APPENDIX G:
INDIVIDUAL REQUIREMENTS REVIEW (IRR)

See the accompanying Excel Spreadsheet titled
Appendix G IRR_IndividualRequirementsReview.xls.

Negotiated Requirements Review.

'Each negotiated requirement is presented using data from the multi-state negotiation of the Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of two AHIC use cases to commonly identified requirements reported across all participating states.

The following tables [T2] summarizes agreed minimum negotiated requirements and requirements placed in the parking lot for further discusion.

Negotiated Status: AUT 1 - User Authentication
" + " means item is to be included in minimum policy;

L- EHR Laboratory Use Case
M - Medication Management Use Case

" P " means Parking Lot - in need of further discussion.
Required-Optional Requirements

T2. AUT1 Matched Requirements across use cases and reporting state

		L	L/M	L/M	M	L	M	M	PARKING LOT
AUT 1 'User Authentication		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated Status									
	Method of User Identity Vetting:								
+	In person	R	R	R	R	R	R	R	In person to a trusted authority recognized by the State or Federal Government.
-	Notary		O	O		🟥	O	O	
+	Demonstrate Government-issued ID	R	R	R	R	R	R	R	
-	Other:_____								
+	Validate Provider Licensure	R	O	R	R	R	R	R	Validate provider licensure when applicant is requesting an identity tied to a regulated provider type
+	Validate Employees of Licensed Provider Organization	R	R	R	R	R	R	R	
+	HIO use of a specific naming convention as a primary	R	R/R	R	O	O	R	R	
	Assurance Level used:								
-	Low (username/PIN)	R	[R]			R			
+	Medium (Knowledge/strong password)	R	R	O	R	R	R	R	
	Lab Results Context Restrictions:								Need to send to HSPL collaborative - certain states have restrictions.
-	Ordering clinician		R	O		R	O		
-	Associated organization		R	O		R	O		
	Medication Context Restrictions:								Need definition/clarifications on both context restrictions. Out of scope for this project.
-	Ordering clinician		R	O	R			R	
-	Association with organization initiating order		O	O	O			R	
+	Sensitivity Restricted:								Where sensitivity restrictions apply, identity, role, affiliation and purpose of use must be declared and electronically codified.
RIA	HIV	R	O	R	R	R	O	R	
RIA	Mental Health Record	R	O	R	O	R		R	
RIA	Substance Abuse Record	R	O	R	R	R		R	
RIA	Sexual Health Record	R	O	O	R	R		R	
RIA	Prison Health Record	R	O	O					
RIA	Other: __genetic information_____	R							

🟥 State reported as Not implementable at this time

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

T2. 'AUT2 Matched Requirements across use cases and reporting state	L	L/M	L/M	M	L	M	M
AUT2- Subject of Care Identity	AZ	CO	CT	OK	MD	NE	WA
Negotiated Status							
+	Matching criteria policy (e.g., exact match on DOB, First Name, Last Name, Address)	R	R	**R**	R	R	R	R

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

T2. AUT3 Matched Requirements across use cases and reporting state	L	L/M	L/M	M	L	M	M	PARKING LOT
AUT3 - System Authentication	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated Status								
	System Identity Vetting:	R							Suggest changing "IN-PERSON SITE VISIT" to "data sharing agreement signed by legal and CEOs"
+	Assertion by Authorized Organization Representative	**R**	**R/R**	R	R	R	**R**	R	
+	Demonstrate association with Licensed Organization	R	R	R	R		R	O	
	Assurance Levels:								
+	High (PKI/Digital ID)			R	R			R	
+	Sensitivity Restricted			O					Where sensitivity restrictions apply, identity,role, affiliation and purpose of use must be declared and electronically codified.
RIA	HIV	R	/O		O	R		R	
RIA	Mental Health Record	R	/O	R	O	R		R	
RIA	Substance Abuse Record	R	/O	R	R	R		R	
RIA	Sexual Health Record	R	/O	R	O	R		R	
RIA	Prison Health Record	R	/O	O					
RIA	Other: Specify:_____	R	/O	O					

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

	Use case	L	L/M	L/M	M	L	M	M
T2. 'AUT4 Matched Requirements across use cases and reporting state		AZ	CO	CT	OK	MD	NE	WA
+	Use of Timestamp	R	R	R	R	R	R	R

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

		L	L/M	L/M	M	L	M	M	PARKING LOT
T2. AUT5 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
	Organization Identity Vetting:								
+	Personal Knowledge		R	R/O	O	R	R	R	
+	Demonstrate Articles of Incorporation		R/	/O	R	R	R	R	
+	HIO use of a specific naming convention as a primary identifier			R		R			Don't have right now. This is a requirement at the state level. Recommend development of a Naming Convention that can be registered and identified nationally.
RIA	Use of Object identifier (OID):_____			R	O	O			
RIA	Describe:_idiosyncratic naming (Colorado)_____		R		O				
	Assurance Levels:	**							
+	High (PKI/Digital ID)	R	R	R	R			R	
-	*Lab Results* Context Restrictions:								Out of scope for this project.
-	**Ordering system**		R/	O		R		R	
-	*Medication* Context Restrictions:								Out of scope for this project.
-	Ordering system			O	O			R	
-	Association with organization initiating order			O	O			R	
+	Sensitivity Restricted - Lab & Medication		O			R			Where sensitivity restrictions apply, identity, role, affiliation and purpose of use must be declared and electronically codified.
RIA	HIV		O	R	O	R	O	O	
RIA	Mental Health Record		O	R	O	R		O	
RIA	Substance Abuse Record		O	R	R	R		O	
RIA	Sexual Health Record		O	O	O	R			
RIA	Prison Health Record		O	O	O				

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

		L	L/M	L/M	M	L	M	M	PARKING LOT
T2. AUT6 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+	Means for identifying recipients of communications:	**							Need further clarification. Also not sure which use case it applies to. Need to have an identity established, but the identification method can include but not be restricted to one of the following methods:
+	Derived from ordering system communications		R	O		R		R	
+	Selected from provider directory			O	R			O	
+	Derived from identifiers included in request for information		/R	O	R	R		R	

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

L- EHR Laboratory Use Case

M - Medication Management Use Cas

Required-Optional Requirement

		AUT7 Included in Med Man. Use Case only.		M	M	M		M	M
T2. AUT7 Matched Requirements across use cases and reporting states			**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
+	Signer credentials:				R				
+	Credential issued by trusted authority			R	R	R			R
+	Credential is current			R	R	R			R
+	Credential is not suspended/revoked			R	R	R			R
+	Credential is of appropriate type (e.g. physician, pharmacist)			R	R	R			R
+	Data Integrity:				R				
+	Data has not been changed since signature				R	R			R
+	Timestamp				R	R			R

R- required; O - optional

Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of each AHIC use cases to those consistently identified requirements reported across all participating states.

'Each requirement under review is presented using data in a three table format.
The AHIC Use Case Events/Actions Triggering Requirement identifies the events/actions that trigger a specific requirement.

Table 1 (T1) - Use Case Events/Actions uses data from Part 4 of the data collection template to identify common events/actions under which a specified requirement is or may be triggered across the participating state models. [L or M indicates which use case the event or action come from: L represents EHR Lab Result; M respresents Medication Management.]
The specified event or action use case code is given as is a summary of the event or action that triggers the requirement in review.

Table 2 [T2] Uses data collected from Part 3 and delineates each requirement to understand the differences of each element and identify common areas for potential policy development.

		AHIC Use Case Events/Actions Triggering Requirement AUT1- **User Authentication**
L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3.1	Submit authentication info to locator
L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form

Ambulatory Clinician Perspective

M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient

Ambulatory Pharmacist Perspective

M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form

Information Exchange

M	8.2	Locate records
M	8.3	Retrieve data

		T1. Use Case Events/Actions Triggering Requirement AUT1- **User Authentication**
L	**3.2.1.1a**	Send request for historical result to repositories
L	**3.2.3.1**	Submit authentication info to locator
L	**3.2.4.2**	Submit authentication info to data repository
L	**3.4.2.1**	Authenticate to locator service
L	**3.4.3.2**	Authenticate and verify as ordering clinician of care
L	**3.5.2.1**	Authenticate clinician requesting lab test result
M	**6.1.2.1**	Request information in electronic form

Ambulatory Clinician Perspective

M	**7.1.2.1**	Check patient eligibility
M	**7.1.3.1**	Request available med/allergy info in electronic form
M	**7.1.6.1**	Communicate current med list, scripts, allergy info, care instruct to patient

Ambulatory Pharmacist Perspective

M	**7.2.1.1**	Verify script
M	**7.2.2.1**	Request available med/allergy info in electronic form

Information Exchange

M	**8.2**	Locate records
M	**8.3**	Retrieve data

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

Write the RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

			Required-Optional Requirements*						
	T2. AUT1 Matched Requirements across use cases and reporting states	Negotiated Status	L	L/M	L/M	M	L	M	M
	User Authentication		**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
RESOLVED POLICIES / ISSUES / EXPLANATIONS		Negotiated Status							
	Method of User Identity Vetting:								
Add to minimum policy	In person	+	R	R	R	R	R	R	R
Issue with notary versus in person. Send to Legal team and write definition of both.	Notary	P		O	O			O	O
Add to minimum policy	Demonstrate Government-issued ID	+	R	R	R	R	R	R	R
AZ to check back what was response to Other.	Other:_____	P	R						
4 options with different meanings for where applicable in. Need definition	Validate Provider Licensure	P	R	O	R	R	R	R	R
Add to minimum policy	Validate Employees of Licensed Provider Organization	+	R	R	R	R	R	R	R
Add to minimum policy	HIO use of a specific naming convention as a primary identifier	+	R	R/R	R	O	O	R	R
OID is not required in CT therefore not included in policy.	Use of Object identifier (OID):_____	-		R					
	Describe_____								
	Assurance Level used:								
	Low (username/PIN)	+	R	[R]			R		
States agree on Medium as minimum policy	Medium (Knowledge/strong password)	+	R	R	O	R	R	R	R
	High(PKI/Digital ID)	-		O					
	Very High (Token)	-		R					
	Other_____								
Need to send to HSPL collaborative - certain states have restrictions	**Lab Results** Context Restrictions:								

Notes	P		C1	C2	C3	C4	C5	C6	C7
	P	Ordering clinician		R	O			R	O	
	P	Associated organization		R	O			R	O	
Need definition/clarifications on both context restrictions		*Medication* Context Restrictions:								
	P	Ordering clinician		R	O	R				R
	P	Association with organization initiating order		O	O	O				R
Need to send to HSPL collaborative - certain states have restrictions		Sensitivity Restricted:								
	P	HIV	R	O	R	R	R	O	R
	P	Mental Health Record	R	O	R	O	R		R
	P	Substance Abuse Record	R	O	R	R	R		R
	P	Sexual Health Record	R	O	O	O	R		R
	P	Prison Health Record	R	O	O				
	P	Other: __genetic information_____	R						
		Other_____							

🟥	State reported as Not implementable at this time

AHIC Use Case Events/Actions Triggering Requirement AUT2- Subject of Care Identity		
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
Ambulatory Pharmacist Perspective		
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.1	Identify subject
M	8.3	Retrieve data

T1. Use Case Events/Actions Triggering Requirement AUT2- Subject of Care Identity		
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
Ambulatory Pharmacist Perspective		
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.1	Identify subject
M	8.3	Retrieve data

Negotiated Status:

"+" means item is to be include in policy;

"−" means do not include item in policy. For all "-" please include explanation.

"P" means Parking Lot - in need of further discussion.

Write the RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Some states law do not permit collection of SSN
Some states law do not permit collection drivers license
Add to minimum policy. Also, clarfiy matching policy as weighted match.
CO not sure why selected
All states agreed not a minimum policy

Required-Optional Requirements*

T2. 'AUT2 Matched Requirements across use cases and reporting states		L	L/M	L/M	M	L	M	M
Subject of Care Identity		AZ	CO	CT	OK	MD	NE	WA
Negotiated Status								
	Collection and processing of patient demographics	R		R			R	R
-	Collection of SSN	R	O	O	O	O	R	
-	Collection of Driver's License		N/O		O		O	
	Matching criteria policy							
+	(e.g., exact match on DOB, First Name, Last Name, Address)	R	R	R	R	R	R	R
-	Other_____		R					
-	Provider prove subject of care	R			R			

State reported as Not implementable at this time

T1. Use Case Events/Actions Triggering Requirement AUT3- System Authentication		
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate cllinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.2	Locate records

Negotiated Status:

"+" means item is to be include in policy;

"−" means do not include item in policy. For all "-" please include explanation.

"P" means Parking Lot - in need of further discussion.

