

The Certification Commission for Healthcare Information Technology (CCHIT)

“Town Calls”

Use Cases and Certification Process Public Comment Period

Thursday, September 8, 2005
4:00 pm Eastern/3:00 pm Central/1:00 pm Pacific
Call-in number: 888-789-0150

Friday, September 9, 2005
1:00 pm Eastern/12:00 noon Central/10:00 am Pacific
Call-in number: 888-789-0150

All calls are for general audiences
Duration of calls: 60 minutes

Moderator: Mark Leavitt, MD, PhD - Chair, CCHIT



Agenda for Today's Call

- **CCHIT's History, Mission, and Organization (brief review)**
- **ONCHIT-2 RFP and CCHIT**
- **The Role of "Use Cases"**
- **Introduction to the Work Products: Use Cases and Certification Process**
- **Q & A**



CCHIT: History, Mission, and Organization



Brief History of CCHIT

- **July 2004: Certification of HIT products a key action in HHS Strategic Framework**
- **Sept 2004: AHIMA, HIMSS, and the Alliance fund and launch CCHIT**
- **June 2005: Eight more nonprofit organizations add \$325k funding support**
- **July 2005: HHS announces Health IT Strategy; RFP ONCHIT-2 released**
- **Sept, 30 2005: ONCHIT-2 contract award to be announced**



