient Administration System (PAS) which affects the data used to report through the National Collection Annual Maintenance Project (NCAMP)

It also covers requirements for compliance testing and describes the step by step processes that take place. Contact details for key staff are included at the end of this document. The staff may be contacted at any time during the compliance process.

2. Purpose of Compliance Testing

The purpose of compliance testing is to ensure that DHBs can:-

- a. Send a batch in the right format
- b. Send all mandatory fields and record types
- c. Receive return files and process them into their system for reconciliation
- d. Demonstrate that all information that should be reported to the national collection is included in the extract – eg all health specialty codes (where applicable), data from all facilities, all services and privately and publicly funded records.
- e. Send production sized files successfully
- f. Demonstrate that there are no patterns in the error or warnings for production sized batches – ie no evidence of data quality issues either with the data or with the way the DHB extract is being created. This may involve the Ministry's data quality analysts gaining an understanding of a wide range of issues including: the way services are delivered at the DHB and across facilities, the way that data is extracted to be included in batches, how the extract and return files are managed; vendor processes and how patches or new releases are managed at the DHB.

3. Compliance Testing Process

The ministry and DHBs agree to undertake compliance testing in the Operational Policy Framework.

Each DHB is requested to advise the Ministry (e-mail compliance@moh.govt.nz) when there is an upgrade to their PAS. This is to ensure that there are resources and an environment available for testing.

Compliance testing is made up of two phases:

1. **Script Based Testing**– Script based testing takes place if there are significant changes to the national collections or if there is a major change to a DHB's PAS. The scripts comprise of a number of scenarios to be manually entered into the new or upgraded system. The scripts are not all-encompassing and are designed to test specific parts of a collection that have been identified as problematic. Provisional compliance is granted when the script-based testing has been successfully completed.

2. **Production file testing** – Once provisional compliance is granted, an initial production file is processed into the ministry's compliance environment. This is to ensure a suitable success rate is achieved for the file. A data quality analyst will also review any errors and may contact the DHB if there are any concerns. Production file testing may also occur (without initial script based testing) for the following scenarios:
 - a. Minor changes to the national collections
 - b. Minor changes to a DHB's PAS, or
 - c. Where a DHB is unable to produce files through their test system.

A data quality analyst may request a production file to be re-submitted with errors resolved to be re-run in the compliance environment.

The ministry acknowledges that there are some patient administration systems that are unable to re-produce production files. Given this scenario, a data quality analyst may approve a non-compliant file to be loaded into production, however a DHB's status will remain at provisional compliance, and testing will continue for the next production file.

When a file achieves a suitable success rate and a data quality analyst has acknowledged the existing errors are not as a result of any underlying issue with a patient administration system, full compliance is granted.

Note that full compliance status may be revoked at any stage if a data quality analyst is unhappy with a DHB's file load success rate.

4. Requirements for Compliance Testing

- 4.1. Ideally, DHBs will have access to a test environment (or the ability to extract data for testing purposes) for each collection during NCAMP or system upgrade projects.

- 4.2. Compliance extract files created should be placed in the following ftp server location, per collection:
 - NBRS: compliance\nbrs – with CMPL in the header rather than PROD

- NMDS: compliance\nmids – with TEST in the header rather than PROD
- NNPAC: nnpac\compliance\
- PRIMHD: primhd\dropoff – with COMP as a prefix.

4.3. A load file should have an appropriate batch sequence number starting at number one and incrementing by one for each following extract e.g. HYK00001.ndm, HYK00002.ndm,etc. If this is not possible DHBs should advise Data Management team of the file numbering that they intend to use.

4.4. Completed test documentation needs to be sent to Data Management via email (compliance@moh.govt.nz) before providing the extract file. If a DHB is unable to follow a test scenario because the validation in their PAS prevents an action being completed, the DHB must indicate this on the returned test script documentation.

5. Testing Procedure

5.1. Script Based Testing

5.1.1. DHBs follow the scenarios provided in the test script document.

5.1.2. DHBs extract the data created with the appropriate environment variable in the header record.

5.1.3. DHBs create a file using the filename convention for the collection and place the file in the relevant directory on the FTP server.

5.1.4. Completed test scripts are sent by an e-mail to compliance@moh.govt.nz. This e-mail should also confirm the name of the compliance file.

5.1.5. The Ministry will reply to the email and advise when the file is expected to be loaded.

5.1.6. The file will be loaded and the DHB advised via email that the file has been loaded and that the return files are available on the FTP server. If there has been a problem with the file loading a data quality analyst will be in contact to discuss the issue(s).

5.1.7. If the file is loaded successfully a Data Quality analyst will review the compliance test scripts with the load files and provide written feedback to the DHB.

5.1.8. If all the tests for a collection have been passed successfully (no errors), the DHB will be notified and advised that “Provisional” compliance has been awarded.

5.1.9. If there are any errors in a scenario, the DHB will be contacted and expected to resolve these in the patient administration system. A replacement file will be required to show that the problems have been resolved.

5.2. Production File Testing

5.2.1. Before DHBs go live with their upgrade, a production extract (ideally from their test system) will be uploaded to the location mentioned in bullet point 4.2 and Data Management advised via an email to compliance@moh.govt.nz.

5.2.2. The DHB will be advised when the file will be loaded into the compliance environment

5.2.3. The file will be loaded into compliance and the DHB advised via email that either:

- The file loaded successfully in the compliance environment i.e. the file has passed the pre-processing validations; or
- There has been a problem with the file loading and provide details of the problem.

5.2.4. If the file has been loaded into compliance and achieves a load success rate of file is 98% or more, with no NCAMP related or systemic errors, then the data quality team will get back to the DHB to confirm if the file can be processed in the ministry’s production environment.

5.2.5. If the file has NCAMP related or systemic errors, the data quality team will contact the DHB to discuss results and may request a replacement batch after implementing the advised validations into the PAS.

5.2.6. Based on the outcome of the file processing the DHB will either receive a notification of full compliance or will be asked to make changes and continue sending their files to compliance until full compliance can be granted.

5.2.7. When a DHB has achieved full compliance for a collection, all subsequent files received for that collection will be loaded into the production environments.

MOH is committed to supporting DHBs to improve the quality of the data submitted to the national collections. Continual monitoring of file success rates, monthly and quarterly reports and compliance testing all contribute to high quality and trusted information in the national collections that is then used for research, funding and policy.

6. Contact details

The yearly NCAMP project maintains a compliance emailing list. If the contacts for your DHB change, or you would like to be included in the mailing list, please advise the NCAMP project via email to ncamp@moh.govt.nz.

For system upgrade related compliance, please contact the data management Team (Ministry of Health) at compliance@moh.govt.nz