Required-Optional Requirements*

T2. AUT3 Matched Requirements across use cases and reporting states	L	L/M	L/M	M	L	M	M
System Authentication	AZ	CO	CT	OK	MD	NE	WA
Negotiated Statu							

			AZ	CO	CT	OK	MD	NE	WA
		System Identity Vetting:	R						
	-	In-Person – site visit	**O**	**O**	O	O	O	**U**	**O**
	+	Assertion by Authorized Organization Representative	**R**	**R/R**	R	R	R	**R**	R
	-	Certification			O				
	-	FDA							
	-	CCHIT				R			
		Other _____							
	-	System IP Address	R		O				
	-	System Domain Name	O	R/	O				
		Other _____							
	+	Demonstrate association with Licensed Organization	R	R	R	R		R	O
		HIO use of a naming convention as a primary identifier							
		Use of Object identifier (OID):_____			O		O		R
		Describe:_____		R/					
		Assurance Levels:							
		Low (Username/PIN)							
		Medium (Knowledge/strong password/shared secret)						R	
	+	High (PKI/Digital ID)			R	R			R
		Very High (Token)							
		Other : vpn(Colorado); Secure Gateway Connection (Arizona)	R	R					
	-	*Lab Results* Context Restrictions:							
	-	Ordering system		R	O			O	
	-	*Medication* Context Restrictions:							
	-	Ordering clinician			O				R
	-	Association with organization initiating order			O	O			R
	P	Sensitivity Restricted			O				
	P	HIV	R	/O		O	R		R
	P	Mental Health Record	R	/O	R	O	R		R
	P	Substance Abuse Record	R	/O	R	R	R		R
	P	Sexual Health Record	R	/O	R	O	R		R
	P	Prison Health Record	R	/O	O				
	P	Other: Specify:_____	R	/O	O				
		Other _____							

Left margin notes (aligned to rows):
- Suggest changing to "data sharing agreement signed by legal and CEOs"
- Add to minimum policy
- Add to minimum policy
- Add to minimum policy. High assurance level needed in future.
- Restrictions by state law and practices. Forward to legal.
- Restrictions by state law and practices. Forward to legal.
- Restrictions by state law and practices. Forward to legal.
- Restrictions by state law and practices. Forward to legal.
- Restrictions by state law and practices. Forward to legal.
- Restrictions by state law and practices. Forward to legal.

T1. Use Case Events/Actions Triggering Requirement AUT4- **Data Authentication**		
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents
L	3.5.1. 2	Verify authenticity of lab test result location and completeness of related information
M	6.1.1.1	Receive info from drug suppliers
M	6.1.3.3	Document med reconciliation
M	6.1.7.3	Document med reconciliation
M	6.1.8.1	Prescribe new meds at discharge
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	M	M
T2. 'AUT4 Matched Requirements across use cases and reporting states			**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
	+	Use of Timestamp	R	R	R	R	R	R	R
	-	Signature Purpose (ASTM E1762)			R	R	R	O	R

Add to minimum policy.
Difficult to implement.

T1. 'Use Case Events/Actions Triggering Requirement AUT5-Organization Authentication		
L	3.5.2.1	Authenticate cllinician requesting lab test result
Information Exchange		
M	8.3	Retrieve data

Write the RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	M	M
T2. AUT5 Matched Requirements across use cases and reporting states			**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
		Organization Identity Vetting:							
	+	Personal Knowledge		R	R/O	O	R	R	R
		Certification				O			
	-	Joint Commission			/R	■			O
	-	SAS-70 Compliance			/R	■			O
	-	ENHAC Compliance			/R	■			O
		Other _____			/O				
	+	Demonstrate Articles of Incorporation		R/	/O	R	R	R	R
		Other _____							
		Validation of Organization Licensure	R	/R	R/	R		R	R
	P	HIO use of a specific naming convention as a primary identifier			R		R		
	P	Use of Object identifier (OID):_____			R	O	O		
	P	Describe:_idiosyncratic naming (Colorado)_____		R		O			
		Assurance Levels:	**						
		Low (Username/PIN)					R		
		Medium (Knowledge/strong password/shared secret)						R	
	+	High (PKI/Digital ID)	R	R	R	R			R
		Very High (Token)							
		Other ____VPN_(Colorado)___		R					
	P	*Lab Results* Context Restrictions:							
	P	Ordering system		R/	O		R		R
	P	*Medication* Context Restrictions:							
	P	Ordering system			O	O			R
	P	Association with organization initiating order			O	O			R
	P	Sensitivity Restricted - Lab & Medication		O			R		
	P	HIV		O	R	O	R	O	O
	P	Mental Health Record		O	R	O	R		O
	P	Substance Abuse Record		O	R	R	R		O
	P	Sexual Health Record		O	O	O	R		
	P	Prison Health Record		O	O	O			

Change "In Person - Site Visit" to "Personal Knowledge", minimum policy

Not to be included in policy.

Not to be included in policy.

Not to be included in policy.

Remove word "Healthcare", Minimum policy

Don't have right now. This is a requirement at the state level. For future discussion.

Add to mimumum policy.

Need definition. Same issues as AUT-1

			Other: Specify:_____			O				

T1. 'Use Case Events/Actions Triggering Requirement AUT6- Authenticate Reciepient Identity (Organization/System/User)

Ambulatory Clinician Perspective		
M	7.1.4.5	Communicate info to pharm
Ambulatory Pharmacist Perspective		
M	7.2.4.2	Provide med dispensing status
Information Exchange		
M	8.4	Route database content

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

Need further clarification. Also not sure which use case it applies to.

		Required-Optional Requirements*						
Use case		L	L/M	L/M	M	L	M	M
T2. AUT6 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
P	Means for identifying recipients of communications:	**						
P	Derived from ordering system communications		R	O		R		R
P	Selected from provider directory		/R	O	R			O
P	Derived from identifiers included in request for information		R/	O	R	R		R

T1. Use Case Events/Actions Triggering Requirement AUT7- Data Validation

M	7.1.4.5	Communicate info to pharm

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

		Required-Optional Requirements*						
AUT7 Included in Med Man. Use Case only.			M	M	M		M	M
T2. AUT7 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
+	Signer credentials:			R				
+	Credential issued by trusted authority		R	R	R			R
+	Credential is current		R	R	R			R
+	Credential is not suspended/revoked		R	R	R			R
+	Credential is of appropriate type (e.g. physician, pharmacist)		R	R	R			R
+	Data Integrity:			R				
+	Data has not been changed since signature		R	R				R
+	Timestamp		R	R				R

Add to mimimum policy.
Add to mimimum policy.
Add to mimimum policy.
Add to mimimum policy.

Add to mimimum policy.
Add to mimimum policy.
Add to mimimum policy. Followup with CO.
Add to mimimum policy. Followup with CO.

Negotiated Requirements Review.

'Each negotiated requirement is presented using data from the multi-state negotiation of the Individual Requirement Review.
The Idividual Requirement Review COMPARES the specific events or actions of two AHIC use cases to commonly identified requirements reported across all participating states.
The following tables [T2] summarizes agreed minimum negotiated requirements and requirements placed in the parking lot for further discusion.

Negotiated Status: **AUD1 - INFORMATION REQUEST**									PARKING LOT
" + " means item is to be include in policy;		L- EHR Laboratory Use Case							
		M - Medication Management Use Case							
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*							
Use case		L	L/M	L/M	M	L	M	M	ISSUES / EXPLANATIONS
T2. 'AUD1 Matched Requirements across use cases and reporting		AZ	CO	CT	OK	MD	NE	WA	
+	Requires Written Policy	R		R		R			
	Components Required in the Written Policy:								
+	Date/time of request	R	R	R	R	R	R	R	
+	Reason for request	R		R	R	R	R	O	
+	Description of information requested (to include):			R		R	R	R	
+	Data accessed	R	/R	R	R		R	R	
+	Data transmission	R	R		R			R	
+	Any data changes (adds, changes, deletes)		N/					R	
+	Whether data was transmitted or printed to another party	R						R	
+	ID of person/system requesting disclosure	R	R	R	R	R	R	R	
+	ID/verification of the party receiving the information.	R	R	R	R	R	R	R	
+	ID of the party disclosing the information.	R	R	R	R	R	R	R	
+	Verification method of requesting the party's ID	R	/R	R	R	N		R	
+	Policy requires audit log identify:	R						R	
+	Whether release requires authorization	R		R	R		R	R	
+	Whether authorization was obtained	R	R	R	R		R	R	
RIA	Consent ID			R					CT remove as a requirement. Need to discuss as a requirement in log. Where a transaction requires a consent or authorization you track it for audit purposes, where applicable.

R- required; O - optional

L- EHR Laboratory Use Case
M - Medication Management Use Case

		Required-Optional Requirements*							PARKING LOT
	Use case	L	L/M	L/M	M	L	M	M	
T2. 'AUD2 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+	Requires Written Policy	R		R					
	Components Required in the Written Policy:								
+	Date/time of request	R	R	R	R	R	R	R	
+	Reason for request	R		R	R	R	R	O	
+	Description of information requested (to include):			R		R	R	R	
+	Data accessed	R	R	R	R		R	R	
+	Data transmission	R	R	R	R			R	
+	Any data changes (adds, changes, deletes)		N/		R			R	
+	Whether data was transmitted to another party	R						R	
+	ID of person/system requesting disclosure	R	R	R	R	R	R	R	
+	ID/verification of the party receiving the information.	R	R	R	R	R	R	R	
+	ID of the party disclosing the information.	R	R	R	R	R	R	R	
+	Verification method of requesting the party's ID	R	/R	R	R	N		R	
+	Authorization Policy requires audit log identify							R	
+	Whether release requires authorization	R		R	R		R	R	
+	Whether authorization was obtained	R	R	R	R		R	R	
RIA	Consent ID			R		R			Where a transaction requires a consent or authorization you track it for audit purposes, where applicable.

R- required; O - optional

Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of each AHIC use cases to those consistently identified requirements reported across all participating states.

'Each requirement under review is presented using data in a three table format.
The AHIC Use Case Events/Actions Triggering Requirement identifies the events/actions that trigger a specific requirement.

Table 1 (T1) - Use Case Events/Actions uses data from Part 4 of the data collection template to identify common events/actions under which a specified requirement is or may be triggered across the participating state models. [L or M indicates which use case the event or action come from: L represents EHR Lab Result; M respresents Medication Management.]
The specified event or action use case code is given as is a summary of the event or action that triggers the requirement in review.

Table 2 [T2] Uses data collected from Part 3 and delineates each requirement to understand the differences of each element and identify common areas for potential policy development.

T1. Use Case Events/Actions Triggering Requirement AUD1- Information Request

L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction

Negotiated Status:
"+" means item is to be include in policy;
"–" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

				Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	M	M
T2. 'AUD1 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
Add to minimum policy.	+	Requires Written Policy	R		R		R		
		Components Required in the Written Policy:							
Add to minimum policy.	+	Date/time of request	R	R	R	R	R	R	R
Add to minimum policy.	+	Reason for request	R		R	R	R	R	O
Add to minimum policy.	+	Description of information requested (to include):			R		R	R	R
Add to minimum policy.	+	Data accessed	R	/R	R	R		R	R
Add to minimum policy.	+	Data transmission	R	R		R			R
Add to minimum policy.	+	Any data changes (adds, changes, deletes)		N/					R
Remove "or printed to". Add to minimum policy.	+	party	R						R
Remove whether data was printed by another party.	-	~~Whether data was printed by another party~~	R						R
Add to minimum policy.	+	ID of person/system requesting disclosure	R	R	R	R	R	R	R
Add to minimum policy.	+	ID/verification of the party receiving the information.	R	R	R	R	R	R	R
Add to minimum policy.	+	ID of the party disclosing the information.	R	R	R	R	R	R	R
Add to minimum policy.	+	Verification method of requesting the party's ID	R	/R	R	R	N		R
Add to minimum policy.	+	Policy requires audit log identify:	R						R
Add to minimum policy.	+	Whether release requires authorization	R		R	R		R	R
Add to minimum policy.	+	Whether authorization was obtained	R	R	R	R		R	R
CT remove as a requirement. Need to discuss as a requirement in log.	P	Consent ID			R				

T1. 'Use Case Events/Actions Triggering Requirement AUD2-Information Disclosure

L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
M	6.1.2.1	Request info in electronic form

		Required-Optional Requirements*						
Use case			L	L/M	L/M	M	L	M	M
T2. 'AUD2 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
+	Requires Written Policy		R		R				
	Components Required in the Written Policy:								
+	Date/time of request		R	R	R	R	R	R	R
+	Reason for request		R		R	R	R	R	O
+	Description of information requested (to include):				R		R	R	R
+	Data accessed		R	R	R	R		R	R
+	Data transmission		R	R	R	R			R
+	Any data changes (adds, changes, deletes)			N/		R			R
+	Whether data was transmitted to another party		R			🟥			R
-	Whether data was printed by another party		R			🟥			R
+	ID of person/system requesting disclosure		R	R	R	R	R	R	R
+	ID/verification of the party receiving the information.		R	R	R	R	R	R	R
+	ID of the party disclosing the information.		R	R	R	R	R	R	R
+	Verification method of requesting the party's ID		R	/R	R	R	N		R
+	Authorization Policy requires audit log identify								R
+	Whether release requires authorization		R		R	R		R	R
+	Whether authorization was obtained		R	R	R	R		R	R
P	Consent ID				R		R		

Left-margin notes (aligned to rows above):

- All same as AUD1. Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Remove "or printed to". Add to minimum policy.
- Remove whether data was printed by another party.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- Add to minimum policy.
- CT remove as a requirement. Need to discuss as a requirement in log.

Negotiated Requirements Review.