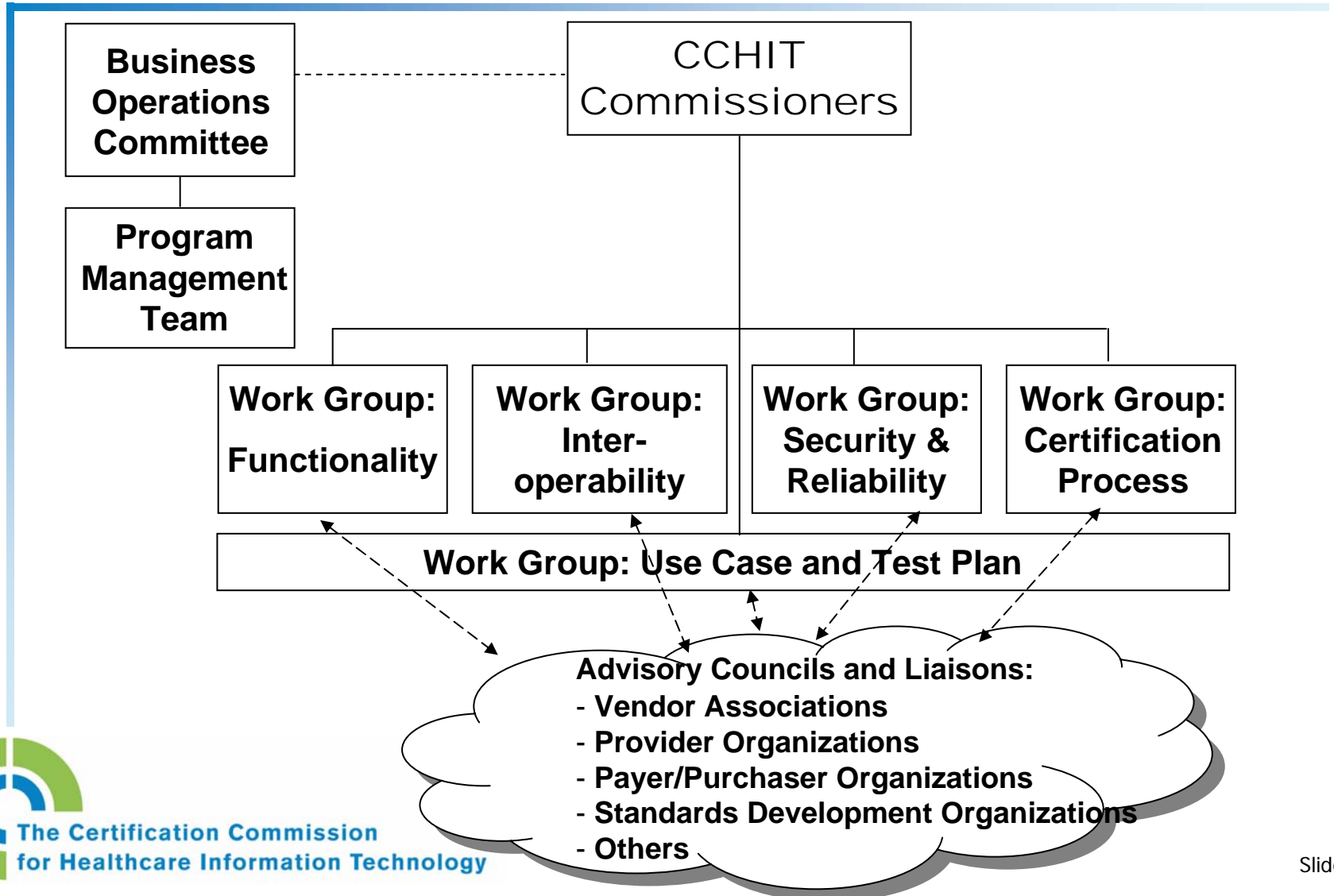
Mission of CCHIT

To accelerate the adoption of robust, interoperable HIT throughout the US healthcare system, by creating an efficient, credible, sustainable mechanism for the certification of HIT products.

How Product Certification Can Accelerate HIT Adoption

- Increase the confidence of providers to invest in and adopt HIT
- Facilitate interoperability of HIT products within the emerging national health information network
- Enhance the availability of HIT adoption incentives from public and private purchasers/payers

