# DG Test Lab Test Proctor Sheet Status

### Scope and Overview of Document

This document provides the current release set of all DG proctor sheets for use in ONC testing as well as certification. The section immediately below is the new release set, the expiring one and the relevant dates.

NOTE – Individual proctor sheets are updated as needed based on changes to the ONC test procedure, ONC guidance and DG findings for improvement. As individual proctor sheet documents are update, they are eventually released as a Proctor Sheet Set zip file. Thus, a new Proctor Sheet Set may contain all new proctor sheets or only one. However, the proctor sheets used for testing are from the Proctor Sheet Set zip file container rather than individual download.

The changes to the Proctor Sheet Set are listed later in this document. The specific changes made to each test proctor sheet, and any other document associated with the Proctor Sheet Set are listed in the Change Log of each document.

### Updating Policy of Test Proctor Sheet Sets

Proctor sheets may be updated at any time to reflect changes made by the ONC or relevant findings from the DG EHR Test Lab. The common policy is to issue a new proctor sheet set one calendar month prior to their effective date at which time the proctor sheets in the new release set will be used for all test events although the DG Test Lab reserves the right to make an immediate change in the proctor sheet use if the change is critical for the integrity of the testing process or if the changes are simply clarifications of existing requirements.

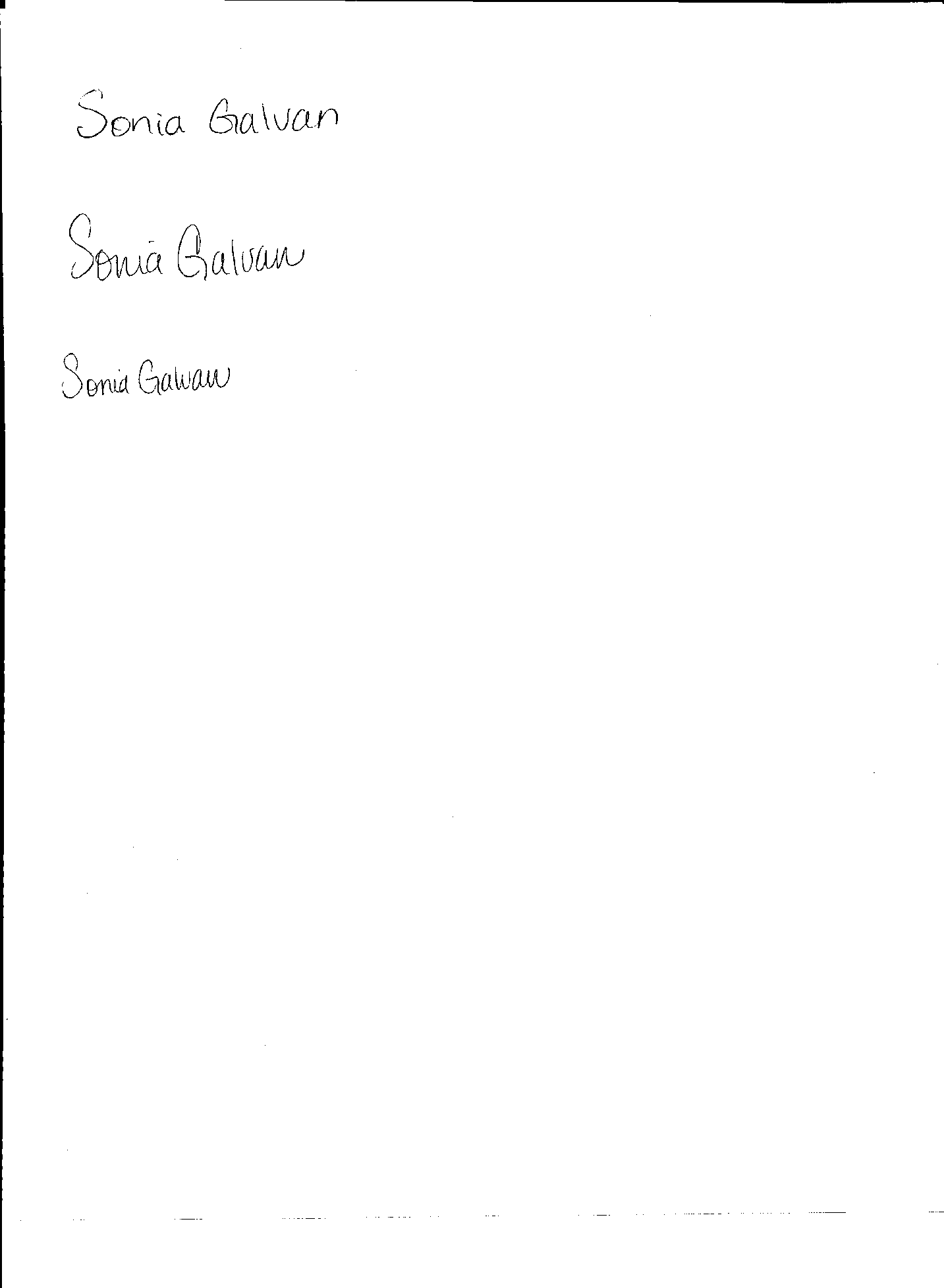
### Current Proctor Sheet Set Release Version (2015 Edition)