'Each negotiated requirement is presented using data from the multi-state negotiation of the Individual Requirement Review.
The Idividual Requirement Review COMPARES the specific events or actions of two AHIC use cases to commonly identified requirements reported across all participating states.
The following tables [T2] summarizes agreed minimum negotiated requirements and requirements placed in the parking lot for further discusion.

Negotiated Status: **DAT 1 ROLE**
" + " means item is to be include in policy;
" P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

		Required-Optional Requirements*								PARKING LOT
	Use case	L	L/M	L/M	M	L	L	M		
T2. 'DAT1 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
Negotiated Status										
	Establishment of the role associated with the user under which the user is authenticated	R		R						
+	Defines roles by which of the following									
RIA	Healthcare Functional role	R	/R	R			R	R		Need definition of differences between three roles types. The Functional Role is a dynamic and is a function of the role in which you are acting.
RIA	Structural role	R	R/	R	R		R	R		Distinction of role within content of message clarification. A structural role is persistent and can be mapped to the professions that are recognized.
+	Organization role	R	R	R	R		R	R		Defined by the Use Case. Includes the context of the organization.

Negotiated Status: **DAT 2 DATA SOURCE**
" + " means item is to be include in policy;
" P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

		Required-Optional Requirements*								PARKING LOT
	Use case	L	L/M	L/M	M	L	L	M		
T2. 'DAT2 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
Negotiated Status										
+	· Directory of data sources within the target HIO	R	R	R	O		R	R		
+	Name of the HIO	R	R	O	R		R	O		
+	Data sources within that HIO	R	R	R	O		R	O		
	Primary Contact Information: (data in the directories)			R				O		
+	Primary Contact Name	R		R	R					
+	Contact phone numbers	R		R	R					

Negotiated Status: **DAT 3 ASSURANCE LEVELS**
" + " means item is to be include in policy;
" P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

		Required-Optional Requirements*								PARKING LOT
	Use case	L	L/M	L/M	M	L	L	M		
T2. 'DAT3 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
Negotiated Status										
+	Assurance Levels:	R	R	R	R	R	R	R		Level of Assurance will be declared and be communicated in terms of the NIST Requirements.
	Low (Username/PIN)					R				

	Item	AZ	CO	CT	OK	MD	NE	WA	Comment
+	Medium (Knowledge/strong password/shared secret)		R/			R	R	R	Medium would be the minimum we should be migrating to as soon as possible.
	High (PKI/Digital ID)			R	R				
	Other: _VPN [CO]; SSL,IE6,256 [AZ]_	R	/R						

<table>

Negotiated Status: **DAT 4 REQUESTOR TYPE**									
" + " means item is to be include in policy;	L- EHR Laboratory Use Case								
" P " means Parking Lot - in need of further discussion.	M - Medication Management Use Case								
Use case	Required-Optional Requirements*	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. 'DAT4 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS

Negotiated Status	Item	AZ	CO	CT	OK	MD	NE	WA	
+	· Exchange	R	R	R	R	R	R		
+	· Organization (institution)	R	R/R	R	R	R	R	R	
+	· User (individual)	R	R/R	R	R	R	R	R	

DAT 5 "OUT OF SCOPE"

Negotiated Status: **DAT 6 REQUIRED ELEMENTS FOR MATCHING**									
" + " means item is to be include in policy;									
" P " means Parking Lot - in need of further discussion.	L- EHR Laboratory Use Case								
"RIK" means "Required If Known and Permissible	M - Medication Management Use Case								
Use case	Required-Optional Requirements*	L	L/M	L/M	M	L	L	M	PARKING LOT
States could elect to respond to DAT6 or leave blank if they so chose.									
T2. 'DAT6 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated S									

	HIO uses for matching:	AZ	CO	CT	OK	MD	NE	WA
RIK	Identifiers (Patient Account Number, SSN, Driver License,		O	R	O		R	
	Mother's ID, MRN, Alt Patient ID)		R	O	O		O	
+	Patient Name (First, Middle, Last, Family Name, Suffix, Prefix/Title, Type)	R	R	R	R		R	R
+	Patient DOB	R	R	R	R	R	R	R
+	Gender	R	R	R	R	R	R	R
RIK	Race		R	O	R	[red]	O[1]	
RIK	Patient Home Address (Home Street, Street or mailing Address, Street Name, Dwelling Number, Other Designation (second line of street address), City, State/Province, Zip, Country, Address type, County Code)		R	R	R	R		R
RIK	Patient Daytime Phone (country code, Area/City Code, Local Number, Extension, Any other text)		R	O		[red]		
RIK	Work Telephone		O	O		[red]		R
RIK	Primary Language		O	R		[red]		
RIK	Patient Ethnicity		R	O	R	[red]	O	
RIK	Multiple Birth Indicator		O	R		[red]		

	RIK	Birth Order				R	R	🟥			

1 NE- Required for some tests (lead and genetic)

Negotiated Status: **DAT 7 MATCHING CRITERIA**							L- EHR Laboratory Use Case			
" + " means item is to be include in policy;							M - Medication Management Use Case			
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*						**PARKING LOT**		
Use case		L	L/M	L/M	M	L	L	M			
T2. 'DAT7 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS		
Negotiated Status											
+	Defined Required Minimum number and type of data elements required to query another system	3	3	4	3	5	3	5	Group agrees that 3 is a minimum		

Negotiated Status: **DAT 8 PERSISTENCE**							L- EHR Laboratory Use Case			
" + " means item is to be include in policy;							M - Medication Management Use Case			
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*						**PARKING LOT**		
Use case		L	L/M	L/M	M	L	L	M			
T2. 'DAT8 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS		
Negotiated Status											
+	Persistence of Source Signature								Persistence of the Source Signature is required.		
	Persistent User Signature	R	R	O		R			Responsibility of HIO with its own Participants		
	Persistent Organization Signature	R	R	O		R					
	Persistent System Signature	R		R		R	R				
+	Non-repudiation of origin					R		R			
	User Accountable	R	R	O		R	🟥		Responsibility of HIO with its own Participants		
	Organization Accountable	R		O		R					
	System Accountable	R		R		R					
RIA	Source authentication	R	R	R		**R**					

Negotiated Status: **DAT 9 DEMOGRAPHICS THAT MAY BE LOGGED**							L- EHR Laboratory Use Case			
" + " means item is to be include in policy;							M - Medication Management Use Case			
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*						**PARKING LOT**		
Use case		L	L/M	L/M	M	L	L	M			

T2. DAT9 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated Status								
+ HIO logs a subset of the subject identity attributes that have been used when a person is found	R	R	R	O	R	R	R	

Negotiated Status: DAT 10 - PROVIDER IDENTITY ATTRIBUTES
" + " means item is to be include in policy;
" P " means Parking Lot - in need of further discussion.
"RIA" means "Required If Applicable"

L- EHR Laboratory Use Case
M - Medication Management Use Case
Required-Optional Requirements*

			Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. DAT10 Matched Requirements across use cases and reporting states				AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated Status											
	HIO collects attributes needed for unique identification of recipient:										
	User Attributes										
	Directory Entry			R	R	R	R	R			Group agreed this should be a heading.
+	Profession			R	O	R	R	N	R		
RIA	Specialization/Specialty			R	O	R	R	R	R		
+	Role				R	R		R	R	R	
+	Name			R	R	R	R	R	R	R	
RIA	Email			R	R	R	R	R			
+	Address			R	R	R		R	R	R	Practice address, not home address.
+	Business/Legal Address			R	R	O		R	R		Changed from "Principal Practice Location/Practice locations"
+	License/ID			R	O	R	R	R	R		
RIA	NPI			R	O	O		N	O		
RIA	Digital Identity				O	O		R	R	R	
RIA	Identification Service			R	R	O		U	R		
RIA	Organization Affiliation			R	R	O		R	R	R	

L- EHR Laboratory Use Case

M - Medication Management Use Case

	Organization	Required-Optional Requirements*							PARKING LOT
	Use case	L	L/M	L/M	M	L	L	M	
T2. DAT11 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
Negotiated S									
	Organization Attributes:	**							
+	Directory Entry		R	R	R	R	R		
+	Name		R	R	R	R	R	R	
+	Email		R	R	R	R	R	(red)	
RIA	Digital Identity		O/	O		R			
RIA	EDI Administrative Contact	R	/R	O				R	
RIA	Clinical Information Contact		R	R				(red)	
RIA	Closure Date			O		(red)			
RIA	Successor Name			O		(red)			
	Regulated Healthcare Organization:								
+	All Supporting Organization attributes above	R		R/O	R	R	R	(red)	
+	License/ID	R		R	R	R	R	(red)	
+	License Status	R		O	R	R	R	(red)	
+	Registered Name	R	R	R	R	R	R	R	
+	Registered Address	R	R	R		R	R	R	
RIA	Service Locations			O		(red)	R	R	At least one is required if applicable

** Reported as Not Applicable to model.

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

		L	L/M	L/M	M	L	L	M		PARKING LOT
T2. DAT12 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
Negotiated S										
	System:									WA followup
+	Directory Entry	R	R/	R	R	R	R			
(1+)	Name		R/	O	O	R	R	R		One or more of name, IP address, or domain name is required
+	Digital Identity	R		R	R	R	R	R		
+	Organization Affiliation	R		R	O	R	R	R		
(2+)	System IP Address		O/	O	O	R	R	R		One or more of name, IP address, or domain name is required
(3+)	System Domain Name			O	O	R	R	R		One or more of name, IP address, or domain name is required
+	System Types:	R	R	R	R	R	R	R		Check all applicable system types

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

		L	L/M	L/M	M	L	L	M		PARKING LOT
T2. DAT13 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
Negotiated Status		Med. Management Use Case Only								
+	Signature purpose: Applicability and captured signature elements			R				N/A		Signature purpose as minimum requirement but captured elements as optional

Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of each AHIC use cases to those consistently identified requirements reported across all participating states.

'Each requirement under review is presented using data in a three table format.
The AHIC Use Case Events/Actions Triggering Requirement identifies the events/actions that trigger a specific requirement.

Table 1 (T1) - Use Case Events/Actions uses data from Part 4 of the data collection template to identify common events/actions under which a specified requirement is or may be triggered across the participating state models. [L or M indicates which use case the event or action come from: L represents EHR Lab Result; M respresents Medication Management.]
The specified event or action use case code is given as is a summary of the event or action that triggers the requirement in review.

Table 2 [T2] Uses data collected from Part 3 and delineates each requirement to understand the differences of each element and identify common areas for potential policy development.

AHIC Use Case Events/Actions Triggering DAT1 - Role		
L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3.1	Submit authentication info to locator
L	3.2.4.0	View results using another system(non EHR)
L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate cllinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data

T1. 'Model States' Common Events/Actions Triggering DAT1-Role		
L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3.1	Submit authentication info to locator
L		
L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M		
M	7.1.3.1	Request available med/allergy info in electronic form
M		
M		
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M		
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data

DAT1 - Role

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Need definition of differences between three roles types
Distinction of role within content of message clarification

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
		T2. 'DAT1 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	Negotiated Status								
		Establishment of the role associated with the user under which the user is authenticated	R		R				
	+	Defines roles by which of the following							
	P	Healthcare Functional role	R	/R	R			R	R
	P	Structural role	R	R/	R	R		R	R
	+	Organization role	R	R	R	R		R	R

AHIC Use Case Events/Actions Triggering DAT2 - Data Source			T1. 'Model States' Common Events/Actions Triggering DAT2-Data Source		
L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3.1	Submit authentication info to locator	L	3.2.3.1	Submit authentication info to locator
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service	L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate cllinician requesting lab test result	L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form	M		
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.2	Locate records	M		
M	8.3	Retrieve data	M		

DAT2 - Data Souce

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

	Group agreed should be optional
	Fax is considered obselete, should be optional

Negotiated Status:
"+" means item is to be include in policy;
"–" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

T2. 'DAT2 Matched Requirements across use cases and reporting states

Negotiated Status			Use case	L	L/M	L/M	M	L	L	M
				AZ	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
-		· Directory of all National Health Bridge HIO			O				O	O
+		· Directory of data sources within the target HIO		R	R	R	O		R	R
+		Name of the HIO		R	R	O	R		R	O
+		Data sources within that HIO		R	R	R	O		R	O
		Primary Contact Information: (data in the directories)			R					O
+		Primary Contact Name		R		R	R			
+		Contact phone numbers		R		R	R			
-		Contact fax numbers		R	O					
-		Master provider index to query by provider for a specific patient?		O	R					

AHIC Use Case Events/Actions Triggering DAT3 - Assurance Levels

L	3.2.3.1	Submit authentication info to locator

T1. 'Model States' Events/Actions Triggering DAT3-Assurance Levels

L	3.2.3.1	Submit authentication info to locator

DAT3 - Assurance Levels

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

	Medium would be minimum we should be migrating to

Negotiated Status:
"+" means item is to be include in policy;
"–" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

T2. 'DAT3 Matched Requirements across use cases and reporting states

Negotiated Statu		Use case	L	L/M	L/M	M	L	L	M
			AZ	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
+	Assurance Levels:		R	R	R	R	R	R	R
	Low (Username/PIN)						R		
+	Medium (Knowledge/strong password/shared secret)			R/			R	R	R
	High (PKI/Digital ID)				R	R			
	Very High (Token)								
	Other:_VPN [CO]; SSL,IE6,256 [AZ]_		R	/R					

AHIC Use Case Events/Actions Triggering DAT4 - Requestor Type

L	3.2.3.1	Submit authentication info to locator

T1. 'Model States' Common Events/Actions Triggering DAT4-Requestor Type

L		None identified

DAT4 - Requestor Type

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
"+" means item is to be include in policy;
"–" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

T2. 'DAT4 Matched Requirements across use cases and reporting states

Negotiated Statu		Use case	L	L/M	L/M	M	L	L	M
			AZ	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
+	· Exchange		R	R	R	R	R	R	
+	· Organization (institution)		R	R/R	R	R	R	R	R
+	· User (individual)		R	R/R	R	R	R	R	R

AHIC Use Case Events/Actions Triggering DAT6 - Required Elements for matching

L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.2.4.0	View results using another system(non EHR)
L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
L	3.5.2.1	Authenticate cllinician requesting lab test result
M	6.1.2.1	Request info in electronic form

Ambulatory Clinician Perspective

M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient

Ambulatory Pharmacist Perspective

M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form

Information Exchange

M	8.1	Identify subject
M	8.2	Locate records
M	8.3	Retrieve data

T1. 'Model States' Common Events/Actions Triggering DAT6-Required Elements for Matching

L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L		
L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form

Ambulatory Clinician Perspective

M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient

Ambulatory Pharmacist Perspective

M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form

Information Exchange

M	8.1	Identify subject
M	8.2	Locate records
M	8.3	Retrieve data

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.
"RIK" means "Required If Known and Permissible"

DAT6 - Required Elements for matching

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Group agreed should be optional	
Group agreed should be optional	

States could elect to respond to DAT6 or leave blank if they so chose.