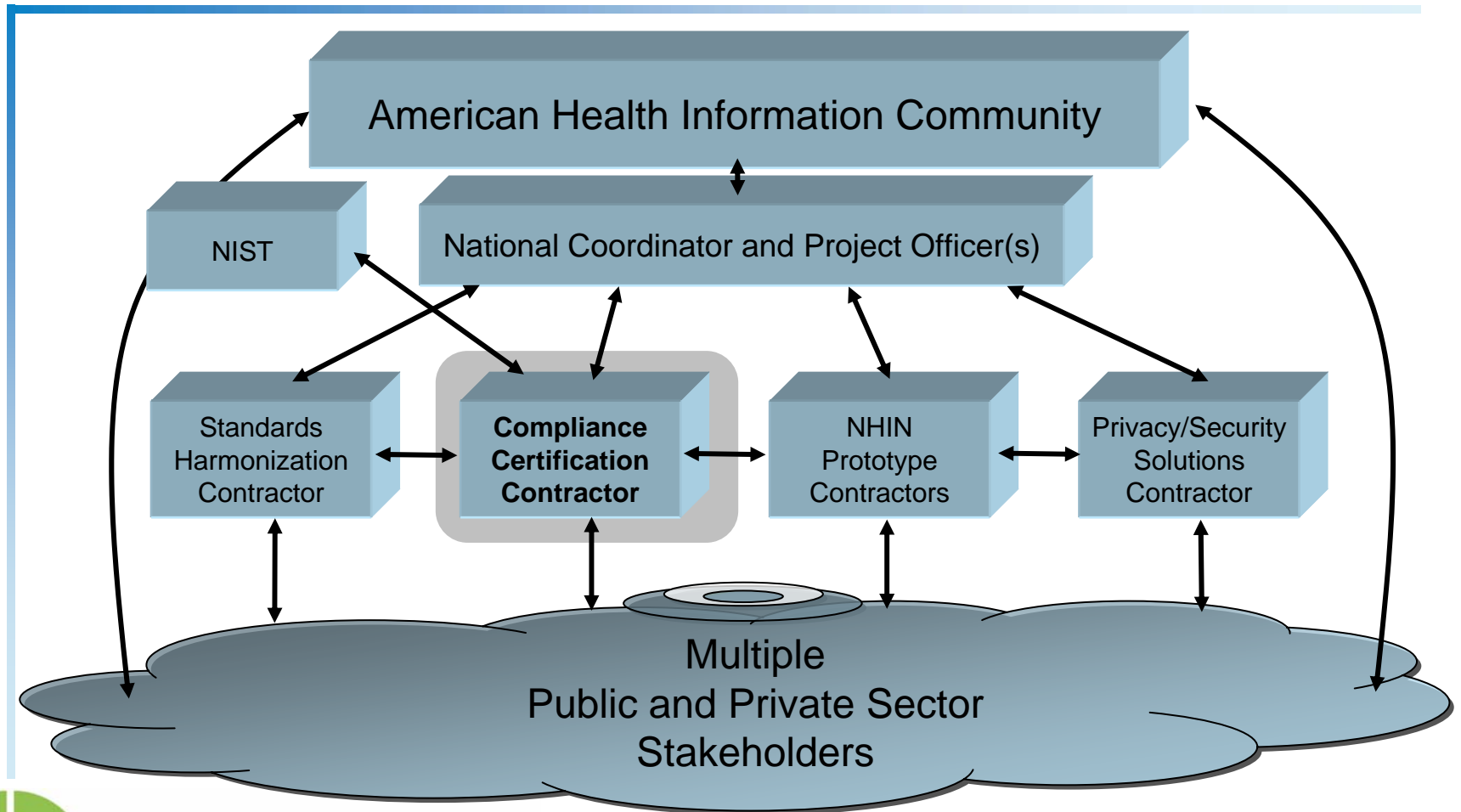
CCHIT Organization



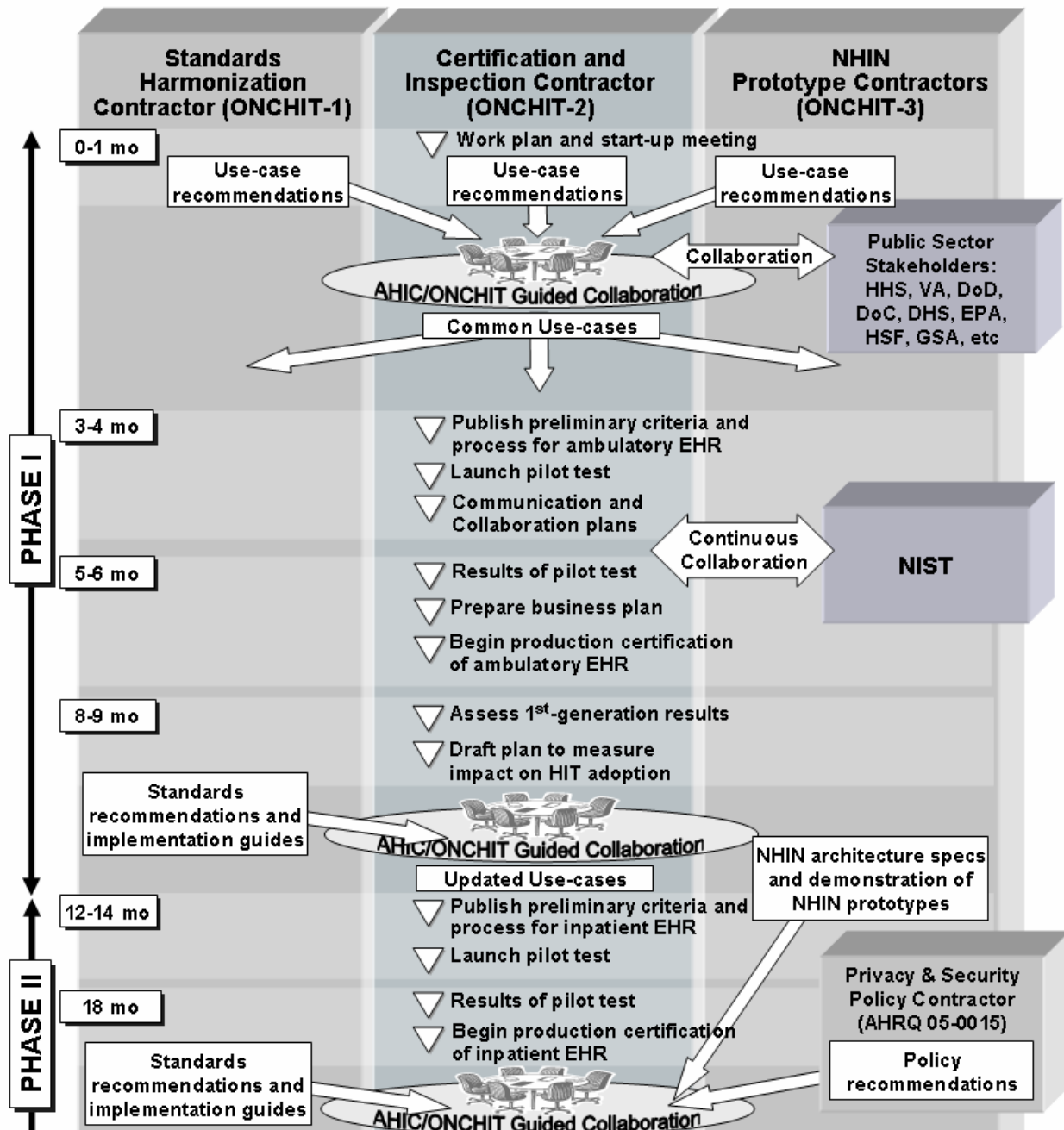
ONCHIT-2 RFP and CCHIT



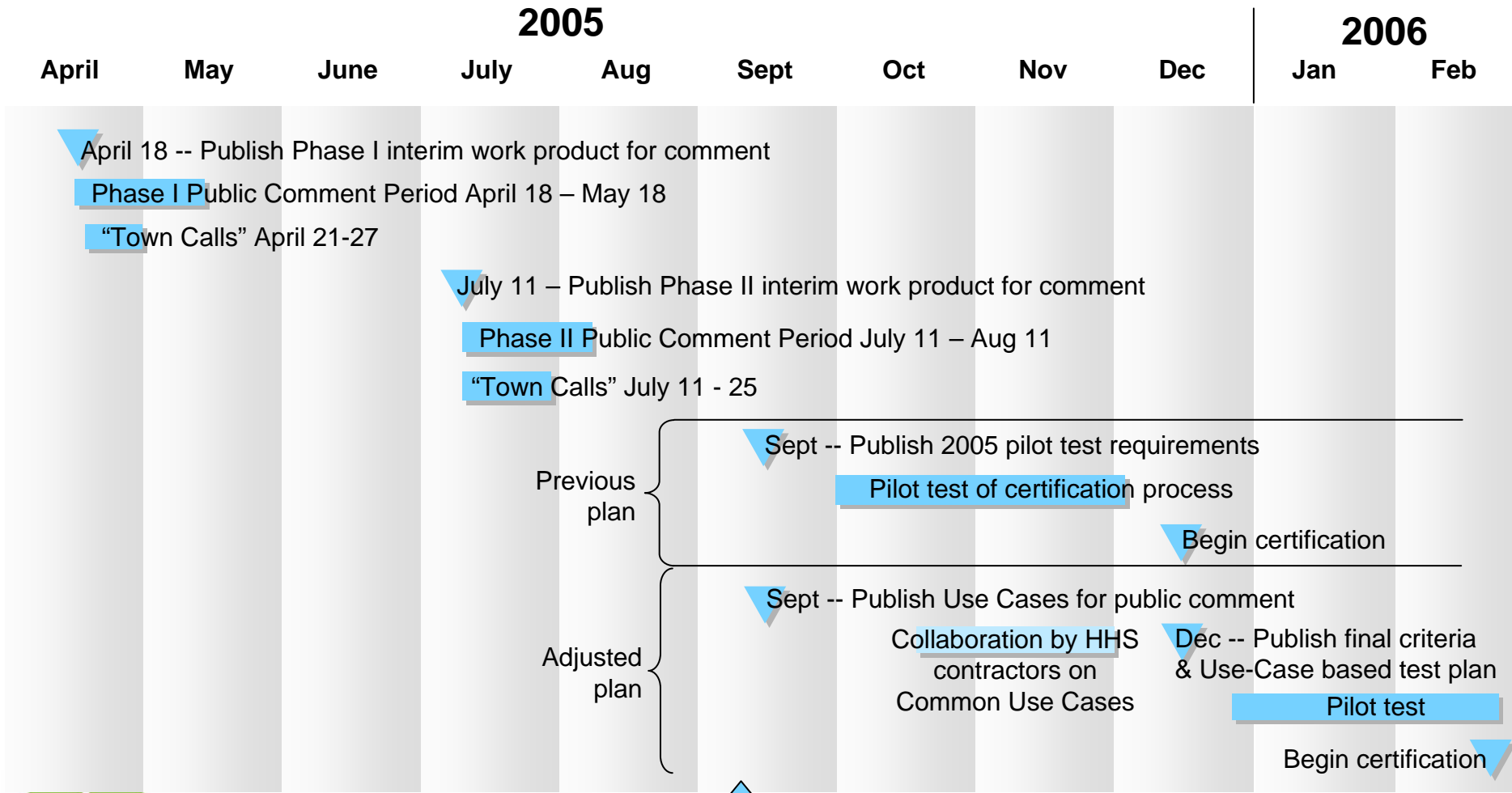
Certification as Part of HHS/ONCHIT Strategy



Timeline for Collaboration between HHS Health IT Contractors



CCHIT Timeline Now Synchronized to ONCHIT-2 Contract Requirements



Continuing Scope Required under ONCHIT-2 Contract

- **Year 1 (Oct 05 – Sep 06)**
 - Develop and pilot test certification of EHR products for ambulatory care settings
- **Year 2 (Oct 06 – Sep 07)**
 - Develop and pilot test certification of EHR products for inpatient care settings
- **Year 3 (Oct 07 – Sep 08)**
 - Develop and pilot test certification of infrastructure or network components through which EHRs interoperate



