

The Office of the National Coordinator for
Health Information Technology



2015 Edition Final Rule

Improvements to the ONC Health IT Certification Program and the 2015 Edition Health IT Certification Criteria

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Putting the **I** in **HealthIT**
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- **Goals of the Final Rule**
- **Highlights of the ONC Health IT Certification Program**
- **2015 Edition – Changes Compared to the Proposed Rule and the 2014 Edition**
- **Certification to the 2015 Edition Use Cases (MU & Beyond)**

Overview of the 2015 Edition Final Rule

- Supports HHS-wide goals to achieve better care, smarter spending, and healthier people
- Builds on the foundation established by the 2011 and 2014 Editions and addresses stakeholder feedback by **reducing burden as compared to the 2015 Edition proposed rule**
- Focuses on health IT components necessary to establish an interoperable nationwide health information infrastructure
- Incorporates changes designed to foster innovation, open new market opportunities, and provide more provider and patient choices in electronic health information access and exchange
- Addresses information blocking and the continued reliability of certified health IT

2015 Edition Final Rule Health IT Goals

Improve Interoperability

**Facilitate Data Access
and Exchange**

**Ensure
Privacy and Security
Capabilities**

Improve Patient Safety

Reduce Health Disparities

**Improve the Reliability
and Transparency of
Certified Health IT**

**Use the ONC Health IT
Certification Program to
Support the Care Continuum**

**Support Stage 3 of the EHR
Incentive Programs**

ONC Health IT Certification Program

A more accessible ONC Health IT Certification Program supportive of:

- Diverse health IT systems, including but not limited to EHR technology (“Health IT Module” instead of “EHR Module”)
Remember: There is no “Complete EHR” certification to the 2015 Edition or future editions
- Health IT across the care continuum, including long-term and post-acute care (LTPAC) settings

Supporting the Broader Care Continuum: How It Will Work

The Past (2011 and 2014 Editions)

- ONC included **policy** that supported the EHR Incentive Programs in its previous Editions
 - Defined the Certified EHR Technology (CEHRT) definition on behalf of CMS
 - Required “meaningful use measurement” criteria
 - Specified the minimum number of clinical quality measures developers must certify to in order to participate in the EHR Incentive Programs
 - Specified criteria as “ambulatory” or “inpatient”

The Future (2015 and Future Editions)

- ONC does not include **policy** to support the EHR Incentive Programs in its Editions
 - Each program sets its own requirements (e.g., CMS defines the CEHRT definition in its final rule)
 - **The ONC Health IT Certification Program is “agnostic” to settings and programs, but can support many different use cases and needs**
 - This allows the ONC Health IT Certification Program to support multiple program and setting needs, for example:
 - EHR Incentive Programs
 - Long-term and post-acute care
 - Chronic care management
 - Behavioral health
 - Other public and private programs

A number of programs currently point to certified health IT and/or the the ONC Health IT Certification Program. Here are a few:

- Physician Self-Referral Law exception and Anti-kickback Statute safe harbor for certain EHR donations
- CMS chronic care management services (included in 2005 and 2016 Physician Fee Schedule rulemakings)
- Department of Defense Healthcare Management System Modernization Program
- The Joint Commission for performance measurement initiative (“ORYX vendor” – eCQMs for hospitals)

There are also other HHS rulemakings encouraging the use of certified health IT or proposing required alignment with adopted standards. These rulemakings are mentioned in more detail in the 2015 Edition final rule.

ONC-ACBs must ensure health IT developers conspicuously disclose in plain language on their website, in all marketing materials, communication statements, and other assertions related to certified health IT:

- Additional types of costs users may incur to implement or use health IT for any purpose within the scope of its certification (not just for achieving MU objectives)
- Limitations (including contractual, technical, or other limitations) that are likely to limit a user's ability to implement or use health IT for any purpose within the scope of its certification

Health IT developers will be required to:

- Provide a hyperlink for all disclosures, which will be published via ONC's CHPL
- Make a “transparency attestation” indicating whether or not they will provide the required information (prior slide) to other persons and organizations (e.g., customers, prospective customers, and associations representing consumers or providers) upon request



- Converting the CHPL to an open data file to make the reported product data (e.g., test results) more accessible for product analysis
- Require that ONC-Authorized Certification Bodies (ONC-ACBs) report an expanded set of information about health IT products for increased product transparency

Improve the Reliability and Transparency of Certified Health IT

Privacy and Security Certification Framework

- A Health IT Module will need to meet applicable privacy and security certification criteria, which is based on the other capabilities included in the Health IT Module
- Removes the responsibility from the provider to ensure that they possess technology certified to all the necessary privacy and security criteria



Ensure Privacy and Security Capabilities

Privacy and Security Certification Framework

Final 2015 Edition Privacy and Security Certification Framework

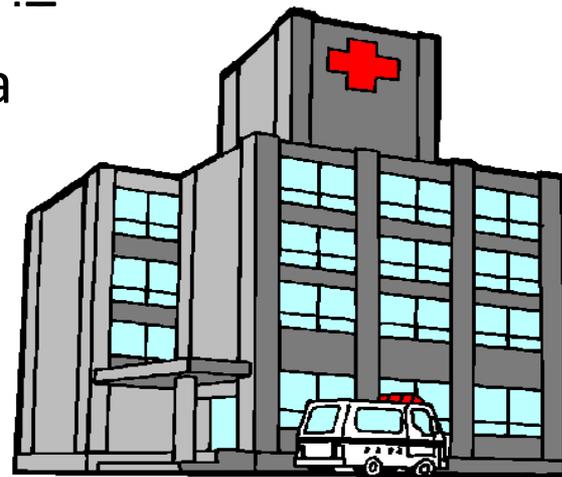
If the Health IT Module includes capabilities for certification listed in Section in column 1, it will need to be certified to Approach 1 or Approach 2 for each of the P&S certification criteria listed in the “approach 1” column