Negotiated Status		Use case	L	L/M	L/M	M	L	L	M
	T2. 'DAT6 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
	HIO uses for matching:								
RIK	Identifiers (Patient Account Number, SSN, Driver License,			O	R	O		R	
	Mother's ID, MRN, Alt Patient ID)			R	O	O		O	
+	Patient Name (First, Middle, Last, Family Name, Suffix, Prefix/Title, Type)		R	R	R	R		R	R
-	Mother's Maiden Name (Family Name, Surname)			O	O		🟥	O	
+	Patient DOB		R	R	R	R	R	R	R
+	Gender		R	R	R	R	R	R	R
-	Patient Previous Names			R	O		🟥	R	
RIK	Race			R	O	R		O[1]	
RIK	Patient Home Address (Home Street, Street or mailing Address, Street Name, Dwelling Number, Other Designation (second line of street address), City, State/Province, Zip, Country, Address type, County Code)			R	R	R	R		R
RIK	Patient Daytime Phone (country code, Area/City Code, Local Number, Extension, Any other text)			R	O		🟥		
RIK	Work Telephone			O	O		🟥		R

	RIK	Primary Language		O	R	🟥	
Group agreed should be optional	-	Marital Status		O	O	🟥	
Group agreed should be optional	-	Religion		O	O	🟥	
	RIK	Patient Ethnicity		R	O	R	O
Group agreed should be optional	-	Birth Place		O	O	🟥	
	RIK	Multiple Birth Indicator		O	R	🟥	
	RIK	Birth Order			R	R	🟥
Group agreed should be optional	-	Citizenship			O		
Group agreed should be optional	-	Veteran's Military Status			O		
Group agreed should be optional	-	Nationality			O		
Group agreed should be optional	-	Deceased (Date/Time, Deceased Indicator)			O	🟥	

[1] NE- Required for some tests (lead and genetic)

AHIC Use Case Events/Actions Triggering DAT7- Matching Criteria			T1. 'Model States' Common Events/Actions Triggering DAT7- Matching Criteria		
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi	L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching	L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.5.1. 1	Receive test result (file) location and completeness of information	L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id	L	3.5.2. 2	Clinician and locator agree on patient id
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.1	Identify subject	M		

DAT7- Matching Criteria
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "−" please include explanation.
"P" means Parking Lot - in need of further discussion.

				Required-Optional Requirements*						
		Use case		L	L/M	L/M	M	L	L	M
T2. 'DAT7 Matched Requirements across use cases and reporting states				AZ	CO	CT	OK	MD	NE	WA
Negotiated Status										
	+	Defined Required Minimum number and type of data elements required to query another system		3	3	4	3	5	3	5

Group agrees that 3 is a minimum

AHIC Use Case Events/Actions Triggering DAT8- Persistence		T1. Model States' Common Events/Actions Triggering Requirement DAT8- Persistence
	None identified	None identified

DAT8- Persistence
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

All DAT8 - Is persistence a requirement in the use cases?

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "−" please include explanation.
"P" means Parking Lot - in need of further discussion.

				Required-Optional Requirements*						
		Use case		L	L/M	L/M	M	L	L	M
T2. 'DAT8 Matched Requirements across use cases and reporting states				AZ	CO	CT	OK	MD	NE	WA
Negotiated Status										
		Persistence								
	P	Persistent User Signature		R	R	O		R		
	P	Persistent Organization Signature		R	R	O		R		
	P	Persistent System Signature		R		R		R	R	
	P	Non-repudiation of origin						R		R
	P	User Accountable		R	R	O		R	🟥	
	P	Organization Accountable		R		O		R		
	P	System Accountable		R		R		R		
	P	Source authentication		R	R	R		**R**		
		In Transit						R		
		Other _____								

AHIC Use Case Events/Actions Triggering DAT9- Demographics that may be logged			T1.Model States' Common Events/Actions Triggering DAT9- Demographics that may be logged		
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.1	Identify subject	M		

DAT9- Demographics that may be logged

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:

"+" means item is to be include in policy;

"–" means do not include item in policy. For all "–" please include explanation.

"P" means Parking Lot - in need of further discussion.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
T2. DAT9 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
Negotiated Statu									
	+	HIO logs a subset of the subject identity attributes that have been used when a person is found	R	R	R	O	R	R	R

AHIC Use Case Events/Actions Triggering DAT10 - Provider Identity Attributes			T1. 'Model States' Common Events/Actions Triggering DAT10- Provider Identity Attributes		
L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3.1	Submit authentication info to locator	L	3.2.3.1	Submit authentication info to locator
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L		
L	3.2.4.0	View results using another system(non EHR)			
L	3.2.4.2	Submit authentication info to data repository	L	3.2.4.2	Submit authentication info to data repository
L	3.2.4.6	Log interaction with data repository			
L	3.4.2.1	Authenticate to locator service	L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate cllinician requesting lab test result	L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form	M		
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.1.1	Verify script	M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.2	Locate records	M		

DAT10 - Provider Identity Attributes

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Group agreed this should be a heading.

Practice address, not home address.

Changed from "Principal Practice Location/Practice locations"

Refers to any other attribute available and not mentioned above

			Required-Optional Requirements*						
Use case			L	L/M	L/M	M	L	L	M
T2. DAT10 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
Negotiated Status									
		HIO collects attributes needed for unique identification of recipient:							
		User Attributes							
		Directory Entry	R	R	R	R	R		
	+	Profession	R	O	R	R	N	R	
	RIA	Specialization/Specialty	R	O	R	R	R	R	
	+	Role		R	R		R	R	R
	+	Name	R	R	R	R	R	R	R
	RIA	Email	R	R	R	R	R		
	+	Address	R	R	R		R	R	R
	+	Business/Legal Address	R	R	O		R	R	
	+	License/ID	R	O	R	R	R	R	
	–	License status	R		O		R	R	
	RIA	NPI	R	O	O		N	O	
	RIA	Digital Identity		O	O		R	R	R
	RIA	Identification Service	R	R	O		U	R	
	RIA	Organization Affiliation	R	R	O		R	R	R
		Other _____			O				

AHIC Use Case Events/Actions Triggering DAT11 - Organization Identity Attributes		
L	3.5.2.1	Authenticate cllinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data

T1. Model States' Common Case Events/Actions Triggering DAT11- Organization Identity Attributes		
L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M		
M		
M		
Ambulatory Pharmacist Perspective		
M		
M		
Information Exchange		
M		
M		

DAT11 - Organization Identity Attributes
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Group agreed should be optional	
Refers to attributes not listed above.	
At least one is required if applicable	

Required-Optional Requirements*

Negotiated Status		T2. DAT11 Matched Requirements across use cases and reporting states	AZ (L)	CO (L/M)	CT (L/M)	OK (M)	MD (L)	NE (L)	WA (M)
		Organization Attributes:	**						
+	Directory Entry			R	R	R	R	R	
+	Name			R	R	R	R	R	R
+	Email			R	R	R	R	R	[red]
-	Address			R	R	R	R	R	R
-	NPI			O	O	O	[red]		
RIA	Digital Identity			O/	O		R		
-	Organization Affiliation				O		R	R	[red]
RIA	EDI Administrative Contact		R	/R	O				R
RIA	Clinical Information Contact			R	R		[red]		
RIA	Closure Date			O		[red]			
RIA	Successor Name			O		[red]			
	Other _____			O					
	Regulated Healthcare Organization:								
+	All Supporting Organization attributes above		R	R/O	R	R	R		[red]
+	License/ID		R		R	R	R		[red]
+	License Status		R	O	R	R	R		[red]
+	Registered Name		R	R	R	R	R	R	R
+	Registered Address		R	R	R		R	R	R
RIA	Service Locations			O		[red]	R	R	

** Reported as Not Applicable to model.

AHIC Use Case Events/Actions Triggering DAT12 - System Identity Attributes		
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate cllinician requesting lab test result
M	6.1.2.1	Request info in electronic form
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data

T1. 'Model States' Common Events/Actions Triggering DAT12- System Identity Attributes		
L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate clinician requesting lab test result
M		
Ambulatory Clinician Perspective		
M		
M	7.1.3.1	Request available med/allergy info in electronic form
M		
M		
Ambulatory Pharmacist Perspective		
M		
M		
Information Exchange		
M		

DAT12 - System Identity Attributes

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
	T2. DAT12 Matched Requirements across use cases and reporting states		**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
	Negotiated Status								
		System:							
+		Directory Entry	R	R/	R	R	R	R	
(1+)	One or more of name, IP address, or domain name is required	Name		R/	O	O	R	R	R
+		Digital Identity	R		R	R	R	R	R
+		Organization Affiliation	R		R	O	R	R	R
(2+)	One or more of name, IP address, or domain name is required	System IP Address		O/	O	O	R	R	R
(3+)	One or more of name, IP address, or domain name is required	System Domain Name			O	O	R	R	R
+	Check all applicable system types	System Types:	R	R	R	R	R	R	R
-		Laboratory Information System	O	O/	O	O	R	R	O
-		Electronic Health Record System	O	O/	O	O	R	R	O
-		Emergency Medical System	O	O/	O	O	R	R	
-		Emergency Department System	O	O/	O	O	R	R	
-		Personal Health Record	O	O/				🟥	R
-		Other _____		R/					

AHIC Use Case Events/Actions Triggering DAT13 - Signature Purpose		
M	6.1.3.3	Document med reconciliation
M	6.1.4.3	Sign med order
M	6.1.5.1	Review current med list
M	6.1.6.3	Document med reconciliation
M	6.1.7.3	Document med reconciliation
M	6.1.8.1	Prescribe new meds at discharge
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm
Information Exchange		
M	8.3	Retrieve data

T1. 'Model States' Common Events/Actions Triggering DAT13 - Signature Purpose	
M	
M	
M	
M	
M	
M	
M	
Ambulatory Clinician Perspective	
M	
M	
M	
Information Exchange	
M	

DAT13 - Signature Purpose

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Signature purpose as minimum requirement but captured elements as optional.

Required-Optional Requirements*

T2. DAT13 Matched Requirements across use cases and reporting states

Med. Management Use Case Only

Negotiated Status	Signature purpose: Applicability and captured signature elements	AZ	CO	CT	OK	MD	NE	WA
	Use case	L	L/M	L/M	M	L	L	M
+	Signature purpose: Applicability and captured signature elements				R			N/A
−	"Author" - Author's signature,			O	R			O
−	"Author.Co" - Coauthor's signature			O				O
−	"Participant" - Co-participant's signature			O				O
−	"Transcriptionist/Recorder"			O				O
−	"Verification" - Verification signature			O				O
−	"Validation" - Validation signature			O				O
−	"Consent" - Consent signature			O				O
−	"Witness" - Witness signature			O				O
−	"Witness.Event" - Event witness signature			O				O
−	"Witness.Identity" - Identity witness signature such as a Notary			O				O
−	"Witness.Consent" - Consent witness signature			O				O
−	"Interpreter"			O				O
−	"Review" - Review signature			O				O
−	"Source" - Source signature			O				O
−	"Addendum" - Addendum signature			O				O
−	Administrative			O				
−	Timestamp			R	R			O
−	Modification			O	R			O
−	Authorization			O				O
−	Transformation			O				O
−	Recipient			O				O

Negotiated Requirements Review.

'Each negotiated requirement is presented using data from the multi-state negotiation of the Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of two AHIC use cases to commonly identified requirements reported across all participating states.

The following tables [T2] summarizes agreed minimum negotiated requirements and requirements placed in the parking lot for further discussion.

