PHIN Certification Evaluation

This document includes the PHIN Certification details, specific notes for applicants and the evaluation steps and test scenarios for the PHIN Certification listed below. The evaluation steps and test scenarios detailed in this document are designed to test compliance with specific PHIN Certification Criteria. The PHIN Certification Group will evaluate the applicant's performance against the expected results. The applicant must successfully complete all of the steps in order to receive this PHIN Certification.

PHIN Certification: Cascade Alerting

Certification Details

Certification Attributes:

Version: 2 Status: Current Target Date: 12/17/2010

PHIN Requirements and PHIN Certification Documents

- PHIN Requirements Version 2.01, 04/30/2010; Available at: http://www.cdc.gov/phin/resources/requirements.html
- PHIN Certification Criteria and Process Version 1.0, 08/21/2008; Available at: http://www.cdc.gov/phin/resources/certification/index.html

The applicable PHIN Requirements and associated Certification Criteria

- PHIN Requirement #1 (Compose Messages)
- PHIN Requirement #2 (Securely Send Messages)
- PHIN Requirement #3 (Securely Receive, Parse and Process Messages)
- PHIN Requirement #5 (Security and Availability of Electronic Information Systems)

(Note: PHIN Requirement #4 does not apply to this PHIN Certification)

Applicable Implementation and Specification Guides

- PHIN Communication and Alerting (PCA) Guide, Version 1.3, 04/27/2010; Available at: http://www.cdc.gov/phin/resources/guides.html)
- PHIN Exchange Developer Guide, Version 1.0, 04/30/2010; Available at: http://www.cdc.gov/phin/resources/guides.html)

Notes to applicants:

- The evaluation steps and test scenarios detailed in this document are designed to test compliance with specific PHIN Certification Criteria.
- The cascade alerts messages composed by the applicant will be validated for compliance with the PHIN Communications and Alerting Guide
    - The messages must have or convey the required data attributes and follow the vocabulary specified in the guide
    - Optional data elements that are included in a message will be validated for compliance

Certification Evaluation:

The PHIN Certification evaluation for **Cascade Alerting** includes two parts:

Part #1: Security and Availability Evaluation

Part #2: Alerting Demonstration

Part #1 Security and Availability Evaluation

Preparation for Applicant:

- Download and use the *PHIN Security and Availability Assessment Tool* (Available at: http://www.cdc.gov/phin/resources/certification/index.html) to assist with self-evaluating compliance with the PHIN Certification Criteria for PHIN Requirement #5.
- Download the *PHIN Certification Security and Availability Self-Attestation Form* (Available at: http://www.cdc.gov/phin/resources/certification/index.html) and identify the appropriate individual to sign the form.

Process steps:

The security and availability evaluation is a self-assessment performed by the applicant. A designated individual for the applicant signs the *PHIN Certification Security and Availability Self-Attestation Form* to verify the self-assessment determined compliance with the PHIN Certification Criteria for PHIN Requirement #5.

Step ID	Evaluation Steps	Expected Result	Certification Criteria Reference	Pass / Fail	Actual Result / Detailed Description of Failure (Required if score is "Fail")
1.1	Applicant completes the *PHIN Certification Security and Availability Self-Attestation Form* and submits to the PHIN Certification Group.	The applicant has completed a self-assessment and returns the signed self-attestation form to indicate compliance with the security and availability certification criteria.	CC #: 5.1, 5.2, 5.3, 5.3.1 – 5.3.58		

Part #2 – Alerting Demonstration

Partner Preparation:

1. Partner must use PHIN Exchange to send and receive messages.
2. PHIN Certification Group (PCG) will send the partner the test data file a minimum of 2 business days prior to certification evaluation date.
3. PCG will provide the partner instructions for sending the alert messages to the PCG.
4. The partner will provide the PCG instructions for sending the alert messages to the partner.