The Role of “Use Cases” within the HHS Strategy and for CCHIT



HHS Contract Language re: Use Cases

- **Develop a minimum of three recommended use-cases, which are illustrations of interoperable health IT scenarios to support the development of the certification criteria and inspection processes. The use-cases should address specialized variations and extensions of the general case of patients receiving care from a health care provider or health care organization (e.g., a free standing lab) and requiring the exchange of their relevant health information with other providers or health care organizations to support the clinical delivery of care at a different time and/or setting. Additionally, use-cases should be developed that illustrate health data transmission and/or exchange for public health purposes, such as bio-surveillance, outbreak management, alerting and communicating with health providers, and public health detecting and reporting. The contractor shall discuss and develop a common set of use-cases in collaboration with HHS health IT contractors and appropriate stakeholders such as HHS, VA, DoD, DoC, DHS, EPA, NSF, GSA, which shall be designated and convened by the Project Officer with assistance from a support contractor. The common set of use-cases shall support the development and evaluation of certification criteria and inspection processes throughout the contract and shall be approved by the Project Officer.**



Purpose of Use Cases

- To ensure that strategic health IT initiatives will deliver real-world improvements in the quality, safety, and efficiency of health care while securely protecting the privacy of health information
- To integrate the work of the multiple HHS Health IT Contractors toward common goals
- To define what end results are expected from the “interoperability” of health IT systems
- To provide a framework for thorough, credible, yet realistic and cost-effective certification testing



Requirements for CCHIT's "Recommended Use Cases"

- **Definition and contents must be broad enough to accomplish testing goals, but not so broad as to be impractical to test**
- **Must exercise the product under test against the certification criteria in a meaningful and realistic manner**
- **Must represent the interests of many stakeholders – providers (including specialties), payers, vendors, consumers, public health, other government entities, etc.**

Introduction to the Draft Use Cases and Certification Process Work Products



UC/CP Work Products Available on CCHIT website Sept 7

The screenshot shows the CCHIT website interface. At the top left is the logo and URL www.cchit.org. Below it is a navigation menu with the following items: Home, About CCHIT, Press Releases, Commissioners, Commission Minutes, Work Groups, Public Comment on Phase 1, Public Comment on Phase 2, and Public Comment on UC/CP. An arrow points to the 'Public Comment on UC/CP' link with the text 'Click here to access the UC/CP documents'. To the right, a text box contains instructions: 'Click on any of the links below to view a document online, or right-click and select "Save Target As..." to download the file (in Adobe PDF format) to your computer for offline review.' Below this are several blue hyperlinks: 'Consolidated Use Cases-Test Scenarios', 'Step-by-Step Test Descriptions' (with sub-links for 'Clinical Sample', 'Security Sample', and 'Documentation Sample'), 'Criteria Crosswalk with Test Scenarios', and 'Certification Process' (with sub-links for 'Narrative' and 'Diagram'). Another arrow points to the 'Criteria Crosswalk with Test Scenarios' link with the text 'Click to view immediately on-line in PDF format'. Below the text box is another set of instructions: 'If you prefer, you can download a ZIP archive with all documents, including both Adobe PDF and Microsoft Excel versions of the spreadsheets, by clicking on the link below.' This is followed by a link: 'All documents in a single ZIP archive'. A third arrow points to this link with the text 'Best for extensive work off-line'. At the bottom left is the CCHIT logo and name. At the bottom right is the page number 'Slide 18'.

www.cchit.org
The Certification Commission
for Healthcare Information Technology

- Home
- About CCHIT
- Press Releases
- Commissioners
- Commission Minutes
- Work Groups
- Public Comment on Phase 1
- Public Comment on Phase 2
- Public Comment on UC/CP

Click on any of the links below to view a document online, or right-click and select "Save Target As..." to download the file (in Adobe PDF format) to your computer for offline review.

- [Consolidated Use Cases-Test Scenarios](#)
- Step-by-Step Test Descriptions:
 - [Clinical Sample](#)
 - [Security Sample](#)
 - [Documentation Sample](#)
- [Criteria Crosswalk with Test Scenarios](#)
- Certification Process
 - [Narrative](#)
 - [Diagram](#)

If you prefer, you can download a ZIP archive with all documents, including both Adobe PDF and Microsoft Excel versions of the spreadsheets, by clicking on the link below.

- All documents in a [single ZIP archive](#)

ments, [click here](#) to submit your comments online.