Negotiated Status: SYS 1 - PREPARING A QUERY MESSAGE										PARKING LOT
" + " means item is to be include in policy;		L- EHR Laboratory Use Case								
		M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*								PARKING LOT
Use case		L	L/M	L/M	M	L	L	M		
T2. 'SYS1 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
	Specified by HITSP:									
+	HIO generates a registry stored query – asking the registry or Record Locator Service if there are records for this patient (Refer to HITSP IS01)	R	R	R	R	R	R	R		

Negotiated Status: SYS 2 - AUDIT LOG [HIPAA]										PARKING LOT
" + " means item is to be include in policy;		L- EHR Laboratory Use Case								
		M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*								PARKING LOT
Use case		L	L/M	L/M	M	L	M	M		
T2. 'SYS2 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
+	Audit Log for use and disclosure and information systems activity exists	R	R	R	R	R	R	R		
+	Audit Log for use and disclosure and information systems activity occurred at established periodic time frames	R	R	R	R	R	R	R		
+	Audit log for use and disclosure of audit log has set report in place	R	O	O	O		R	R		
+	Actions have been identified in the event of discovered anomalies/breaches	R	R		R	R	R	R		
+	Login auditing is required audit criteria (security rule requirement)	R	R	R	R	R	R	R		
+	Tracking of the state-specific consent policy under which the data was disclosed exists. May be a global consent policy or a specific consent for each access (e.g., MA)	R	R	R	R	R	R	R		

Negotiated Status: SYS 3 - AUDIT LOG CONTENT										PARKING LOT
" + " means item is to be include in policy;		L- EHR Laboratory Use Case								
		M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*								PARKING LOT
Use case		L	L/M	L/M	M	L	L	M		
T2. SYS3 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
+	Ability to share responsibilities for identifying what has been transmitted and which entities are responsible for tracking on specifics.			R	R	R	R			
	Shared specifics include:									
+	User ID	R	R	R	R	R	R	R		
+	Date/time stamp	R	R	R	R	R	R	R		
+	Data transmitted	R	R	R	R	R	R	R		
+	Authorization needed to disclose	R	R	R	R		R	R		

Negotiated Status: SYS 4 - SYSTEM REVIEW

" + " means item is to be include in policy;

L- EHR Laboratory Use Case
M - Medication Management Use Case

" P " means Parking Lot - in need of further discussion.

Required-Optional Requirements*

Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. 'SYS4 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+ Information system review conducted on a regular and periodic basis	R	R	R	R	R	R	R	

Negotiated Status: SYS 5 - THRESHOLD CALCULATION

" + " means item is to be include in policy;

L- EHR Laboratory Use Case
M - Medication Management Use Case

" P " means Parking Lot - in need of further discussion.

Required-Optional Requirements*

Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. SYS5 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+ System ability to calculate some value that represents the quality of a match based on an algorithm	R	R	R	R	R	R	🟥	We need qualifiers and ability to track measurements and values.

Negotiated Status: SYS 6 - AUDIT TRAIL NODE AUTHENTICATION [ATNA]

" + " means item is to be include in policy;

L- EHR Laboratory Use Case
M - Medication Management Use Case

" P " means Parking Lot - in need of further discussion.

Required-Optional Requirements*

Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. SYS6 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+ Encryption is specified	R	R	R	R	R	R	R	
+ · Signing the data	R	R	R	R	R	R	R	
+ · Specified by policy	R	R	R	R	R	R	R	

SYS 7 "OUT OF SCOPE"

Negotiated Status: SYS 8 - SECURTIY AUDIT PRACTICE

" + " means item is to be include in policy;

L- EHR Laboratory Use Case
M - Medication Management Use Case

" P " means Parking Lot - in need of further discussion.

Required-Optional Requirements*

Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
T2. SYS8 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+ Auditing occurs at a specified frequency for the HIO.	R	O	R	R	R	R	R	
- Frequency___AZ[Daily]__NE[Yearly]__WA[Quarterly]	R					R	R	Add additional line for External. External audit size is an issue. Audits should be conducted at least annually
+ Comprehensive audit procedures exist	R	R	R	R	R	R	R	Periodic external audits should be conducted
+ Mitigation and remediation plans exist	R	R	R	R	R	R	R	

L- EHR Laboratory Use Case
M - Medication Management Use Case

		L	L/M	L/M	M	L	L	M		PARKING LOT
	Use case									
T2. SYS9 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
RIA	Ability for digital signature exists at the provider level	O	O	O	R	O	R	O		

Requirements SYS 10 thru SYS 13 apply to Medication Management Use Case **Only**

L- EHR Laboratory Use Case
M - Medication Management Use Case

		L	L/M	L/M	M	L	L	M
	Use case							
T2. SYS10 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
NOT INCLUDED AS MINIMUM REQUIREMENT								

Requirements SYS 10 thru SYS 13 apply to Medication Management Use Case Only

L- EHR Laboratory Use Case
M - Medication Management Use Case

		L	L/M	L/M	M	L	L	M		PARKING LOT
T2. SYS11 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
	Digital Verification of Signer Credentials:	■		R		■	■			Responsibility of the individual HIO.
+	Credential issued by trusted authority	■	R	R	R	■	■	R		
+	Credential current	■	R	R	R	■	■	R		
+	Credential not suspended/revoked	■	R	R	R	■	■	R		
+	Appropriate credential type (e.g. physician, pharmacist)	■	R	R	R	■	■	R		
RIA	Signed by person claimed (non-repudiation)	■		R		■	■	R		

Requirements SYS 10 thru SYS 13 apply to Medication Management Use Case Only

L- EHR Laboratory Use Case
M - Medication Management Use Case

		L	L/M	L/M	M	L	L	M		PARKING LOT
	Use case									
T2. SYS12 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA		ISSUES / EXPLANATIONS
+	No change since signature applied	■	R	R	R	■	■	R		
+	Valid Timestamp	■	R	R	R	■	■	R		

Requirements SYS 10 thru SYS 13 apply to Medication Management Use Case Only

Negotiated Status: SYS 13 - USER IDENTITY, ROLE, AND AFFILIATION VERIFICATION									
" + " means item is to be include in policy;		L- EHR Laboratory Use Case							
		M - Medication Management Use Case							
" P " means Parking Lot - in need of further discussion.		Required-Optional Requirements*							
	Use case	L	L/M	L/M	M	L	L	M	
T2. 'SYS13 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	
+	Revocation checking at log on	■	R	R	R	■	■	R	
+	Expiration checking at log on	■	R	R	R	■	■	R	

PARKING LOT
ISSUES / EXPLANATIONS

Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of each AHIC use cases to those consistently identified requirements reported across all participating states.

'Each requirement under review is presented using data in a three table format.
The AHIC Use Case Events/Actions Triggering Requirement identifies the events/actions that trigger a specific requirement.

Table 1 (T1) - Use Case Events/Actions uses data from Part 4 of the data collection template to identify common events/actions under which a specified requirement is or may be triggered across the participating state models.

  [L or M indicates which use case the event or action come from: L represents EHR Lab Result; M respresents Medication Management.]

The specified event or action use case code is given as is a summary of the event or action that triggers the requirement in review.

Table 2 [T2] Uses data collected from Part 3 and delineates each requirement to understand the differences of each element and identify common areas for potential policy development.

SYS 1 PREPARING A QUERY MESSAGE.

AHIC Use Case Events/Actions Triggering SYS1- Preparing a Query Message			T1.Model States' Common Events/Actions Triggering SYS1- Preparing a Query Message		
L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi	L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching	L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L	3.2.4.2	Submit authentication info to data repository
L	3.4.2.1	Authenticate to locator service	L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.1. 1	Receive test result (file) location and completeness of information	L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id	L	3.5.2. 2	Clinician and locator agree on patient id
L	3.5.2.1	Authenticate cllinician requesting lab test result	L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form	M		
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.1	Identify subject	M		
M	8.2	Locate records	M		

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

SYS1- Preparing a Query Message
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Having the ability to exchange HL7 does not require it. Optional.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
	T2. 'SYS1 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
		Specified by HITSP:							
+		HIO generates a registry stored query – asking the registry or Record Locator Service if there are records for this patient (Refer to HITSP IS01)	R	R	R	R	R	R	R
−		HIO generates an HL7 message	R	R	O	R	R	R	R

SYS 2 AUDIT LOG [HIPAA].

AHIC Use Case Events/Actions Triggering SYS2- Audit Log [HIPAA]			T1.Model States' Common Events/Actions Triggering SYS2- Audit Log [HIPAA]		
L	3.2.1.7	Log receipt/include consent in lab result log	L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service	L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository	L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository	L		
L	3.3.1.3	Log creation of test results	L		
L	3.4.1.6	Log receipt and storage of lab test results	L		
L	3.4.2.3	Log interaction with locator system	L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction	L	3.4.3.5	Log interaction
L	3.5.2.6	Log interaction with clinician	L		
M	6.1.2.1	Request info in electronic form	M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm	M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm	M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider	M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective			Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility	M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form	M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary	M	7.1.4.1	Consider formulary
M	7.1.4.5	Communicate info to pharm	M		
M	7.1.4.5a	Communicate info to pharm using paper/fax	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective			Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script	M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form	M		
M	7.2.4.2	Provide med dispensing status	M	7.2.4.2	Provide med dispensing status
Information Exchange			Information Exchange		
M	8.2	Locate records	M	8.2	Locate records
M	8.3	Retrieve data	M	8.3	Retrieve data
M	8.4	Route database content	M	8.4	Route database content

SYS2- Audit Log [HIPAA]

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Need further clarification/definition of this requirement.

	Use case	L	L/M	L/M	M	L	M	M
	T2. 'SYS2 Matched Requirements across use cases and reporting states	**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**
+	Audit Log for use and disclosure and information systems activity exists	R	R	R	R	R	R	R
+	Audit Log for use and disclosure and information systems activity occurred at established periodic time frames	R	R	R	R	R	R	R
+	Audit log for use and disclosure of audit log has set report in place	R	O	O	O		R	R
+	Actions have been identified in the event of discovered anomalies/breaches	R	R			R	R	R
+	Login auditing is required audit criteria (security rule requirement)	R	R	R	R	R	R	R
+	Tracking of the state-specific consent policy under which the data was disclosed exists. May be a global consent policy or a specific consent for each access (e.g., MA)	R	N	R	R	R	R	R

SYS 3 AUDIT LOG CONTENT.

		AHIC Use Case Events/Actions Triggering SYS3- Audit Log Content
L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository
L	3.3.1.3	Log creation of test results
L	3.4.1.6	Log receipt and storage of lab test results
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L	3.5.2.6	Log interaction with clinician
M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.4.5	Communicate info to pharm
M	7.1.4.5a	Communicate info to pharm using paper/fax
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
M	7.2.4.2	Provide med dispensing status
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data
M	8.4	Route database content

		T1. Model States' Common Events/Actions Triggering SYS3- Audit Log Content
L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L		
L		
L		
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L		
M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M		
M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M		
M	7.2.4.2	Provide med dispensing status
Information Exchange		
M		
M	8.3	Retrieve data
M	8.4	Route database content

SYS3- Audit Log Content
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
		T2. SYS3 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	+	Ability to share responsibilities for identifying what has been transmitted and which entities are responsible for tracking on specifics.			R	R	R	R	
		Shared specifics include:							
	+	User ID	R	R	R	R	R	R	R
	+	Date/time stamp	R	R	R	R	R	R	R
	+	Data transmitted	R	R	R	R	R	R	R
	+	Authorization needed to disclose	R	R	R	R		R	R
	–	Whether data can be transmitted to another party	R/						

** Reported as Not Applicable to model.

SYS 4 SYSTEM REVIEW.

AHIC Use Case Events/Actions Triggering SYS4- System Review
None identified

T1. Model States' Common Events/Actions Triggering SYS4- System Review
None identified

SYS4- System Review
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Group agrees this should be optional

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
		T2. 'SYS4 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	–	Automatic trigger exists for any out of state access. Automated Audit review to permit ready review of any interstate access exists	O		O	O	O		
	+	Information system review conducted on a regular and periodic basis	R	O	R	R	R	R	R

SYS 5 THRESHOLD CALCULATION.

AHIC Use Case Events/Actions Triggering SYS5 - Threshold Calculation		
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
Ambulatory Pharmacist Perspective		
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.1	Identify subject

T1. Model States' Common Events/Actions Triggering SYS5- Threshold Calculation		
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.5.1. 1	Receive test result (file) location and completeness of information
L	3.5.2. 2	Clinician and locator agree on patient id
Ambulatory Clinician Perspective		
M		
M		
Ambulatory Pharmacist Perspective		
M		
Information Exchange		
M		

SYS5 - Threshold Calculation
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
" + " means item is to be include in policy;
" − " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
		T2. SYS5 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
We need qualifiers and ability to track measurements and values.	+	System ability to calculate some value that represents the quality of a match based on an algorithm	R	R	R	R	R	R	

SYS 6 AUDIT TRAIL and NODE AUTHENTICATION [ATNA].