Proctor Sheet Set: 03-Jan-2017

Effective Date: January 3, 2017

Expiring Proctor Set: 01-Dec-2016

Sunset Date:  January 2, 2017

Director of EHR Test Lab: 

Date: January 3, 2017

# Proctor Sheet Set Change History

### Changes in 03-Jan-2017 from Previous Release of Proctor Sheet Set

* (b.1) TOC SMTP Send - Consolidated sections 1.1 and 1.2 and re-numbered all other sections.
* (b.1) TOC XDR Receive - Removed test case 4c from section 1.3.
* (b.6) Data Export - Added option to configure specific and relative date/time prior to test event under Pre-test Data Setup section. Clarified date and time required under section 1.5. Removed real-time export from section 1.1. Added Rev 03-Jan-2017 additions under Appendix A.
* (b.7) Data Segmentation for Privacy Send - Removed reference to developer-supplied test data and added ONC-supplied test data under “Test Data and Tools”.
* (b.8) Data Segmentation for Privacy Receive - Removed reference to developer-supplied test data and added reference to ONC-supplied ‘restricted’ test data. Added option for satisfying receipt of ‘unrestricted’ file as part of 170.315(b)(1).
* (d.3) Audit Reports - Removed ‘Changes to User Privileges’ from Sort requirement (section 1.4).
* (h.2) Direct, Edge, XDR, XDM - Updated XDR Test Numbers In Section 5.2 & 6.2. Updated links to ETT.

### Changes in 01-Dec-2016 from Previous Release of Proctor Sheet Set

* (a.9) Clinical Decision Support - Added fields for CDS interventions tested to be recorded by Proctor. Renumber sections. Updated workflow for unauthorized users to occur after enabling interventions.
* (a.14) Implantable Device List - Re-ordered section 1.5 (“change status”) and section 1.6 (“access”). Added reference to DG white paper.
* (b.1) SMTP TOC - Added option for developer to set up “test” (e.g., fake) SMTP account for ETT testing under Pretest Data Setup.
* (b.3) E-Prescribing - Identified Cancel Scenario 2 for testing leading and trailing zeroes.
* (c.1-c.4) Clinical Quality Measures – Updated Appendix A with ‘01-Dec-2016 additions’ with minimum CQM requirements based on CMS payment programs. Removed “Filter Instructions attestation” section. Added reference to Cypress Issue Tracker in JIRA.
* (d.9) Trusted Connection - Updated Message Level test section 1.2 to include encrypting message content in addition to integrity protecting.
* (e.1) View, Download, and Transmit - Corrections made to section 1.5 (changed ‘download’ to ‘view’); section 2.1 (corrected section title).
* (e.2) Secure Messaging - Removed test steps involving authorized representative to align with ONC test procedure. Added comment about authorized representative as it relates to CMS program in Appendix A.
* (f.7) Health Care Surveys - Updated “Ambulatory” to “Outpatient” under Test Data section to include both ambulatory and hospital-outpatient. Also added additional test data clarifications under Appendix A. Clarified Inpatient setting not applicable for testing to this criterion.
* (h.1) Direct Project - Added DCDT test cases 17 and 18.
* (h.2) Direct, Edge, XDR/XDM - Replaced TTT references to ETT (Edge Test Tool). Added DCDT test cases 17 and 18.
* Product Confirmation - Added clarification that product-version captured during testing is expected to be the same as the product certification listing on the ONC CHPL. Updated Test Time Allotments.