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Click here to access the UC/CP documents

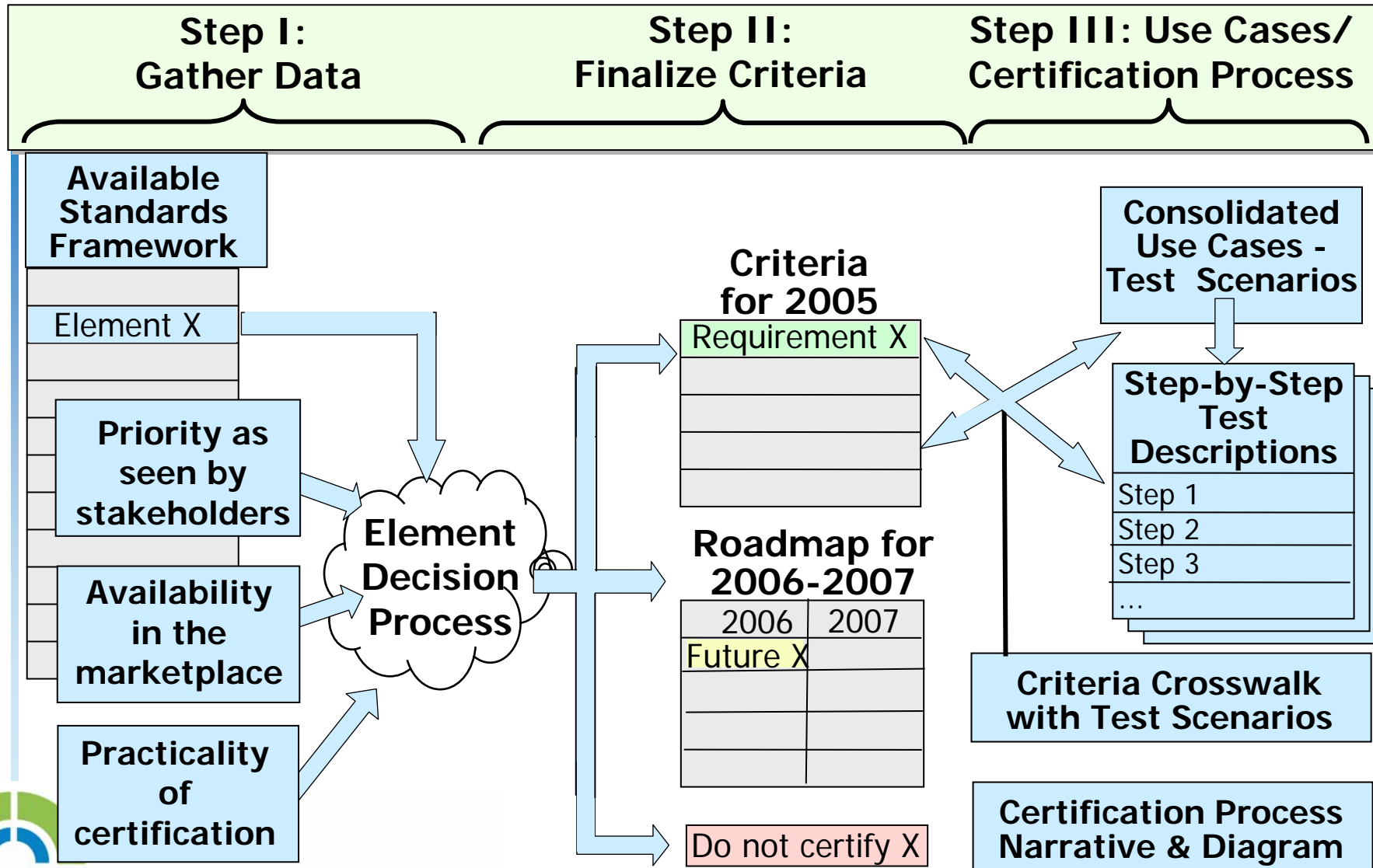
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The Certification Commission
for Healthcare Information Technology

Slide 18

Overview of CCHIT Process and Work Products



Process for Developing Use Cases / Test Scenarios

- **UC/TP Work Group began with broad healthcare needs**
 - Children's healthcare
 - Women's healthcare
 - Care for elderly with multiple chronic diseases
- **Built a clinical scenario for each that would thoroughly exercise EHRs against the certification criteria for 2005**
- **Reviewed and iteratively refined with all Work Groups**



Consolidated Use Cases – Test Scenarios

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30 **Summary:** This “Clinical Test Scenario” involves a routine well-child visit to his
31 Primary Care Physician for immunization, examination and prescription renewal.
32 History of possible TB exposure is identified and PPD given. Positive response to PPD
33 results in additional treatment. In addition, a Security Test Scenario, presented at the end
34 of this document, uses data from this scenario. Key features of this Scenario are:

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- Well Child visit with immunizations
- Preventive Health
- Anticipatory Guidance
- Lab Reporting
- Communicable Disease
 - a) Treatment
 - b) Reporting (needs to be added to case)
- Flexibility in Charting
- Prevention of Dual Chart Entry

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Demographics:

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Joe Smith., Preschool, male,

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Birthdate: 6/20/2001 at 8:05 PM