AHIC Use Case Events/Actions Triggering SYS6 - Audit Trail and Node Authentication [ATNA]	
	None identified

T1. Model States' Common Events/Actions Triggering SYS6- Audit Trail and Node Authentication [ATNA]	
	None identified

SYS6 - Audit Trail and Node Authentication [ATNA]
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
" + " means item is to be include in policy;
" − " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

			Required-Optional Requirements*						
		Use case	L	L/M	L/M	M	L	L	M
		T2. SYS6 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	+	Encryption is specified	R	R	R	R	R	R	R
	+	· Signing the data	R	R	R	R	R	R	R
	+	· Specified by policy	R	R	R	R	R	R	R

SYS 8 SECURITY AUDIT PRACTICE.

AHIC Use Case Events/Actions Triggering SYS 8 - Security Audit Practice		
L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository
L	3.3.1.3	Log creation of test results
L	3.4.1.6	Log receipt and storage of lab test results
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L	3.5.2.6	Log interaction with clinician
M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.4.5	Communicate info to pharm
M	7.1.4.5a	Communicate info to pharm using paper/fax
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
M	7.2.4.2	Provide med dispensing status
Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data
M	8.4	Route database content

T1. Model States' Common Events/Actions Triggering SYS8- Security Audit Practice		
L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L		
L		
L		
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L		
M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M		
M		
M		
M		
Ambulatory Pharmacist Perspective		
M		
M		
M		
Information Exchange		
M		
M		
M		

SYS 8 - Security Audit Practice
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Add additional line for External. External audit size is an issue.

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

			Use case	L	L/M	L/M	M	L	L	M
		T2. SYS8 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
	+	Auditing occurs at a specified frequency for the HIO.		R	O	R	R	R	R	R
	P	Frequency___AZ[Daily]__NE[Yearly]__WA[Quarterly]		R					R	R
	+	Comprehensive audit procedures exist		R	R	R	R	R	R	R
	+	Mitigation and remediation plans exist		R	R	R	R	R	R	R
	−	Sharing of Risk Scores with other RHIOs exists								

Required-Optional Requirements

SYS 9 DIGITAL SIGNATURE

AHIC Use Case Events/Actions Triggering SYS 9 - Digital Signature		
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents
M	6.1.1.1	Receive info from drug suppliers
M	6.1.3.3	Document med reconciliation
M	6.1.4.3	Sign med order
M	6.1.5.1	Review current med list
M	6.1.6.3	Document med reconciliation
M	6.1.7.3	Document med reconciliation
M	6.1.8.1	Prescribe new meds at discharge
M	6.1.9.1	Communicate med and allergy info to next provider
Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
Information Exchange		
M	8.3	Retrieve data

T1. Model States' Events/Actions Triggering SYS9- Digital Signature

L	
M	
M	
M	
M	
M	
M	
M	
M	
Ambulatory Clinician Perspective	
M	
M	
M	
M	
M	
M	
M	
Ambulatory Pharmacist Perspective	
M	
M	
Information Exchange	
M	

SYS 9 - Digital Signature

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.
"RIA" means "Required If Applicable"

	Required-Optional Requirements*						
Use case	L	L/M	L/M	M	L	L	M
T2. SYS9 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
RIA — Ability for digital signature exists	O	O	O	R	O	R	O

Requirements SYS 10 thru SYS 13 apply to Medication Management Use Case **Only**

SYS 10 ELECTRONIC SIGNATURE

AHIC Use Case Events/Actions Triggering SYS 10 - Electronic Signature		
M	6.1.3.3	Document med reconciliation
M	6.1.4.3	Sign med order
M	6.1.5.1	Review current med list
M	6.1.6.3	Document med reconciliation
M	6.1.7.3	Document med reconciliation
M	6.1.8.1	Prescribe new meds at discharge
M	6.1.9.1	Communicate med and allergy info to next provider
M	7.1.1.1	Receive info from drug suppliers
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm

T1.Model States' Common Events/Actions Triggering SYS10- Electronic Signature

M		
M		
M		
M		
M		
M		
M		
M		
M		
M		

SYS 10 - Electronic Signature

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

			Required-Optional Requirements*						
Use case			L	L/M	L/M	M	L	L	M
T2. SYS10 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
	−	Ability for electronic signature (distinct from a digital signature)	■				■	■	🟥

SYS 11 SIGNATURE VERIFICATION

AHIC Use Case Events/Actions Triggering SYS 11 - Signature Verification		
Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm
Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
Information Exchange		
M	8.3	Retrieve data

T1. Model States Common Events Events/Actions Triggering SYS11- Signature Verification

Ambulatory Clinician Perspective		
M		
M		
M	7.1.4.5	Communicate info to pharm
Ambulatory Pharmacist Perspective		
M		
Information Exchange		
M		

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " – " please include explanation.
" P " means Parking Lot - in need of further discussion.
"RIA" means "Required If Applicable"

SYS 11 - Signature Verification

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

		Required-Optional Requirements*	L	L/M	L/M	M	L	L	M
		T2. SYS11 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
		Verification of Signer Credentials:		R					
	+	Credential issued by trusted authority		R	R	R			R
	+	Credential current		R	R	R			R
	+	Credential not suspended/revoked		R	R	R			R
	+	Appropriate credential type (e.g. physician, pharmacist)		R	R	R			R
	RIA	Signed by person claimed (non-repudiation			R				R

SYS 12 INFORMATION INTEGRITY

		AHIC Use Case Events/Actions Triggering SYS 12 - Information Integrity
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm
		Ambulatory Pharmacist Perspective
M	7.2.1.1	Verify script

	T1. Model States' Common Events/Actions Triggering SYS12- Information Integrity
M	
M	
	Ambulatory Pharmacist Perspective
M	

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

SYS 12 - Information Integrity

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

		Required-Optional Requirements*	L	L/M	L/M	M	L	L	M
		Use case							
		T2. SYS12 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	+	No change since signature applied			R	R			R
	+	Valid Timestamp			R	R			R

SYS 13 USER IDENTITY VERIFICATION

	AHIC Use Case Events/Actions Triggering SYS 13 - User Identity Verificaton
	None identified

	T1. Model States' Common Events/Actions Triggering SYS13- User Identity Verification
	None identified

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

SYS 13 - User Identity Verificaton

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Group agrees this should be optional

Group agrees this should be optional

		Required-Optional Requirements*	L	L/M	L/M	M	L	L	M
		Use case							
		T2. 'SYS13 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	+	Revocation checking		R	R	R			R
	+	Expiration checking		R	R	R			R
	-	Authentication Method Checking			R				R
	-	Challenge/response checking			O				
		Other:_____							

Negotiated Requirements Review.

'Each negotiated requirement is presented using data from the multi-state negotiation of the Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of two AHIC use cases to commonly identified requirements reported across all participating states.

The following tables [T2] summarizes agreed minimum negotiated requirements and requirements placed in the parking lot for further discusion.

POL 1 INTERIM REPORTS.

Negotiated Status:									
" + " means item is to be include in policy;	L- EHR Laboratory Use Case								
	M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.	Required-Optional Requirements*							PARKING LOT	
Use case	L	L/M	L/M	M	L	L	M		
T2. POL1 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
-	Interim reports made available for sharing once the authorizing physician has signed off on the results, and has been discussed with patient where this is required by policy.	**		R	O		R	[red cell]	Difference state perspective (ie border states) about withholding information from a patient. Send to legal.

** Reported as Not Applicable to model.

POL 2 - Restricted Data Sharing

Negotiated Status:									
" + " means item is to be include in policy;	L- EHR Laboratory Use Case								
	M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.	Required-Optional Requirements*							PARKING LOT	
Use case	L	L/M	L/M	M	L	L	M		
T2. POL2 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
+	Caveats to data completeness are transmitted	R		R	R	R	R	R	State-specific caveats should be included.

POL 3-7 DETERMINED TO BE "OUT OF SCOPE"

POL 8 - Returning More Demographics

Negotiated Status:									
" + " means item is to be include in policy;	L- EHR Laboratory Use Case								
	M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.	Required-Optional Requirements*							PARKING LOT	
Use case	L	L/M	L/M	M	L	L	M		
T2. POL8 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
+	Demographic information returned to the end user shall not include either Social Security Number or State Drivers License Number due to State Identity Protection Laws.	R	/O	R	O		R	R	Wording clarification on demographics items that must not be disclosed - send to legal.

POL 9 - Audit Log Process

Negotiated Status:									
" + " means item is to be include in policy;	L- EHR Laboratory Use Case								
	M - Medication Management Use Case								
" P " means Parking Lot - in need of further discussion.	Required-Optional Requirements*							PARKING LOT	
Use case	L	L/M	L/M	M	L	L	M		
T2. POL9 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
+	Minimum agreement on who is responsible for reconstitution and sharing audit log information during an investigation. Who is authorized to request this disclosure and to whom does this go? Where does or can a patient make the request to the RHIO?	R	R	R	R	R	R	R	

POL 10- Data Authentication

Negotiated Status:		L- EHR Laboratory Use Case								
"+" means item is to be include in policy;		M - Medication Management Use Case								
"P" means Parking Lot - in need of further discussion.		Required-Optional Requirements*							PARKING LOT	
Use case		L	L/M	L/M	M	L	L	M		
T2. POL10 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
+	Methods for assurance that data has not been modified if a document is shared with a patient	R	R/R	R	R	R	R	R		

** Reported as Not Applicable to model.

POL 11 DIGITAL SIGNATURE.

Negotiated Status:		L- EHR Laboratory Use Case								
"+" means item is to be include in policy;		M - Medication Management Use Case								
"P" means Parking Lot - in need of further discussion.		Required-Optional Requirements*							PARKING LOT	
Use case		L	L/M	L/M	M	L	L	M		
T2. POL11 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
-	Policy allowing the organization to accept or express data without signature or would express it with a caveat or some marker that no signature was received	**		R		R	O			

** Reported as Not Applicable to model.

POL 12- Relationship to Patient

Negotiated Status:		L- EHR Laboratory Use Case								
"+" means item is to be include in policy;		M - Medication Management Use Case								
"P" means Parking Lot - in need of further discussion.		Required-Optional Requirements*							PARKING LOT	
Use case		L	L/M	L/M	M	L	L	M		
T2. POL 12 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
+	Gray area – for HIPAA only regulated state – subject of care – provider needs to demonstrate they are the provider of the subject of care	R	R						Wording change from "prove" to "demonstrate"	

POL 13 - Risk Assessment

Negotiated Status:		L- EHR Laboratory Use Case								
"+" means item is to be include in policy;		M - Medication Management Use Case								
"P" means Parking Lot - in need of further discussion.		Required-Optional Requirements*							PARKING LOT	
Use case		L	L/M	L/M	M	L	L	M		
T2. POL13 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS	
-	Identification of risk issues– e.g. Data authentication not a high risk in this scenario.	R		R		R	R	R		

Requirement POL 14 applies to Medication Management Use Case Only

POL 14 - Signature/ Data Validation Checking

Negotiated Status:

" + " means item is to be include in policy;

"P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

PARKING LOT

	Use case	L	L/M	L/M	M	L	L	M	ISSUES / EXPLANATIONS
T2. POL14 Matched Requirements across use cases and reporting states		**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**	
-	Signature and Data Integrity conducted prior to allowing the following procedures:	■				■	■		Clarification needed on this context and whether this is in scope. Ties to POL11 and DAT8 and SYS 11 & 12
-	Using data communicated through secured methods (e.g. VPN)	■	R	🟥	R	■	■	🟥	
-	Using data communicated through insecure methods (e.g. patient USB)	■		R		■	■	🟥	
-	Storing data	■		🟥		■	■	R	
-	Submitting data to shared resource	■		R	R	■	■		

POL15- Information Systems Activity Review [45 CFR 164.308 (a)(1)]

Negotiated Status:

" + " means item is to be include in policy;

"P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

PARKING LOT

	Use case	L	L/M	L/M	M	L	L	M	ISSUES / EXPLANATIONS
T2. POL15 Matched Requirements across use cases and reporting states		**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**	
+	Software applications, network servers, firewalls and other network hardware and software are configured to create audit logs that track activities involving electronic protected health information (ePHI) such as data modification, creation, deletion, etc	R	R	R	R	■	R	R	
+	The audit logs generated are reviewed on a regular basis based on audit criteria developed in advance, any anomalies documented and mitigating action, if necessary.	R	R	R	R	■	R	R	
+	Documentation is retained for a minimum of six years.	R	R	R	R	■	R	R	

POL16- Log-in Monitoring [45 CFR 164.308 (a)(5)]

Negotiated Status:

" + " means item is to be include in policy;

"P " means Parking Lot - in need of further discussion.

