

## 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: Generic Case Notification Message – Send**

#### **Certification Details**

##### **Certification Attributes:**

Version: 1      Status: Current      Target Date: 12/31/2011

##### **PHIN Requirements and PHIN Certification Documents**

- PHIN Requirements Version 2.0, 06/22/2007; Available at: <http://www.cdc.gov/phn/resources/requirements.html>
- PHIN Certification Criteria and Process Version 1.0, 08/21/2008; Available at: <http://www.cdc.gov/phn/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 #5 (Security and Availability of Electronic Information Systems)

(Note: PHIN Requirements #3 and #4 do not apply to this PHIN Certification)

##### **Applicable Implementation and Specification Guides**

- National Condition Reporting Case Notification ORU^R01 Message Structure Specification/Profile Version 2.0, 10/23/2008; Available at: <http://www.cdc.gov/phn>
- Generic Case Notification Message Mapping Guide Version 1.0, 06/16/2009; Available at: <http://www.cdc.gov/phn>
- PHIN Secure Message Transport Guide, Version 2.0, 07/31/2008; Available at: <http://www.cdc.gov/phn>

**Notes to applicants:**

- The evaluation steps and test scenarios detailed in this document are designed to test compliance with specific PHIN Certification Criteria.
- The Generic Case Notification messages sent by the applicant will be validated for compliance with applicable guides and specifications.
  - The messages created must have all of the HL7 required data elements and all of the CDC required<sup>1</sup> data elements and observations.
  - The test data supplied for the test scenarios may include optional data elements and/or optional observations. Applicants are expected to include these optional data elements/observations ONLY if they are currently available and supported in their application(s). The failure of an applicant to include optional data element or optional observations in a message will not be considered a non-compliance item.
  - Optional data elements and observations that are included in a message will be validated for compliance and must comply with the specifications and guides.

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<sup>1</sup> If some of the data elements required by the CDC are not available refer to the PHIN message specifications, mapping guides and related documents for guidance and instructions.

**Certification Evaluation:**

The PHIN Certification evaluation for **Generic Case Notification Message – Send** includes two parts:

- Part #1: Security and Availability Evaluation
- Part #2: Messaging Demonstration and Interoperability Testing

**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/phn/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/phn/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.

ID	Evaluation Steps	Expected Result	Pass / Fail	Certification Criteria Reference	Actual Result / Detailed Description of Failure (Required if score is “Fail”)
1.1	Applicant completes the <i>PHIN Certification Security and Availability Self-Attestation Form</i> 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 – Messaging Demonstration & Interoperability Testing**

**Preparation for Applicant:**

1. PHIN Certification Group will send the applicant the test data file(s) a minimum of 2 business days prior to certification evaluation date. The applicant will use this test data in the evaluation steps listed below.
2. PHIN Certification Group will provide the applicant instructions for securely sending the messages for the evaluation.

ID	Evaluation Steps	Expected Result	Pass / Fail	Certification Criteria Reference	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.1	[Secure Message Transport] Securely send the Generic Case Notification Messages created for each of the test scenario steps below (steps # 2.2 – 2.9) using a compatible secure message transport solution.	All messages created in the test scenario steps are successfully received by the CDC's PHIN MS Receiver.		CC #: 2, 2.1, 2.2, 2.3,2.4	
2.2	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 1" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.3	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 2" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	

ID	Evaluation Steps	Expected Result	Pass / Fail	Certification Criteria Reference	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.4	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 3" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.5	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 4" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.6	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 5" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.7	Compose a functional Generic case notification "Activation" message using the data provided in "Test Case 6" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set.		CC #: 1, 1.1, 1.2, 1.3, 1.4	

ID	Evaluation Steps	Expected Result	Pass / Fail	Certification Criteria Reference	Actual Result / Detailed Description of Failure (Required if score is "Fail")
2.8	Compose a functional Generic case notification "Update" message using the data provided in "Test Case 7" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set. 3) The entire notification originally sent in step 2.2 is re-sent along with the updated information. The message is designated as an "update" message.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.9	Compose a functional Generic case notification "Deletion" message using the data provided in "Test Case 8" and send it via secure message transport.	Received message is valid: 1) Message received by CDC contains no errors in the message structure 2) Expected data elements and values are present and valid for the test data set. 3) The notification message indicates the message originally sent in step 2.2 is rescinded and the message is designated as a "deletion" message.		CC #: 1, 1.1, 1.2, 1.3, 1.4	
2.10	<p><u>Assumption:</u> Applicant has just received an email from CDC indicating that an error was encountered in processing a "Generic Case Notification Message." The email will include the Message Control ID to uniquely identify the message.</p> <p>Applicant describes the process to respond and correct the error.</p>	Applicant has a process that will: 1) Support the use of the Message Control ID to identify the message 2) Respond to the error notice 3) Correct the indicated error (including resending a message if necessary) 4) Initiate any necessary corrective action process		CC #: 2.5	

**For PHIN Certification Group Use:**

<b>Applicant:</b>	
<b>Evaluation Date(s):</b>	
<b>Evaluation Result (Pass/ Fail):</b>	
<b>Evaluator:</b>	
<b>Evaluator Notes / Comments:</b>	