Section	Approach 1	Approach 2
§ 170.315(a)	§ 170.315(d)(1) (authentication, access control, and authorization), (d)(2) (auditable events and tamper resistance), (d)(3) (audit reports), (d)(4) (amendments), (d)(5) (automatic log-off), (d)(6) (emergency access), and (d)(7) (end-user device encryption)	For each applicable P&S certification criterion not certified for approach 1, the health IT developer may certify for the criterion using system documentation sufficiently detailed to enable integration with external services necessary to meet the criterion.
§ 170.315(b)	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8) (integrity)	
§ 170.315(c)	§ 170.315(d)(1) through (d)(3) and <u>(d)(5)*</u>	
§ 170.315(e)(1)	§ 170.315(d)(1) through (d)(3), (d)(5), (d)(7), <u>and (d)(9)(trusted connection)*</u>	
§ 170.315(e)(2) and (3)	§ 170.315(d)(1) through (d)(3), (d)(5), and <u>(d)(9)*</u>	
§ 170.315(f)	§ 170.315(d)(1) through (d)(3) and (d)(7)	
§ 170.315(g)(7), (8) and (9)*	<u>§ 170.315(d)(1) and (d)(9); and (d)(2) or (d)(10) (auditing actions on health information)*</u>	
§ 170.315(h)	§ 170.315(d)(1) through (d)(3)	

*Emphasis added to identify additions to the framework as compared to the Proposed Rule.

Ensure Privacy and Security Capabilities

- New requirements for “in-the-field” surveillance under the ONC Health IT Certification Program
- ONC-ACBs should ensure that certified Health IT Modules can perform certified capabilities in a production environment (when implemented and used)
 - Reactive surveillance (e.g., complaints)
 - Randomized surveillance
(2% of annually certified health IT at one or more location)
- Enhanced surveillance of mandatory transparency requirements
- Non-conformity and corrective action reported to the CHPL beginning in CY 2016



Improve the Reliability
and Transparency of
Certified Health IT

Improve Patient Safety

2015 Edition: Comparison to the Proposed Rule and to the 2014 Edition



New and updated vocabulary, content, and transport standards for the structured recording and exchange of health information

- 2015 Base EHR Definition
- Common Clinical Data Set
- Other uses are supported, for example:
 - Public Health
 - Social, Psychological, and Behavioral Health

Improve Interoperability

- Focuses, at a minimum, on the functionalities that all users of certified Health IT should possess
- Ensures that the minimum functionalities required by the HITECH Act remain in the Base EHR Definition
- Reminder: The requirements can be met using a combination of certified Health IT Modules



Facilitate Data Access
and Exchange

Improve Patient Safety

2015 Base EHR Definition

*** Red Italic - New to the Base EHR Definition as compared to the 2014 Edition (NEW)**

**** Privacy and security removed – now attached to the applicable certification criteria**

Base EHR Capabilities	Certification Criteria
Includes patient demographic and clinical health information, such as medical history and problem lists	Demographics § 170.315(a)(5) Problem List § 170.315(a)(6) Medication List § 170.315(a)(7) Medication Allergy List § 170.315(a)(8) <i>Smoking Status § 170.315(a)(11) (NEW)</i> <i>Implantable Device List § 170.315(a)(14) (NEW)</i>
Capacity to provide clinical decision support	Clinical Decision Support § 170.315(a)(9)
Capacity to support physician order entry	Computerized Provider Order Entry (medications, laboratory, or diagnostic imaging) § 170.315(a)(1), (2) <u>or</u> (3)
Capacity to capture and query information relevant to health care quality	Clinical Quality Measures – Record and Export § 170.315(c)(1)
Capacity to exchange electronic health information with, and integrate such information from other sources	Transitions of Care § 170.315(b)(1) Data Export § 170.315(b)(6) <i>Application Access – Patient Selection § 170.315(g)(7) (NEW)</i> <i>Application Access – Data Category Request § 170.315(g)(8) (NEW)</i> <i>Application Access – All Data Request § 170.315(g)(9) (NEW)</i> Direct Project § 170.315(h)(1) <u>or</u> Direct Project, Edge Protocol, and XDR/XDM § 170.315(h)(2)

Common Clinical Data Set

- Renamed the “Common MU Data Set.” This does not impact 2014 Edition certification.
- Includes key health data that should be accessible and available for exchange.
- Data must conform with specified vocabulary standards and code sets, as applicable.

Patient name	Lab tests
<u>Sex (STD data new)</u>	Lab values/results
Date of birth	<u>Vital signs (changed from proposed rule) (STD new)</u>
<u>Race (STD new)</u>	Procedures
<u>Ethnicity (STD new)</u>	Care team members
<u>Preferred language (STD new)</u>	<i>Immunizations (NEW Data)</i>
Problems	<i>Unique device identifiers for implantable devices (NEW Data)</i>
Smoking Status	<i>Assessment and plan of treatment (NEW Data)</i>
Medications	<i>Goals (NEW Data)</i>
Medication allergies	<i>Health concerns (NEW Data)</i>

ONC Interoperability Roadmap Goal

2015-2017

Send, receive, find and use priority data domains to improve health and health quality

KEY:

Red italic = New data added to data set (+ standards for immunizations) (NEW DATA)

Blue Underlined = Only new standards for data (STD new)

2015 Edition: A Numbers Overview

The 2015 Edition:

68 Proposed Certification Criteria
(including CQM reporting criterion from IPPS rule)
and

6 “Additional” Certification Criteria in the Final Rule

- The number of criteria is reflective of flexibility and optionality.
- In response to stakeholder feedback, we have and continue to split capabilities out into separate criteria instead of including all the capabilities in a single criterion. For example, see CPOE criteria (formerly 1 criterion; now 3 criteria) and the API and associated privacy and security criteria (formerly 1 criterion; now 5 criteria).