### Changes in 01-Nov-2016 from Previous Release of Proctor Sheet Set

* (a.12) Family History - Divided each action (record, change, access) to its own section.
* (a.15) Social, Psychological, and Behavior Data - Corrected LOINC code reference in 1.7 for Question #4.
* (b.9) Care Plan - Added reference to DG-supplied b9 test data sheet throughout test data and test procedure sections.
* (c.1-c.4) - Clarified separate test deck for “Filter” (c.4) will be provided by proctor.
* (d.2) Auditable Events - Added test step for proctor to record NIST ITS Server. Added list of NIST time servers in Appendix A.
* (d.3) Audit Reports - Added test step to verify date and time in audit report utilize system clock. Added list of NIST time servers to Appendix A.
* (d.6) Emergency Access - Created test step for unauthorized user without emergency access and distinguish between authorized and unauthorized users.
* (e.1) View, Download, and Transmit - Added transmit actions for unauthorized user and timeframe selection under encrypted method (sections 3.5 and 3.6)
* (f.1) Immunization Information - Corrected number of test patients from 10 to 8 in Test Data section.
* (g.4) Quality Management System - Added Appendix C for g4 attestation template. Added instructions for completing attestation along with QMS template.
* (h.2) Direct, Edge, XDR/XDM - Removed deprecated tests. Consolidated tests into a single section where necessary (including sections 9.1 and 12.1).
* 2015 Edition Pretest Patient Setup Guide - Corrected number of test patients for (f.1) Immunization Submission.