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Mother: Jessica N, DOB 2/24/1970

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Father: Jeffrey N., DOB, 10/26/1972

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Address: 1600 Rockville Pike, Rockville, Maryland

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Phone: 301-555-1212(home)

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Mom's cell: 202-666-1212,

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Dad's cell: 202-777-1212

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The patient has a common name and so after looking up by name and seeing 4 Joe

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Smiths, the receptionist looks him up by his birth date or SSN or phone number. While

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there, the mother states that she has remarried, her new husband has adopted Joe and they

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have moved. She needs to have his last name changed as well as the address changed to

Notes:

- Document contains all of the Use Cases/Test Scenarios
- Security Scenario represents additional testing under case #1



Step-by-Step Test Descriptions:

3 Samples: Clinical, Security, Documentation

| Item # | Procedure | Expected Result | Test Method | Actual Result | Pass/Fail | CCHIT Criteria ID# | Comments |
|--------|--|---|--------------------------------|---------------|---|--------------------|----------|
| x.1 | Office Clerk Logs in Station #1 | System respond with user name verifying system has unique identifier for this user. | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | F203 | |
| x.2.1 | Office Clerk enters assigned password. | Verify length and composition of password is minimal length required and require composition | Observation Document Review | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | S13 | |
| x.2.2 | | Verify the entered password is not visible at any time during entry or authentication | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | S26 | |
| x.2.3 | | Verify Office Clerk does not have ability to access functions other than patient demographics and registration. | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | F206 | |
| x.2.4 | Office Clerk registers patient | Verify Office Clerk finds Theodore Smith DOB 11/08/29 and successfully completes clinic registration process. | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | F206 | |
| x.3 | Nurse Logs in to Station #2 while Station#1 is active. | Verify Station #2 can function and allows multiple concurrent users | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | F235 | |
| x.3.1 | | Verify Nurse has ability to access, patient demographics, accessed and registration but | Observation | | <input type="checkbox"/> Pass <input type="checkbox"/> Fail | F-206 | |

Note: These are SAMPLES only. Detailed step-by-step test plans are still under development. Please comment on concepts, not specific line items.

Criteria Crosswalk to Test Scenarios

| WG / REF # | Category and Description | Specific Criteria | Recommend | | | Scenario 1 | | Scenario 2 | | Scenario 3 | | Security Scenario | | |
|------------|---|--|---|------------------|------------------|------------------|-----------------------|------------------|-----------------------|------------------|-----------------------|-------------------|-----------------------|--|
| | | | Certify in 2005 | Roadmap for 2006 | Roadmap for 2007 | Included in Test | Included in Narrative | Included in Test | Included in Narrative | Included in Test | Included in Narrative | Included in Test | Included in Narrative | |
| F1 | Identify & maintain a patient record: Key identifying information is stored and linked to the patient record. Both static and dynamic data elements will be maintained. A look up function uses this information to uniquely identify the patient | 1. The system shall create a single patient record for each patient. | X | | | Yes | | Yes | | Yes | Yes | | | |
| F2 | | 2. The system shall associate (store and link) key identifier information with each patient record. (e.g. the system ID or medical record number) | X | | | | Yes | | Yes | | Yes | | | |
| F3 | | 3. The system shall facilitate the ability to store at least one additional identifier for each patient record. | | X | | | | | | | | | | |
| F4 | | 4. Using the key identifying information, the system shall allow a user to identify (look up) the unique patient record. | X | | | Yes | Yes | Yes | | Yes | | | | |
| F5 | | 5. The system shall provide more than one means of identifying (looking up) a patient. | X | | | | | | Yes | | | | | |
| F6 | | Manage patient demographics: Contact information including addresses & phone numbers, as well as key demographic information such as date of birth, gender, and other information is stored & maintained for reporting purposes and for the provision of care. | 1. The system shall capture and maintain demographic information as part of the patient record. | X | | | Yes | Yes | Yes | Yes | Yes | Yes | | |
| F7 | | | 2. The system shall provide the ability to include demographic information in reports. | X | | | Yes | | Yes | Yes | Yes | Yes | | |
| F8 | | | 3. The system shall maintain historic information for prior names and addresses. | X | | | | Yes | | | | | | |

Certification Criteria

Roadmap

Crosswalk to Test Scenarios

Certification Process Narrative

1 PROCESS SUMMARY

2 The CCHIT Certification Process will consist of the following high-level steps:

- 3 ▪ Incorporation of Common Use Cases
- 4 ▪ Development of Detailed Methodology and Performance Criteria
- 5 ▪ Certification Application Process
- 6 ▪ Test Execution
- 7 ▪ Certification Results
- 8 ▪ Certification Maintenance/Re-certification.