60 Adopted Certification Criteria

14 Proposed Criteria were Not Adopted

2015 Edition as Compared to the 2014 Edition:

16 Unchanged Criteria
(gap certification eligible)

25 Revised Criteria

19 New Criteria

Key for Following Tables/Slides

The tables on the following slides focus on comparing the adopted 2015 Edition certification criteria with the proposed 2015 Edition certification criteria. The tables also provide two other relevant points of information:

1. They identify whether the adopted 2015 Edition certification criterion is associated with the EHR Incentive Programs (meaningful use/MU) or solely supports other settings and use cases.
2. They compare the adopted 2015 Edition certification criteria to the 2014 Edition certification criteria on the basis of whether the 2015 Edition certification are unchanged, revised, or new compared to the 2014 Edition. This comparison is accomplished by categorizing the 2015 Edition certification criteria into sections based on whether they are unchanged, revised, or new. These three categories are identified by headings at the top of each slide/table. For reference, the meaning and relevance of unchanged, revised, and new are as follows:

“Unchanged” certification criteria are those that include the same capabilities as compared to prior certification criteria of adopted editions; and to which a Health IT Module presented for certification to the 2015 Edition could have been previously certified to all of the included capabilities.

“Revised” certification criteria are those that include within them capabilities referenced in a previously adopted edition of certification criteria as well as changed or additional new capabilities; and to which a Health IT Module presented for certification to the 2015 Edition could not have been previously certified to all of the included capabilities.

“New” certification criteria are those that as a whole only include capabilities never referenced in previously adopted certification criteria editions and to which a Health IT Module presented for certification to the 2015 Edition could have never previously been certified. As a counter example, the splitting of a 2014 Edition certification criterion into two criteria as part of the 2015 Edition will not make those certification criteria “new” for the purposes of a gap certification eligibility analysis.

Of importance, “unchanged” criteria are eligible for gap certification. This means that the certification of a Health IT Module to an “unchanged” 2015 Edition criterion can be done using the test results from the certification of the Health IT Module to the 2014 Edition version of the criterion. This creates efficiencies and substantially reduces burden.²⁰

1 Not Adopted Criterion Associated with the EHR Incentive Programs

Family Health History – Pedigree

13 Not Adopted Criteria for Other Settings and Use Cases

Vital Signs

Image Results

Patient List Creation

eMAR

Decision Support – Knowledge Artifact

Decision Support – Service

Incorporate Lab Tests and Values/Results

Transmission of Laboratory Test Reports

Accessibility Technology

SOAP Transport

Healthcare Provider Directory – Query Request

Healthcare Provider Directory – Query Response

Electronic Submission of Medical Documentation

Requested Comment; Not Adopted

Work and Industry Occupation Data

U.S. Uniformed/Military Service Data

Pharmacogenomics Data

Unchanged Criteria

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Unchanged Criteria Associated with the EHR Incentive Programs (15)

CPOE – Medications	Different than proposed - Adopted with additional optional “reason for order” field
CPOE – Laboratory	Different than proposed <ul style="list-style-type: none"> • Adopted with additional optional “reason for order” field • Did not adopt CLIA requirements; and LOI + eDOS standards • We still strongly support lab interoperability (e.g., we will focus efforts on piloting standards)
CPOE – Diagnostic Imaging	Different than proposed - Adopted with additional optional “reason for order” field
Drug-drug, Drug-allergy Interaction Checks for CPOE	Different than proposed – Did not adopt “user response documentation” proposal
Medication List	Adopted as proposed
Medication Allergy List	Adopted as proposed
Drug-formulary and Preferred Drug List Checks	Different than proposed <ul style="list-style-type: none"> • Did not adopt the proposed NCPDP Formulary and Benefit standard • We will continue to support efforts to coalesce around a real-time standard
Smoking Status	Different than proposed - Adopted as functional (no standard)

Unchanged Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Unchanged Criteria Associated with the EHR Incentive Programs (15)

Authentication, Access Control, Authorization	Different than proposed – Replaced the term “person” with “user”
Audit Report(s)	Adopted as proposed
Amendments	Adopted as proposed
Automatic Access Time-Out	Adopted as proposed
Emergency Access	Adopted as proposed
End-User Device Encryption	Adopted as proposed
Transmission to Public Health Agencies – Reportable Lab Tests and Values/Results	Different than proposed - Did not adopt proposed standard; rather, adopted the 2014 Edition standards

Unchanged Criterion that Supports Other Settings and Use Cases (1)

Accounting of Disclosures	Adopted as proposed
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Improve Interoperability