### Changes in 01-Oct-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics - Clarified at least two Races and at least two Ethnicities required. Updated inpatient cause of death test data.
* (a.9) Clinical Decision Support - Corrected Infobutton standard identifiers under “Expected Test Result” section.
* (a.14) Implantable Device List - Added test data sets.
* (a.15) Social, Psychological, and Behavioral Data - Updated section numbering. Added numeric scores for required sections. Clarified numeric scores can be manually recorded or electronically calculated. Added table format for answer lists. Hyperlinks added for LOINC standards.
* (b.1) SMTP TOC Receive Validate Display - Updated “Test Data and Tools” section for pre-test activities and reference test data sheet. Also updated section 1.11 to clarify expected errors to be recorded. Updated hyperlinks for ONC-hosted ETT.
* (b.1) SMTP TOC Send Create – Updated pretest activities under “Test Data and Tools” section. Updated hyperlinks for ONC-hosted ETT.
* (b.1) XDR TOC Receive Validate Display - Updated “Test Data and Tools” section for pre-test activities and reference test data sheet. Also updated section 1.4 to clarify expected errors to be recorded. Updated hyperlinks for ONC-hosted ETT.
* (b.1) XDR TOC Send Create - Updated pretest activities under “Test Data and Tools” section. Added section numbering. Updated section 1.2 clarifying “XDR Test 2” only requires one full metadata CCDA. Updated hyperlink for ONC-hosted ETT.
* (b.2) Clinical Information Reconciliation - Updated hyperlinks for ONC-hosted ETT. Corrected patient matching test procedure under section 1.1.
* (b.3) E-Prescribing - Condensed test procedures for each section to enhance testing. Removed option for diagnosis in SIG segment. Added optional SIG Reason test procedure under each section. Added clarification regarding max field lengths. Clarified ICD-10 coding substitution under Appendix A.
* (b.4) CCDS Create - Updated hyperlinks for ONC-hosted ETT. Updated ETT test data filenames.
* (b.5) CCDS Receive - Updated hyperlinks for ONC-hosted ETT. Updates test data filenames.
* (b.6) Data Export - Updated hyperlinks for ONC-hosted ETT. Added CCDS Reference table under Appendix C. Consolidated section 1.3 into 1.2 and renumbered remaining sections.
* (b.9) Care Plan - Updated “Test Data and Tools” section with pretest activities. Updated hyperlinks for ONC-hosted ETT.
* (d.2) Auditable Events - Updated “type of action” to align with ONC test procedure and removed explanation of “pointer” from Appendix A.
* (e.1) View, Download, Transmit - Clarified authorized representative access to activity log. Updated hyperlinks for ONC-hosted ETT. Updated test procedures in each section to optimize efficiency in testing.
* (e.2) Secure Messaging - Added screenshot placeholder for secure trusted connection.
* (f.7) Health Care Surveys - Removed reference to ‘Inpatient’ setting of care.
* (g.4) Quality Management System - Updated QMS Standards list.
* (g.6) Consolidated CDA Performance - Removed (b.7) and added (b.2) as related criteria for this module. Updated hyperlink for ONC-hosted ETT.
* (g.7) API Patient Selection - Updated hyperlink for ONC-hosted ETT.
* (g.8) API Data Category Request - Updated hyperlink for ONC-hosted ETT.
* (g.9) API All Data Request - Updated hyperlink for ONC-hosted ETT.
* (h.1) Direct Project - Added requirement for “message wrapping” attestation. Updated pretest activities under “Test Data and Tools”. Updated hyperlink for ONC-hosted ETT.
* (h.2) Direct Project, Edge, XDR/XDM - Added procedure mappings and hyperlinks for test tools. Added requirement for “message wrapping” attestation. Updated pretest activities under “Test Data and Tools” section. Updated hyperlinks for ONC-hosted ETT.

### Changes in 01-Sept-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics - Added second ethnicity for test patient #2. Reformatted race and ethnicity listings.
* (c.1-c.4) Clinical Quality Measures – Initial release.
* (d.6) Emergency Access - Updated test procedures to clarify emergency access is invoked by user (e.g, break the glass) and not with any additional intervention by health IT developer or admin-type user.

### Changes in 01-Aug-2016 from Previous Release of Proctor Sheet Set

* (a.6) Problem List - Added attestation option for eligible 2014 certified products. Added Appendix C for template.
* (a.12) Family Health History - Added attestation option for eligible 2014 certified products. Added Appendix C for template.
* (a.14) Implantable Device List - Corrected SNOMED CT standard listing under “Standards Support”.
* (b.1) SMTP TOC ReceivValidateDisplay - Updated IMAP and POP test procedure sections from “Optional” to “Alternative”.
* (b.6) Data Export - Corrected Pretest Data Setup from (b)(4) to (b)(6). Replaced AND with OR under “Points to Remember” clarifying user must be able to export one patient, set of patients *AND* all patients. Developer-supplied test data updated to indicate a minimum of 5 test patients required.
* (d.2) Auditable Events – Added field to indicate if audit log or encryption disabling is permitted.
* (d.6) Emergency Access - Added clarifications under “Appendix A: Testing Guide”.
* (g.3) Safety-Enhanced Design - Added reference to “CHPL SED Guide” under “Points to Remember”.
* [EHR Test-149a] Test Event Timeline Checklist – Added (g.5) attestation as required pretest documentation due 4 weeks prior to test event.
* [EHR Test-131] 2015 Edition Safety-Enhanced Design Checklist - “Professional degree (MD, DO, DMD)” and “Doctorate degree” have been merged. “Task Rating – Standard Deviation” has been added to each criteria tab. Additional reformatting.