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

PARKING LOT

	Use case	L	L/M	L/M	M	L	L	M	ISSUES / EXPLANATIONS
T2. POL16 Matched Requirements across use cases and reporting states		**AZ**	**CO**	**CT**	**OK**	**MD**	**NE**	**WA**	
+	An audit log created to record when a workforce member or business associate logs on to the network or a software application; when login is attempted; and when the login attempt fails.	R	R	R	R	■	R	R	
+	The audit logs generated are reviewed on a regular basis based on audit criteria developed in advance, any anomalies documented and mitigating action, if necessary.	R	R	R	R	■	R	R	
+	Documentation is retained for a minimum of six years [AZ;7yrs]	R	R	R	R	■	R	R	

POL17- Evaluation [45 CFR 164.308 (a)(8)]

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

		Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
	T2. POL17 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+	Administrative Safeguard; policy requirements –				R					Required for both covered entities and non-covered entities in order to exchange; expect non-CE to abide by privacy and security rules.
+	Periodic technical and non-technical evaluations are conducted to reasonably ensure the covered entity is compliant with the provisions of the HIPAA Security Rule. Otherwise known as a compliance audit:		R	R	R	R		R	R	
+	Audit criteria are to be developed in advance		R	R	R	R		R	R	
+	An evaluation occurs at least annually or when any major system or business changes occur.		R	R	R	R		R	R	
+	Evaluation requires:		R	R	R				R	Required for both covered entities and non-covered entities in order to exchange; expect non-CE to abide by privacy and security rules.
+	Generation of an audit findings report		R	R	R	R		R	R	
+	Associated mitigating action or documentation that an identified deficiency represents a risk the organization is willing to accept.		R	R	R	R		R	R	
+	The organization is responsible for prioritizing mitigation and document mitigation plans (including documenting completion of mitigating activity).		R	R	R	R		R	R	
+	All documentation must be retained for a minimum of six years. [AZ;7yrs]		R	R	R	R		R	R	

POL18- Audit Controls [45 CFR 164.312 (b)]

L- EHR Laboratory Use Case
M - Medication Management Use Case

Required-Optional Requirements*

		Use case	L	L/M	L/M	M	L	L	M	PARKING LOT
	T2. POL18 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA	ISSUES / EXPLANATIONS
+	Technical Safeguard; policy, data, system requirements				R					
+	All entities and their business associates must implement technical processes that accurately records activity related to access, creation, modification and deletion of ePHI.		R	/R	R	R		R	R	Change "Covered entities" to "All entities and their business associates"
+	Audit logs recording activity as it relates to ePHI and the periodic review of generated audit logs			/R	R	R		R	R	
+	Review of audit logs is based on established audit criteria and include documentation of any anomalies and mitigating action (including sanctions, security incident response team activation, etc. as appropriate), if necessary.		R	/R	R	R		R	R	
+	All documentation is retained for a minimum of six years. [AZ;7yrs]		R	R	R	R		R	R	
+	Audit logs at a minimum must include:			R	R				R	
+	Unique user name/ID		R	R	R	R		R	R	
+	Date/time stamp		R	R	R	R		R	R	
+	Action taken (view, add, change, delete)			R	R	R		R	R	

Individual Requirement Review.

The Idividual Requirement Review COMPARES the specific events or actions of each AHIC use cases to those consistently identified requirements reported across all participating states.

'Each requirement under review is presented using data in a three table format.
The AHIC Use Case Events/Actions Triggering Requirement identifies the events/actions that trigger a specific requirement.

Table 1 (T1) - Use Case Events/Actions uses data from Part 4 of the data collection template to identify common events/actions under which a specified requirement is or may be triggered across the participating state models.

   [L or M indicates which use case the event or action come from: L represents EHR Lab Result; M respresents Medication Management.]

The specified event or action use case code is given as is a summary of the event or action that triggers the requirement in review.

Table 2 [T2] Uses data collected from Part 3 and delineates each requirement to understand the differences of each element and identify common areas for potential policy development.

POL 1 INTERIM REPORTS.

AHIC Use Case Events/Actions Triggering POL 1 - Interim Reports	T1.Model States Common Events/Actions Triggering POL1- Interim Reports
None identified	None identified

POL 1 - Interim Reports
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

	withholding information from a patient. Send to legal.

Required-Optional Requirements*

	Use case	L	L/M	L/M	M	L	L	M
T2. POL1 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
P	Interim reports made available for sharing once the ordering	**		R	O		R	

** Reported as Not Applicable to model.

POL 2 RESTRICTED DATA SHARING.

AHIC Use Case Events/Actions Triggering POL 2 - Restricted Data Sharing	T1.Model States' Common Events/Actions Triggering POL2- Restricted Data Sharing

L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L		
L	3.4.2.1	Authenticate to locator service	L	3.4.2.1	Authenticate to locator service
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L	3.4.3.2	Authenticate and verify as ordering clinician of care
L	3.5.2.1	Authenticate clinician requesting lab test result	L	3.5.2.1	Authenticate clinician requesting lab test result
M	6.1.2.1	Request info in electronic form	M		
Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
Information Exchange			**Information Exchange**		
M	8.2	Locate records	M		
M	8.3	Retrieve data	M		

POL 2 - Restricted Data Sharing
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:
" + " means item is to be include in policy;
" – " means do not include item in policy. For all " - " please include explanation.
" P " means Parking Lot - in need of further discussion.

	Wording clarification on caveats - send to legal.

Required-Optional Requirements*

	Use case	L	L/M	L/M	M	L	L	M
T2. POL2 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
P	Caveats to data completeness are transmitted	R		R	R	R	R	R

POL 3-7 DETERMINED TO BE "OUT OF SCOPE"

POL 8 RETURNING MORE DEMOGRAPHICS.

	AHIC Use Case Events/Actions Triggering **POL 8 - Returning More Demographics**			T1. Model States' Common Events/Actions Triggering **POL8- Returning More Demographics**
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L	
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi	L	
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching	L	
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L	
L	3.5.1. 1	Receive test result (file) location and completeness of information	L	
L	3.5.2. 2	Clinician and locator agree on patient id	L	
	Ambulatory Clinician Perspective			**Ambulatory Clinician Perspective**
M	7.1.2.1	Check patient eligibility	M	
M	7.1.3.1	Request available med/allergy info in electronic form	M	
M	7.1.4.1	Consider formulary	M	
	Ambulatory Pharmacist Perspective			**Ambulatory Pharmacist Perspective**
M	7.2.2.1	Request available med/allergy info in electronic form	M	
	Information Exchange			**Information Exchange**
M	8.1	Identify subject	M	

POL 8 - Returning More Demographics

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Wording clarification on demographics items that must not be disclosed - send to legal.

Negotiated Status:

"+" means item is to be include in policy;

"–" means do not include item in policy. For all "-" please include explanation.

"P" means Parking Lot - in need of further discussion.

		Required-Optional Requirements*						
	Use case	L	L/M	L/M	M	L	L	M
	T2. POL8 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
P	Returning more demographic information to the end user than was entered.	R	/O	R	O		R	R

POL 9 AUDIT LOG PROCESS.

AHIC Use Case Events/Actions Triggering **POL 9 - Audit Log Process**		
L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.5	Log interaction with locator service
L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository
L	3.3.1.3	Log creation of test results
L	3.4.1.6	Log receipt and storage of lab test results
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L	3.5.2.6	Log interaction with clinician
M	6.1.2.1	Request info in electronic form
M	6.1.4.4b	Communicate order to external pharm
M	6.1.8.3	Communicate info to pharm
M	6.1.9.1	Communicate med and allergy info to next provider

Ambulatory Clinician Perspective		
M	7.1.2.1	Check patient eligibility
M	7.1.3.1	Request available med/allergy info in electronic form
M	7.1.4.1	Consider formulary
M	7.1.4.5	Communicate info to pharm
M	7.1.4.5a	Communicate info to pharm using paper/fax
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient

Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script
M	7.2.2.1	Request available med/allergy info in electronic form
M	7.2.4.2	Provide med dispensing status

Information Exchange		
M	8.2	Locate records
M	8.3	Retrieve data
M	8.4	Route database content

T1.Model States' Common Events/Actions Triggering **POL9- Audit Log Process**		
L	3.2.1.7	Log receipt/include consent in lab result log
L		
L	3.2.4.6	Log interaction with data repository
L		
L		
L		
L	3.4.2.3	Log interaction with locator system
L	3.4.3.5	Log interaction
L		
M		
M		
M		
M		

Ambulatory Clinician Perspective		
M		
M		
M		
M		
M		
M		

Ambulatory Pharmacist Perspective		
M		
M		
M		

Information Exchange		
M		
M		
M		

Negotiated Status:
"+" means item is to be include in policy;
"–" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

POL 9 - Audit Log Process

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

	Required-Optional Requirements*						
Use case	L	L/M	L/M	M	L	L	M
T2. POL9 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
Minimum agreement on who is responsible for reconstitution and sharing audit log information during an investigation. Who is authorized to request this disclosure and to whom does this go? Where does or can a patient make the request to the RHIO?							
+	R	R	R	R	R	R	R

POL 10 DATA AUTHENTICATION.

	AHIC Use Case Events/Actions Triggering **POL 10- Data Authentication**			T1. Model States' Common Events/Actions Triggering **POL10- Data Authentication**	
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents
M	6.1.1.1	Receive info from drug suppliers	M		
M	6.1.3.3	Document med reconciliation	M		
M	6.1.4.3	Sign med order	M		
M	6.1.5.1	Review current med list	M		
M	6.1.6.3	Document med reconciliation	M		
M	6.1.7.3	Document med reconciliation	M		
M	6.1.8.1	Prescribe new meds at discharge	M		
M	6.1.9.1	Communicate med and allergy info to next provider	M		
	Ambulatory Clinician Perspective			Ambulatory Clinician Perspective	
M	7.1.1.1	Receive info from drug suppliers	M		
M	7.1.4.4	Sign script	M		
M	7.1.4.5	Communicate info to pharm	M		

POL 10- Data Authentication

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Negotiated Status:

"+" means item is to be include in policy;

"−" means do not include item in policy. For all "-" please include explanation.

"P" means Parking Lot - in need of further discussion.

		Required-Optional Requirements*						
Use case		L	L/M	L/M	M	L	L	M
T2. POL10 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
+	Methods for assurance that data has not been modified if a document is shared with a patient	R	R/R	R	R	R	R	R

** Reported as Not Applicable to model.

POL 11 DIGITAL SIGNATURE.

	AHIC Use Case Events/Actions Triggering **POL 11- Digital Signature**			T1.Model States' Common Events/Actions Triggering **POL11- Digital Signature**	
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L		
M	6.1.1.1	Receive info from drug suppliers	M		
M	6.1.3.3	Document med reconciliation	M		
M	6.1.4.3	Sign med order	M		
M	6.1.5.1	Review current med list	M		
M	6.1.6.3	Document med reconciliation	M		
M	6.1.7.3	Document med reconciliation	M		
M	6.1.8.1	Prescribe new meds at discharge	M		
M	6.1.9.1	Communicate med and allergy info to next provider	M		
	Ambulatory Clinician Perspective			Ambulatory Clinician Perspective	
M	7.1.1.1	Receive info from drug suppliers	M		
M	7.1.4.4	Sign script	M		

POL 11- Digital Signature

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Several re-wording suggestions, ie: "Policy requires when you accept or express data you have a signature or somehow describe that there was no signature required."

Negotiated Status:

"+" means item is to be include in policy;

"−" means do not include item in policy. For all "-" please include explanation.

"P" means Parking Lot - in need of further discussion.

		Required-Optional Requirements*						
Use case		L	L/M	L/M	M	L	L	M
T2. POL11 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
P	Policy allowing the organization to accept or express data without signature or would it express with a caveat or some marker that no signature was received	**		R		R	O	

** Reported as Not Applicable to model.

POL 12 RELATIONSHIP TO PATIENT.

AHIC Use Case Events/Actions Triggering **POL 12- Relationship to Patient**
None identified

T1. Use Case Events/Actions Triggering Requirement **POL12- Relationship to Patient**
None identified

POL 12- Relationship to Patient

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Wording change from "prove" to "demonstrate"

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

		Use case	L	L/M	L/M	M	L	L	M
T2. POL 12 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
+	Gray area – for HIPAA only regulated state – subject of care – provider needs to demonstrate they are the provider of the subject of care		R	R					

POL 13 RISK ASSESSMENT.

AHIC Use Case Events/Actions Triggering **POL 13 - Risk Assessment**			T1. Model States' Common Events/Actions Triggering **POL 13- Risk Assessment**
L	3.2.4.4	Verify correct patient id and correctness of results and error correct if necessary	L
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L
M	6.1.1.1	Receive info from drug suppliers	M
M	6.1.3.3	Document med reconciliation	M
M	6.1.4.3	Sign med order	M
M	6.1.5.1	Review current med list	M
M	6.1.6.3	Document med reconciliation	M
M	6.1.7.3	Document med reconciliation	M
M	6.1.8.1	Prescribe new meds at discharge	M
M	6.1.9.1	Communicate med and allergy info to next provider	M
Ambulatory Clinician Perspective			Ambulatory Clinician Perspective
M	7.1.1.1	Receive info from drug suppliers	M
M	7.1.4.4	Sign script	M
M	7.1.4.5	Communicate info to pharm	M
M	7.1.4.5a	Communicate info to pharm using paper/fax	M
Ambulatory Pharmacist Perspective			Ambulatory Pharmacist Perspective
M	7.2.4.2	Provide med dispensing status	M
Information Exchange			Information Exchange
M	8.4	Route database content	M

POL 13 - Risk Assessment

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Wording needs to be changed - clarification of data authentication being in scope.

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

		Use case	L	L/M	L/M	M	L	L	M
T2. POL13 Matched Requirements across use cases and reporting states			AZ	CO	CT	OK	MD	NE	WA
P	Identification of risk issues– e.g. Data authentication not a high risk in this scenario.		R		R		R	R	R

POL 14 SIGNATURE / DATA VALIDATION CHECKING.