Ensure Privacy and Security Capabilities

Revised Criteria

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Revised Criteria Associated with the EHR Incentive Programs (25)	
Demographics	Different than proposed - Added sexual orientation and gender identity data
Problem List	Adopted as proposed - <u>Potential</u> attestation for prior certified products
Clinical Decision Support	Different than proposed <ul style="list-style-type: none"> • Removed lab tests and Values/results references from CDS configuration • Did not adopt “user response documentation” proposal • Did not include preferred language for identifying reference information • Reordered the regulation text to align with testing (non-substantive change)
Family Health History	Adopted as proposed - <u>Potential</u> attestation for prior certified products
Patient-Specific Education Resources	Different than proposed - Do not require preferred language (adopted as optional)
Transitions of Care	Different than proposed <ul style="list-style-type: none"> • Adopted updated C-CDA Release 2.1 standard with only CCD, Referral Note, and (for inpatient setting only) Discharge Summary templates • Health IT must receive (not create) and validate <u>both</u> C-CDA Release 1.1 and 2.1 documents for interoperability • More specific requirements for C-CDA section display to improve clinical relevance of displayed data • Adopted patient match data for creation of C-CDA documents with standards

Improve Interoperability

Facilitate Data Access
and Exchange

Revised Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Revised Criteria Associated with the EHR Incentive Programs (25)

Clinical Information Reconciliation and Incorporation	<p>Different than proposed</p> <ul style="list-style-type: none"> Updated to C-CDA Release 2.1 standard and 3 templates Create a CCD based on the data reconciled and incorporated
ePrescribing	<p>Different than proposed</p> <ul style="list-style-type: none"> Did not adopt structured Sig Added field for “reason for prescription” using ICD-10 Clarified “all <u>oral liquid</u> medications” in only metric (mL)
Data Export	<p>Different than proposed</p> <ul style="list-style-type: none"> Changed name of criterion from “data portability” Updated to C-CDA Release 2.1 standard and 3 templates Clarified configuration requirements, including not adopting the 3-year look back period
CQMs – Record and Export	Different than proposed - Adopted newer QRDA I standard, Release 3
CQMs – Import and Calculate	Different than proposed - Adopted newer QRDA I standard, Release 3
CQMs – Report	<p>Different than proposed (<i>proposed in FY2016 IPPS proposed rule, but finalized in this final rule</i>)</p> <ul style="list-style-type: none"> Adopted with newer QRDA I standard, Release 3 QRDA III DSTU Release 1 <u>with</u> September 2014 Errata

Improve Interoperability

Facilitate Data Access
and Exchange

Revised Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Revised Criteria Associated with the EHR Incentive Programs (25)

Auditable Events and Tamper-Resistance	Different than proposed (<i>proposed as unchanged</i>) - Revised to require auditing of user privileges
Integrity	Different than proposed (<i>proposed as unchanged</i>) - Revised to SHA-2
View, Download, and Transmit to 3 rd Party	Different than proposed <ul style="list-style-type: none"> • Updated to C-CDA Release 2.1 standard and <u>only</u> CCD template • Adopted two ways for transmitting patient health information (email and another encrypted method, which could be Direct) • Removed API – providers have it via the 2015 Edition Base EHR definition • Adopted date and time filtering capabilities similar to “Data Export” criterion
Secure Messaging	Different than proposed <ul style="list-style-type: none"> • Embedded security requirements are now part of the overall P&S framework • Require SHA-2 as the minimum standard for creating hashes
Transmission to Immunization Registries	Different than proposed - Adopted with a newer version of the proposed standard
Transmission to PHA – Syndromic Surveillance	Different than proposed <ul style="list-style-type: none"> • Adopted a newer version of the standard <u>and</u> addendum • No certification for the ambulatory setting
Transmission to Cancer Registries	Different than proposed - Adopted with a newer version of the proposed standard

Improve Interoperability

Facilitate Data Access
and Exchange

Revised Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

Revised Criteria Associated with the EHR Incentive Programs (25)

Automated Numerator Recording	Adopted as proposed
Automated Measure Calculation	Adopted as proposed
Safety-enhanced Design	<p>Different than proposed</p> <ul style="list-style-type: none"> • Added only demographics, problem list, and IDL; removed eMAR • Adopted with a minimum test participant threshold (10) • Alternative user satisfaction measurement may be permitted
Quality Management System	Adopted as proposed – Clarified the requirement is the identification of the QMS
Direct Project	<p>Different than proposed (<i>proposed as unchanged</i>)</p> <ul style="list-style-type: none"> • Adopted the updated Applicability Statement (primary Direct protocol) • Require use of the Direct delivery notification specification • Required to send/receive messages in “wrapped” format
Direct Project, Edge Protocol, and XDR/XDM	<p>Different than proposed (<i>proposed as unchanged</i>)</p> <ul style="list-style-type: none"> • Adopted the updated Applicability Statement (primary Direct protocol) • Require use of the Direct delivery notification specification • Required to send/receive messages in “wrapped” format • Must support both the XDS Metadata profiles (Limited and Full)