ID	Evaluation Steps	Expected Result	Certification Criteria Reference	Pass / Fail	Actual Result / Detailed Description of Failure (Required if score is "Fail")
	Use PHIN Exchange				
2.1	Use PHIN Exchange to send and receive the Cascade Alert and Cascade Acknowledgement messages for steps 2.2 – 2.7 and 2.9 – 2.12.	All messages are sent and received successfully via PHIN Exchange.	CC#: 2, 2.1, 2.2, 2.3, 2.4		
	Composing and Securely Sending				
2.2	Compose and securely send cascade alert using the data supplied in test case #1 to demonstrate the ability to compose a standard test alert of "Moderate" severity.	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4		
2.3	Compose and securely send cascade alert using the data supplied in test case #2 to demonstrate the ability to compose a standard test alert of "Severe" severity.	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4		

ID	Evaluation Steps	Expected Result	Certification Criteria Reference	Pass / Fail	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.4	Compose and securely send cascade alert using the data supplied in test case #3 to demonstrate the ability to a compose "Sensitive" test alert of "Extreme" severity.	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4		
2.5	Compose and securely send cascade alert using the data supplied in test case #4 to demonstrate the ability to compose a standard test alert of "Moderate" severity and requesting an acknowledgement.	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4, 2.4		
2.6	Compose and securely send cascade alert using the data supplied in test case #5 to demonstrate the ability to compose an update test alert to change the severity of the cascade alert sent in step 2.2 from "Moderate" to "Minor"	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4		
2.7	Compose and securely send cascade alert using the data supplied in test case #6 to demonstrate the ability to compose a cancel test alert to cancel the cascade alert sent in step 2.6.	The received cascade alert is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the test case.	CC #1, 1.1, 1.2, 1.3, 1.4		

ID	Evaluation Steps	Expected Result	Certification Criteria Reference	Pass / Fail	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.8	Assumption: Applicant has just received a notification from CDC indicating that an error was encountered in processing a Cascade Alert Message Applicant describes the process to respond and correct the error.	Applicant has a process that will: 1. Respond to the error notice 2. Correct the indicated error (including resending a message if necessary) 3. Initiate any necessary corrective action process	CC #: 2.5		
	Securely Receive, Parse and Process				
2.9	Receive, parse and process an acknowledgement cascade alert message sent from the PCG. The acknowledgement will be based on the message partner sends in step 2.5.	The partner is able to securely receive, parse and process the cascade alert message. Partner is able to demonstrate processing of the cascade alert acknowledgement via method approved by PCG. Possible method might include: – Screen shot from alerting system indicating receipt, date/time, etc.)	CC# 3, 3.1, 3.3, 3.4		
2.10	Receive, parse and process a cascade alert message sent from the PCG.	The partner is able to securely receive, parse and process the cascade alert message. Partner is able to demonstrate processing of the cascade alert via method approved by PCG. Possible methods include: 1. Message routed back to the PCG via an explicit recipient in the message 2. Screen shot from alerting system indicating receipt, date/time, etc.)	CC# 3, 3.1, 3.2, 3.3, 3.4		

ID	Evaluation Steps	Expected Result	Certification Criteria Reference	Pass / Fail	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.11	Receive, parse and process a cascade alert message sent from the PCG that requests an acknowledgement.	The partner is able to securely receive, parse and process the cascade alert message. Partner is able to demonstrate processing of the cascade alert via method approved by PCG. Possible methods include: 1. Message routed back to the PCG via an explicit recipient in the message 2. Screen shot from alerting system indicating receipt, date/time, etc.)	CC# 3, 3.1, 3.3, 3.4		
2.12	Compose and securely send cascade alert acknowledgements message in responses to the cascade alert messages sent in steps #2.10 & #2.11.	The received cascade alert acknowledgement is valid: 1. Message received by CDC contains no errors in message structure 2. Message contains all the required attributes and data elements. 3. Message contains appropriate vocabulary values for the acknowledgement	CC #1, 1.1, 1.2, 1.3, 1.4, 2, 2.1, 2.2, 2.3, 3.2		
2.13	Assumption: Applicant has just encountered an error while processing a cascade alert message. Applicant describes the process to inform the message sender of the error, either via message or some alternative means.	Applicant has a process that will inform the message sender of the error and includes details to identify the message that failed.	CC #: 3.5		