Requirement POL 14 applies to Medication Management Use Case Only

AHIC Use Case Events/Actions Triggering **POL 14 - Signature/ Data Validation Checking**	
Ambulatory Clinician Perspective	
M	7.1.1.1	Receive info from drug suppliers
M	7.1.4.4	Sign script
M	7.1.4.5	Communicate info to pharm
Ambulatory Pharmacist Perspective	
M	7.2.1.1	Verify script
Information Exchange	
M	8.3	Retrieve data

Requirement POL 14 applies to Medication Management Use Case Only

T1. Model States' Common Events/Actions Triggering **POL14- Signature / Data Validation Checking**	
Ambulatory Clinician Perspective	
M		
M		
M		
Ambulatory Pharmacist Perspective	
M		
Information Exchange	
M		

Negotiated Status:
"+" means item is to be include in policy;
"−" means do not include item in policy. For all "-" please include explanation.
"P" means Parking Lot - in need of further discussion.

POL 14 - Signature/ Data Validation Checking

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

		Required-Optional Requirements*						
	Use case	L	L/M	L/M	M	L	L	M
T2. POL14 Matched Requirements across use cases and reporting states		AZ	CO	CT	OK	MD	NE	WA
P	Signature and Data Integrity conducted prior to allowing the following procedures:	■				■		
P	Using data communicated through secured methods (e.g. VPN)		R	■	R			■
P	Using data communicated through insecure methods (e.g. patient USB)			R				■
P	Storing data	■		■				R
P	Submitting data to shared resource			R	R	■		

Clarification needed on this context and whether this is in scope.

POL 15 INFORMATION SYSTEMS ACTIVITY REVIEW.

AHIC Use Case Events/Actions Triggering POL15- Information 'Systems Activity Review [45 CFR 164.308 (a)(1)]			T1. Model States' Common Events/Actions Triggering POL15- Information Systems Activity Review [45 CFR 164.308 (a)(1)]		
L	3.2.1.1a	Send request for historical result to repositories	L		
L	3.2.1.7	Log receipt/include consent in lab result log	L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi	L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching	L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.1	Submit authentication info to locator	L	3.2.3.1	Submit authentication info to locator
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L		
L	3.2.3.5	Log interaction with locator service	L	3.2.3.5	Log interaction with locator service
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L	3.2.4.2	Submit authentication info to data repository
L	3.2.4.6	Log interaction with data repository	L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository	L	3.3.1.2	Send results to data repository
L	3.3.1.3	Log creation of test results	L		
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L		
L	3.4.2.1	Authenticate to locator service	L		
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L		
L	3.4.3.5	Log interaction	L		
L	3.5.1. 1	Receive test result (file) location and completeness of information	L		
L	3.5.1. 2	Verify authenticity of lab test result location and completeness of related information	L		
L	3.5.2. 2	Clinician and locator agree on patient id	L		
L	3.5.2.1	Authenticate cllinician requesting lab test result	L		
L	3.5.2.6	Log interaction with clinician	L		
M	6.1.1.1	Receive info from drug suppliers	M		
M	6.1.2.1	Request info in electronic form	M		
M	6.1.3.3	Document med reconciliation	M		
M	6.1.4.3	Sign med order	M		
M	6.1.4.4b	Communicate order to external pharm	M		
M	6.1.5.1	Review current med list	M		
M	6.1.6.3	Document med reconciliation	M		
M	6.1.7.3	Document med reconciliation	M		
M	6.1.8.1	Prescribe new meds at discharge	M		
M	6.1.8.3	Communicate info to pharm	M		
M	6.1.9.1	Communicate med and allergy info to next provider	M		
Ambulatory Clinician Perspective			Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers	M		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
M	7.1.4.4	Sign script	M		
M	7.1.4.5	Communicate info to pharm	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
M	7.2.4.2	Provide med dispensing status	M		
Information Exchange			Information Exchange		
M	8.1	Identify subject	M		
M	8.2	Locate records	M		
M	8.3	Retrieve data	M		
M	8.4	Route database content	M		

POL15- Information Systems Activity Review [45 CFR 164.308 (a)(1)]

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

	Use case	L
	T2. POL15 Matched Requirements across use cases and reporting states	**AZ**
	Administrative Safeguard; policy, data and system requirements-	
+	Software applications, network servers, firewalls and other network hardware and software are configured to create audit logs that track activities involving electronic protected health information (ePHI) such as data modification, creation, deletion, etc	R
+	The audit logs generated are reviewed on a regular basis based on audit criteria developed in advance, any anomalies documented and mitigating action, if necessary.	R
+	Documentation is retained for a minimum of six years.	R

POL 16 LOG-IN MONITORING.

		AHIC Use Case Events/Actions Triggering POL16- Log-in Monitoring [45 CFR 164.308 (a)(5)]			'T1. Model States' Common Events/Actions Triggering POL16- Log-in Monitoring [45 CFR 164.308 (a)(5)]
L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.1.7	Log receipt/include consent in lab result log	L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.1	Submit authentication info to locator	L	3.2.3.1	Submit authentication info to locator
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L		
L	3.3.1.2	Send results to data repository	L	3.3.1.2	Send results to data repository
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L		
L	3.4.2.1	Authenticate to locator service	L		
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L		
L	3.5.1.2	Verify authenticity of lab test result location and completeness of related information	L		
L	3.5.2.1	Authenticate cllinician requesting lab test result	L		
M	6.1.2.1	Request info in electronic form	M		
M	6.1.5.1	Review current med list	M		
M	6.1.7.3	Document med reconciliation	M		
M	6.1.8.1	Prescribe new meds at discharge	M		
M	6.1.9.1	Communicate med and allergy info to next provider	M		
Ambulatory Clinician Perspective			*Ambulatory Clinician Perspective*		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
Ambulatory Pharmacist Perspective			*Ambulatory Pharmacist Perspective*		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
M	7.2.4.2	Provide med dispensing status	M		
Information Exchange			*Information Exchange*		
M	8.1	Identify subject	M		
M	8.2	Locate records	M		
M	8.3	Retrieve data	M		

POL16- Log-in Monitoring [45 CFR 164.308 (a)(5)]
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

		Required-Optional Requirements*						
	Use case	L	L/M	L/M	M	L	L	M
	T2. POL16 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
	Administrative Safeguard; policy, data and system requirements–			R		■		
+	An audit log created to record when a workforce member or business associate logs on to the network or a software application; when login is attempted; and when the login attempt fails.	R	R	R	R	■	R	R
+	The audit logs generated are reviewed on a regular basis based on audit criteria developed in advance, any anomalies documented and mitigating action, if necessary.	R	R	R	R	■	R	R
+	Documentation is retained for a minimum of six years [AZ;7yrs]	R	R	R	R	■	R	R

POL 17 EVALUATION.

AHIC Use Case Events/Actions Triggering POL17- Evaluation [45 CFR 164.308 (a)(8)]
None identified

'T1. Model States' Common Events/Actions Triggering POL17- Evaluation [45 CFR 164.308 (a)(8)]
None identified

POL17- Evaluation [45 CFR 164.308 (a)(8)]
Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Required for both covered entities and non-covered entities in order to exchange; expect non-CE to abide by privacy and security rules.

Required for both covered entities and non-covered entities in order to exchange; expect non-CE to abide by privacy and security rules.

		Required-Optional Requirements*						
	Use case	L	L/M	L/M	M	L	L	M
	T2. POL17 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
+	Administrative Safeguard; policy requirements –			R		■		
+	Periodic technical and non-technical evaluations are conducted to reasonably ensure the covered entity is compliant with the provisions of the HIPAA Security Rule. Otherwise known as a compliance audit:	R	R	R	R	■	R	R
+	Audit criteria are to be developed in advance	R	R	R	R	■	R	R
+	An evaluation occurs at least annually or when any major system or business changes occur.	R	R	R	R	■	R	R
+	Evaluation requires:	R	R	R		■		R
+	Generation of an audit findings report	R	R	R	R	■	R	R
+	Associated mitigating action or documentation that an identified deficiency represents a risk the organization is willing to accept.	R	R	R	R	■	R	R
+	The organization is responsible for prioritizing mitigation and document mitigation plans (including documenting completion of mitigating activity).	R	R	R	R	■	R	R
+	All documentation must be retained for a minimum of six years. [AZ;7yrs]	R	R	R	R	■	R	R

POL 18 AUDIT CONTROLS.

AHIC Use Case Events/Actions Triggering **POL18- Audit** Controls [45 CFR 164.312 (b)]			T1. Model States' Common Events/Actions Triggering **POL18- Audit** Controls [45 CFR 164.312 (b)]		
L	3.2.1.1a	Send request for historical result to repositories	L	3.2.1.1a	Send request for historical result to repositories
L	3.2.1.7	Log receipt/include consent in lab result log	L	3.2.1.7	Log receipt/include consent in lab result log
L	3.2.3.1	Submit authentication info to locator	L	3.2.3.1	Submit authentication info to locator
L	3.2.3.2	Clinician/locator agree on patient identity through patient trait match	L		
L	3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi		3.2.3. 2a	Clinician/locator agree on patient identity based on shared mpi
L	3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching		3.2.3. 2b	Clinician and locator agree on patient id based on patient identifier matching
L	3.2.3.5	Log interaction with locator service	L	3.2.3.5	Log interaction with locator service
L	3.2.4.0	View results using another system(non EHR)	L		
L	3.2.4.2	Submit authentication info to data repository	L	3.2.4.2	Submit authentication info to data repository
L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary	L	3.2.4. 4	Verify correct patient id and correctness of results and error correct if necessary
L	3.2.4.6	Log interaction with data repository	L	3.2.4.6	Log interaction with data repository
L	3.3.1.2	Send results to data repository	L	3.3.1.2	Send results to data repository
L	3.3.1.3	Log creation of test results	L		
L	3.4.1.2	Verify authenticity of laboratory and lab test result file contents	L		
L	3.4.2.1	Authenticate to locator service	L		
L	3.4.3.2	Authenticate and verify as ordering clinician of care	L		
L	3.4.3.5	Log interaction	L		
L	3.5.1. 1	Receive test result (file) location and completeness of information	L		
L	3.5.1. 2	Verify authenticity of lab test result location and completeness of related information	L		
L	3.5.2. 2	Clinician and locator agree on patient id	L		
L	3.5.2.1	Authenticate cllinician requesting lab test result	L		
L	3.5.2.6	Log interaction with clinician	L		
M	6.1.1.1	Receive info from drug suppliers	M		
M	6.1.2.1	Request info in electronic form	M		
M	6.1.3.3	Document med reconciliation	M		
M	6.1.4.3	Sign med order	M		
M	6.1.4.4b	Communicate order to external pharm	M		
M	6.1.5.1	Review current med list	M		
M	6.1.6.3	Document med reconciliation	M		
M	6.1.7.3	Document med reconciliation	M		
M	6.1.8.1	Prescribe new meds at discharge	M		
M	6.1.8.3	Communicate info to pharm	M		
M	6.1.9.1	Communicate med and allergy info to next provider	M		
Ambulatory Clinician Perspective			Ambulatory Clinician Perspective		
M	7.1.1.1	Receive info from drug suppliers	M		
M	7.1.2.1	Check patient eligibility	M		
M	7.1.3.1	Request available med/allergy info in electronic form	M		
M	7.1.4.1	Consider formulary	M		
M	7.1.4.4	Sign script	M		
M	7.1.4.5	Communicate info to pharm	M		
M	7.1.4.5a	Communicate info to pharm using paper/fax	M		
M	7.1.6.1	Communicate current med list, scripts, allergy info, care instruct to patient	M		
Ambulatory Pharmacist Perspective			Ambulatory Pharmacist Perspective		
M	7.2.1.1	Verify script	M		
M	7.2.2.1	Request available med/allergy info in electronic form	M		
M	7.2.4.2	Provide med dispensing status	M		
Information Exchange			Information Exchange		
M	8.1	Identify subject	M		
M	8.2	Locate records	M		
M	8.3	Retrieve data	M		
M	8.4	Route database content	M		

POL18- Audit Controls [45 CFR 164.312 (b)]

Write RESOLVED POLICIES / ISSUES / EXPLANATIONS below.

Change "Covered entities" to "All entities and their business associates"

		Use case	L	L/M	L/M	M	L	L	M
		T2. POL18 Matched Requirements across use cases and reporting states	AZ	CO	CT	OK	MD	NE	WA
+		Technical Safeguard; policy, data, system requirements			R		■		
+		**All entities and their business associates** must implement technical processes that accurately records activity related to access, creation, modification and deletion of ePHI.	R	/R	R	R	■	R	R
+		Audit logs recording activity as it relates to ePHI and the periodic review of generated audit logs		/R	R	R	■	R	R
+		Review of audit logs is based on established audit criteria and include documentation of any anomalies and mitigating action (including sanctions, security incident response team activation, etc. as appropriate), if necessary.	R	/R	R	R	■	R	R
+		All documentation is retained for a minimum of six years. [AZ;7yrs]	R	R	R	R	■	R	R
+		Audit logs at a minimum must include:		R	R		■		R
+		Unique user name/ID	R	R	R	R	■	R	R
+		Date/time stamp	R	R	R	R	■	R	R
+		Action taken (view, add, change, delete)		R	R	R	■	R	R

Required-Optional Requirements*