Improve Interoperability

Facilitate Data Access
and Exchange

New Criteria

As Compared to the 2014 Edition; and Compared to the Proposed Rule

New Criteria Associated with the EHR Incentive Programs (12)	
Application Access – Patient Selection	<p>Different than proposed (proposed as 1; now 5 criteria with 3 focused on API)</p> <ul style="list-style-type: none"> • A standards-based approach is intended for the next appropriate rulemaking • Updated to C-CDA Release 2.1 standard and <u>only</u> CCD template • Adopted date and time filtering capabilities similar to “Data Export” criterion • Removed requirements that the API must include a means for requesting application to register with the data source (will not meet end goal) • Removed XML or JSON requirement, but require computable format • Security requirements – see below
Application Access – Data Category Request	
Application Access – All Data Request	
Trusted Connection	<p>Not proposed - new criterion (1 of 5 criteria)</p> <ul style="list-style-type: none"> • Pulled security requirement out of the proposed API criterion and made it part of the P&S certification framework to apply back to the API criteria • Requires establishment of a trusted connection at either the message-level or transport-level using specified encryption and hashing standards
Auditing Actions on Health Information	<p>Not proposed - new criterion (1 of 5 criteria)</p> <ul style="list-style-type: none"> • Pulled the security requirement out of the proposed API criterion and made it part of the P&S certification framework to apply back to the API criteria • Similar to the audit criterion (170.315(d)(2)), but without recording of audit log or encryption status (locally stored on end-user devices)

Improve Interoperability

Facilitate Data Access
and Exchange

New Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

New Criteria Associated with the EHR Incentive Programs (12)

Implantable Device List	<p>Different than proposed</p> <ul style="list-style-type: none"> • Added “Distinct Identification Code” to the identifiers for parsing • Revised and expanded the attributes for association with a UDI to comprise key identifying and patient safety-related data about implantable devices • Provided flexibility for developers utilizing the FDA and NLM’s GUDID web services to use the SNOMED CT® terminology in lieu of GMDN • Clarified display requirements for allowing users to “change” the active UDIs in a patient’s list of implantable devices
Patient Health Information Capture	<p>Different than proposed</p> <ul style="list-style-type: none"> • Combined capabilities to be “enable a user to identify, record, and access information directly and electronically shared by a patient...” • Clarified that the criterion <i>supports</i> the Stage 3 associated measure, but the goal was to set a foundation for accepting information directly from patients
Transmission to PHA – Case Reporting	<p>Different than proposed</p> <ul style="list-style-type: none"> • No content standard required • Focuses on trigger codes, patient match, and data (“ToC” data + trigger)
Transmission to PHA – Antimicrobial Use and Resistance Reporting	Adopted as proposed

Improve Interoperability

Facilitate Data Access and Exchange

New Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

New Criteria Associated with the EHR Incentive Programs (12)

Transmission to Public Health Agencies – Health Care Surveys	Adopted as proposed and clarified that the implementation guide consist of three surveys: National Hospital Care Survey, National Ambulatory Medical Care Survey, and National Hospital Ambulatory Medical Care Survey
Accessibility-centered Design	Adopted as proposed
Consolidated CDA Creation Performance	Different than proposed <ul style="list-style-type: none"> • C-CDA Release 2.1 and applicable templates, depending on presented health IT • Added “completeness” testing requirement per request for comment

New Criteria that Support Other Settings and Use Cases (7)

Social, Psychological, and Behavioral Data	Different than proposed - Adopted all proposed measures in one criterion (with LOINC codes), except SO/GI (moved to demographics)
Common Clinical Data Set Summary Record – create	Not proposed - new criterion based on response to request for comment <ul style="list-style-type: none"> • Same “ToC” C-CDA creation, Common Clinical Data Set (and other data), and patient matching requirements • No transport standards requirements
Common Clinical Data Set Summary Record – receive	Not proposed - new criterion based on response to request for comment <ul style="list-style-type: none"> • Same “ToC” C-CDA receive, Common Clinical Data Set and other data, and validate and display requirements • No transport standards requirements

Improve Interoperability

Facilitate Data Access and Exchange

New Criteria - Continued

As Compared to the 2014 Edition; and Compared to the Proposed Rule

New Criteria that Support Other Settings and Use Cases (7)	
Data Segmentation for Privacy – Send	<p>Different than proposed</p> <ul style="list-style-type: none"> • Clarified in regulation text that it only applies to document-level tagging • Adopted C-CDA Release 2.1
Data Segmentation for Privacy – Receive	<p>Different than proposed</p> <ul style="list-style-type: none"> • Clarified in regulation text that it only applies to document-level tagging • Adopted C-CDA Release 2.1
Care Plan	<p>Different than proposed</p> <ul style="list-style-type: none"> • Adopted C-CDA Release 2.1 standard • Specifically require Health Status Evaluations and Outcomes Section and Interventions Section (V2) for certification based on request for comment
Clinical Quality Measures – Filter	<p>Different than proposed</p> <ul style="list-style-type: none"> • Adopted QRDA I Release 3 for patient-level; and QRDA III DSTU Release 1 with September 2014 Errata for aggregate-level reports • Health IT must also be able to display the filtered data results in human readable format • Adopted Healthcare Provider Taxonomy (CMS Crosswalk) standard for provider type • Adopted Payment Typology Code Set for patient insurance

Improve Interoperability

Facilitate Data Access
and Exchange

- Patient matching for transitions of care/referral summaries
- Record and exchange Unique Device Identifiers
- Safety-enhanced Design
 - A conditional certification requirement (depends on the other capabilities in the Health IT Module) for an expanded set of certification criteria compared to the 2014 Edition
 - Health IT developers must submit specific information about the user-centered design processes used and applied
 - Minimum 10 test participants for summative testing
- Quality Management System (QMS)
 - A mandatory requirement for certification of a Health IT Module to the 2015 Edition
 - Health IT developers must identify the QMS used to develop, test, implement, and maintain capabilities of certified health IT
 - The identified QMS system must be:
 - Established by the federal government or SDO; or
 - Mapped to one or more QMS established by the federal government or SDO
 - Attesting that a QMS was not used is no longer permitted