9 The following sections detail these process steps.

10 Incorporation of Common Use Cases

11 As required by the HHS ONCHIT-2 RFP¹, CCHIT will develop, on an annual basis, a set
12 of “Recommended Use Cases”² that will exemplify the CCHIT Certification
13 requirements for that period. The CCHIT Use Cases will be:

- 14 ▪ based on the set of certification requirements for the current period, and
- 15 ▪ based on current CCHIT Test Scenarios (designed to adequately test the current
16 criteria).

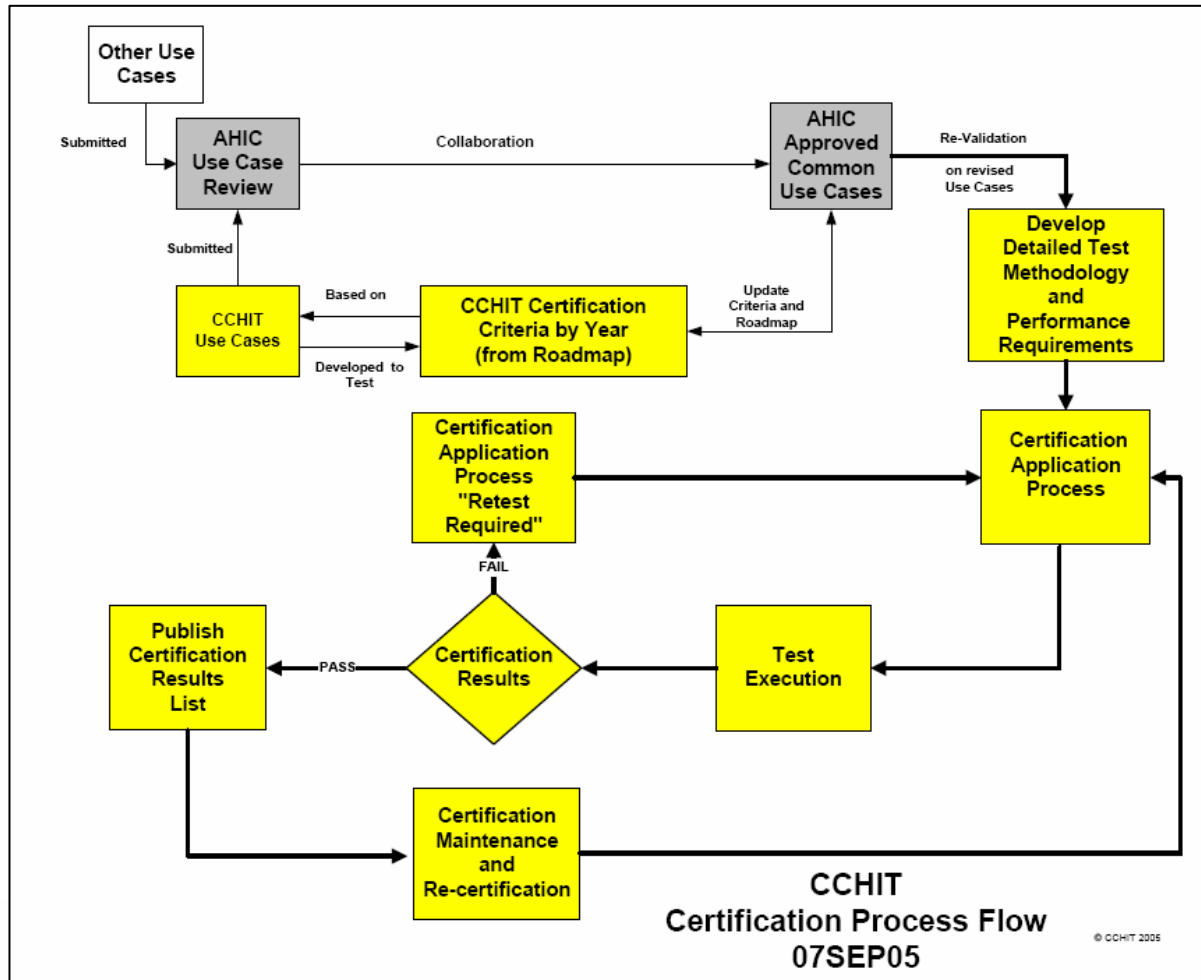
17 CCHIT will use its current Test Scenarios as a basis for its Use Case submittal to AHIC,

18

Line #: Include if you have
specific comments



Certification Process Diagram



Thank You!

**Specific comments on the work products
should be submitted online:**