Addressing Health Disparities

Certification Criteria Capabilities	What the Capabilities Provide
More granular recording and exchange of patient race and ethnicity	Allows providers to better understand health disparities based on race and ethnicity, and improve patient care and health equity
Record sexual orientation and gender identity	Represents a crucial first step forward to improving care for lesbian, gay, bisexual, and transgender communities
Record social, psychological, and behavioral data (e.g., education level, stress, depression, and alcohol use)	Allows providers and other stakeholders to better understand how this data can affect health, reduce disparities, and improve patient care and health equity
Filtering for clinical quality measures	Filtering on demographics, problem lists and other data, which will assist providers in identify disparities and opportunities for care improvement
Exchange of sensitive health information (data segmentation for privacy)	Allows for the exchange of sensitive health information (e.g., behavioral health, substance abuse, and genetic information), in accordance with federal and state privacy laws, for more coordinated and efficient care
Record and access information directly and electronically shared by a patient	Addresses health disparities in populations that are less likely to execute care planning documents or provide health information to providers
Accessibility of health IT	<ul style="list-style-type: none"> • Transparency for the accessibility standards used in development • Web content accessibility for the capabilities of the VDT criterion

Reduce Health Disparities

Certification to the 2015 Edition Use Cases (MU & Beyond)

Certification Program Requirements*		2015 Edition Certification Criteria Associated with EHR Incentive Programs Stage 3 (n=38)		2015 Edition Certification Criteria Supporting the Broader Care Continuum (n=8)
2015 Edition Mandatory Certification Criteria (n=2)	2015 Edition Conditional Certification Criteria (n=12)			
Quality Management System - (g)(4) (REVISED)	<i>Authentication, Access Control, Authorization - (d)(1) (UN)</i>	<i>CPOE – Medications - (a)(1) (UN)</i>	CQM – Record and Export - (c)(1) (REVISED)	<u>Social, Psychological, and Behavioral Data - (a)(15) (NEW)</u>
<u>Accessibility-Centered Design - (g)(5) (NEW)</u>	Auditable Events and Tamper-Resistance - (d)(2) (REVISED)	<i>CPOE – Laboratory - (a)(2) (UN)</i>	CQM – Import and Calculate - (c)(2) (REVISED)	<u>DS4P – Send - (b)(7) (NEW)</u>
	<i>Audit Report(s) - (d)(3) (UN)</i>	<i>CPOE Diagnostic Imaging - (a)(3) (UN)</i>	CQM – Report - (c)(3) (REVISED)	<u>DS4P – Receive - (b)(8) (NEW)</u>
	<i>Amendments - (d)(4) (UN)</i>	<i>Drug-Drug, Drug-Allergy Interaction Checks for CPOE - (a)(4) (UN)</i>	View, Download, and Transmit to 3 rd Party - (e)(1) (REVISED)	<u>Care Plan - (b)(9) (NEW)</u>
	<i>Automatic Access Time-Out - (d)(5) (UN)</i>	Demographics - (a)(5) (REVISED)	Secure Messaging - (e)(2) (REVISED)	<u>CQM Filter - (c)(4) (NEW)</u>
	<i>Emergency Access - (d)(6) (UN)</i>	Problem List - (a)(6) (REVISED)	<u>Patient Health Information Capture - (e)(3) (NEW)</u>	<i>Accounting of Disclosures - (d)(11) (UN)</i>
	<i>End-User Device Encryption - (d)(7) (UN)</i>	<i>Medication List - (a)(7) (UN)</i>	Transmission to Immunization Registries - (f)(1) (REVISED)	<u>Common Clinical Data Set (NEW)</u>
	Integrity - (d)(8) (REVISED)	<i>Medication Allergy List - (a)(8) (UN)</i>	Transmission to PHA – Syndromic Surveillance - (f)(2) (REVISED)	<u>Summary Record – Create - (b)(4) (NEW)</u>
	<u>Trusted Connection - (d)(9) (NEW)</u>	CDS - (a)(9) (REVISED)	<i>Transmission to PHA – Reportable Laboratory Tests and Values/Results - (f)(3) (UN)</i>	<u>Common Clinical Data Set (NEW)</u>
	<u>Auditing Actions on Health Information - (d)(10) (NEW)</u>	<i>Drug-Formulary and Preferred Drug List Checks - (a)(10) (UN)</i>	Transmission of Cancer Registries - (f)(4) (REVISED)	<u>Summary Record – Receive - (b)(5) (NEW)</u>
	Safety Enhanced Design - (g)(3) (REVISED)	<i>Smoking Status - (a)(11) (UN)</i>	<u>Transmission to PHA – Electronic Case Reporting - (f)(5) (NEW)</u>	
	<u>Consolidated CDA Creation Performance - (g)(6) (NEW)</u>	Family Health History - (a)(12) (REVISED)	<u>Transmission to PHA – Antimicrobial Use and Resistance Reporting - (f)(6) (NEW)</u>	
		Patient-Specific Education Resources - (a)(13) (REVISED)	<u>Transmission to PHA – Health Care Surveys - (f)(7) (NEW)</u>	
		<u>Implantable Device List - (a)(14) (NEW)</u>	Automated Numerator Recording - (g)(1) or Automated Measure Calculation - (g)(2) (REVISED)	
		Transitions of Care - (b)(1) (REVISED)	<u>Application Access – Patient Selection - (g)(7) (NEW)</u>	
		Clinical Information Reconciliation and Incorporation - (b)(2) (REVISED)	<u>Application Access – Data Category Request - (g)(8) (NEW)</u>	
		Electronic Prescribing - (b)(3) (REVISED)	<u>Application Access – All Data Request - (g)(9) (NEW)</u>	
		Data Export - (b)(6) (REVISED)	Direct Project - (h)(1) (REVISED)	
			Direct Project, Edge Protocol, and XDR/XDM - (h)(2) (REVISED)	

KEY: Criteria are “new,” “unchanged,” and “revised” as compared to the 2014 Edition

Black Font/Underlined/Green Background = NEW to the 2015 Edition

Red Font/Italic/Gray Background = “unchanged” (UN) criteria (eligible for gap certification)

Black Font/Gray Background = “REVISED” criteria

* These columns identify mandatory and conditional certification requirements (i.e., the application of certain certification criteria to Health IT Modules) that Health IT Modules presented for certification must meet regardless of the setting or program the Health IT Module is designed to support.

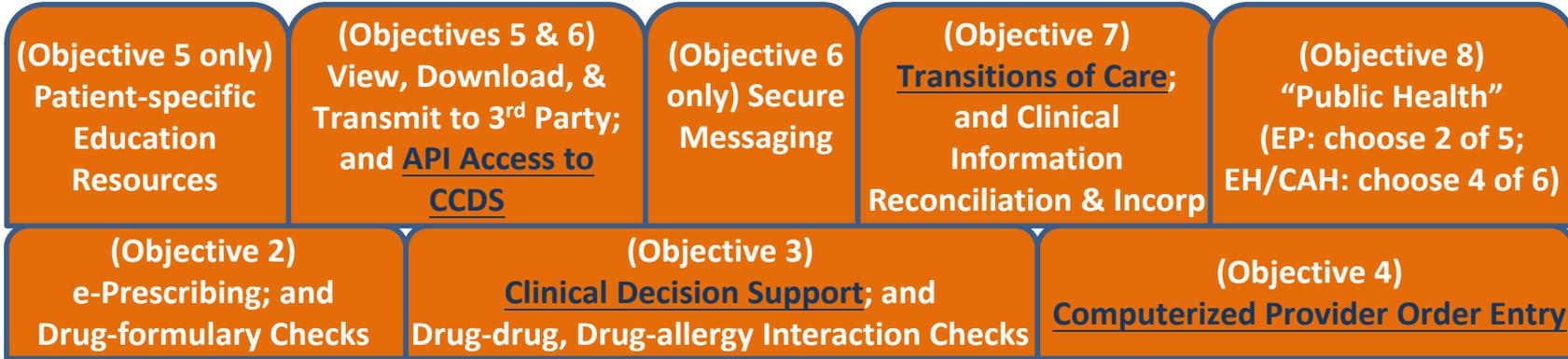
Proposed EHR Incentive Programs

Stage 3 Meaningful Use Objectives

- **Objective 1:** Protect Patient Health Information
- **Objective 2:** Electronic Prescribing
- **Objective 3:** Clinical Decision Support
- **Objective 4:** Computerized Provider Order Entry
- **Objective 5:** Patient Electronic Access to Health Information
- **Objective 6:** Coordination of Care through Patient Engagement
- **Objective 7:** Health Information Exchange
- **Objective 8:** Public Health and Clinical Data Registry Reporting

Certified Health IT Module(s) to Support the EHR Incentive Programs Stage 3

Certification Criteria to Support Meeting Specific Objectives



Dark Blue Font indicates already in the Base EHR definition

CEHRT Definition Requirements



CEHRT/ Base EHR Definition Requirements



Conditional Certification Requirements



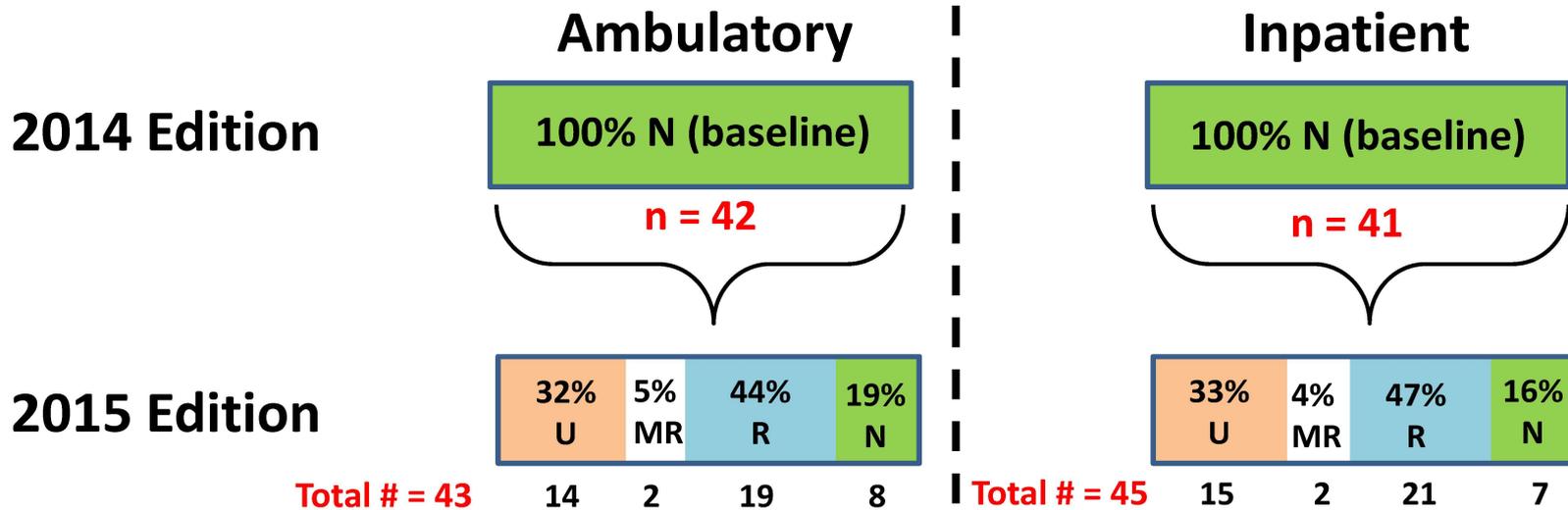
Mandatory Certification Requirements



Support Stage 3 of the EHR Incentive Programs

What is Minimally Required for Stage 3 in 2018?

2014 Edition vs. 2015 Edition



Bottom Line

- More criteria for certification flexibility (e.g., CPOE and API = 6 criteria).
- 37% of criteria are unchanged or minimally revised for the ambulatory setting.
- 38% of criteria are unchanged or minimally revised for the inpatient setting.
- The total minimum number of criteria needed to participate in Stage 3 is about the same for EPs and slightly more for EHs/CAHs as compared to Stage 2.

Notes: 1. This analysis does not account for potential exclusions. 2. A mix of health IT certified to the 2014 and 2015 Editions may be used to meet Stage 3 in 2017 as long as it does not prohibit an EP, EH, or CAH from meeting a measure. Please see the CMS “Stage 3 and Modifications” final rule.

U = Unchanged criteria R = Revised N = New
MR = Minimally revised criteria (Problem List and Family Health History)

***Note:** For public health criteria, EPs choose 2 of 5 measures and EHs/CAHs choose 4 of 6 measures.

Long-Term and Post-Acute Care Certification (example only)

Certification
Criteria to
Support
Meeting
Specific Needs

Transitions of Care

Clinical Information
Reconciliation and Incorporation

Care Plan

Conditional
Certification
Requirements

Privacy and Security

Safety-enhanced Design

C-CDA Creation Performance

Mandatory
Certification
Requirements

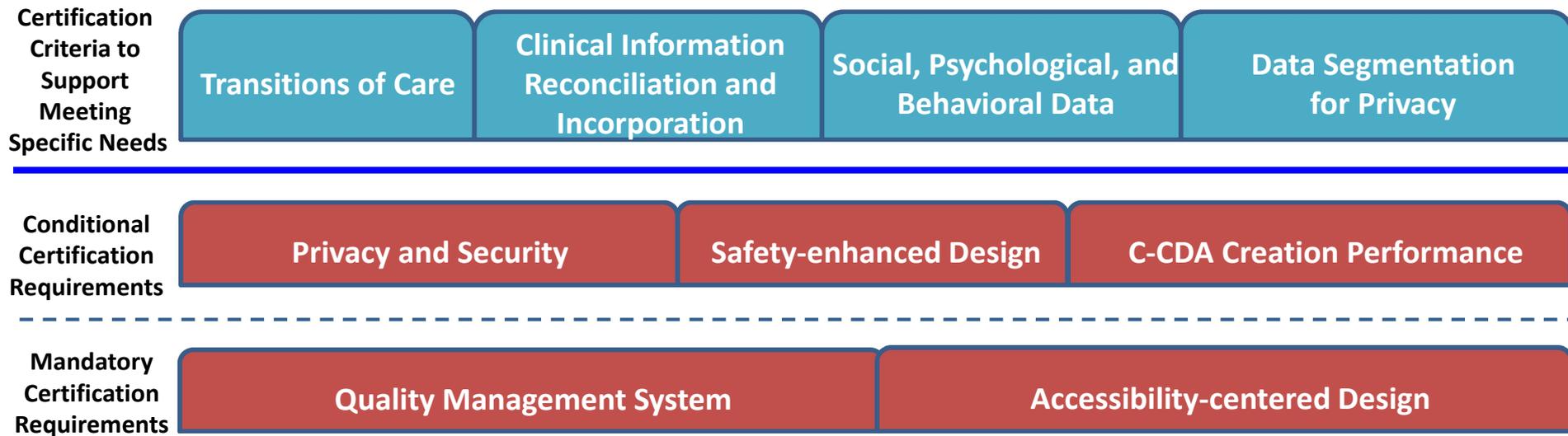
Quality Management System

Accessibility-centered Design

Use of the Health IT Certification Program
to Support the Care Continuum

Certified Health IT Module(s) to Support Other Health Care Settings (Behavioral Health Example)

Behavioral Health Certification (example only)



Use of the ONC Health IT Certification Program
to Support the Care Continuum

- **2015 Edition Final Rule (pre-publication version):**
<https://www.federalregister.gov/articles/2015/10/16/2015-25597/2015-edition-health-information-technology-certification-criteria-2015-edition-base-electronic>
 - The 2015 Edition final rule provisions become **effective on January 14, 2016**, except for § 170.523(m) (adaptations/updates reporting) and (n) (complaints reporting), which are **effective on April 1, 2016**.
 - There is **no** comment period for this final rule.
- **For more information and guidance on the 2015 Edition Final Rule, please visit:** <https://www.healthit.gov/policy-researchers-implementers/2015-edition-final-rule>
- **2015 Edition Final Rule Test Procedures:** The 2015 Edition final test procedures will be available by the end of October 2015 with a 30-day comment period.
- **ONC Regulations:**
<https://www.healthit.gov/policy-researchers-implementers/health-it-regulations>

QUESTIONS?