### Changes in 01-July-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics – Updated link for “CDC Race and Ethnicity” within Standards section. Provided clarification regarding mapping to OMB standard. Re-numbered sections.
* (b.1) SMTP Transition of Care Receive Validate Display - Removed SMTP test case 12.
* (b.3) E-prescribing - Updated hyperlinks for NIST eRx Test Tool. Corrected test step under section 3.1 to “See Refill Prescription Tests”.
* (d.1) Authentication, Access Control, and Authorization - Re-numbered sections. Added section 1.3 for Privacy and Security attestation.
* (d.2) Auditable Events - Added reference to the required “[EHR Test-128] Privacy Security Framework” attestation template provided by Drummond Group. Removed Appendix C and moved template to “[EHR Test-128] Privacy Security Framework” document.
* (d.3) Audit Reports - Re-numbered sections. Added section 1.5 for Privacy and Security attestation.
* (d.4) Amendments - Re-numbered sections. Added section 1.3 for Privacy and Security attestation.
* (d.5) Automatic Access Time-Out - Re-numbered sections. Added section 1.2 for Privacy and Security attestation.
* (d.6) Emergency Access - Re-numbered sections. Added section 1.2 for Privacy and Security attestation.
* (d.7) End-user Device Encryption - Re-numbered sections. Added new sections to reference Privacy and Security attestation.
* (d.8) Integrity - Added section 1.3 for Privacy and Security attestation.
* (d.9) Trusted Connection - Re-numbered sections. Removed “documentation” sections and replaced with sections further describing Privacy and Security attestation (1.1 and 2.1).
* (d.10) Auditing Actions on Health Info - Re-numbered sections. Added sections for Privacy and Security attestations. Removed Appendix C and moved template to “[EHR Test-128] Privacy Security Framework” document.
* (f.4) Cancer Registries - Added reference to new Juror Document now available
* (g.6) Consolidated CDA Creation Performance - Added hyperlink for “ONC-maintained repository”.
* (h.1) Direct Project - Removed Section 2 (Send MDNs from Edge Protocols) and re-added Test 41.

### Changes in 01-Jun-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics - Updated race for patient #1 under section 1.1 to map to “Native Hawaiian or Other Pacific Islander”. Added hyperlinks under “Demonstrate Standards Support” section.
* (b.1) – SMTP\_Toc\_ReceiveValidateDisplay - Updated test tool and test data filenames. Updated section numbering. Removed irrelevant test cases. Added SMTP Test 27 to section 1.9. Added reference to the DG-supplied “170.315.b.1\_Transitions\_of\_Care\_TestData” sheet. Added hyperlinks to standards list.
* (b.1) Transitions of Care – SMTP Send - Added hyperlinks to standards list.
* (b.1) – XDR\_Toc\_ReceiveValidateDisplay - Updated test tool and test data filenames. Added reference to the DG-supplied “170.315.b.1\_Transitions\_of\_Care\_TestData” sheet. Updated section numbering. Removed irrelevant test cases under section 2.1. Added hyperlinks to standards list.
* (b.1) Transitions of Care – XDR Send - Added hyperlinks to standards list.
* (b.2) Clinical Reconciliation -Updated test data filenames to align with ONC updates. Added reference to the DG-supplied “170.315\_b.2\_Clinical\_Information\_Reconciliation\_TestData” sheet.
* (b.4) CCDS\_SummaryRecord\_Create – Added hyperlinks to standards list.
* (b.5) CCDS\_SummaryRecord\_Send – Added hyperlinks to standards list.
* (b.6) Data Export – Added hyperlinks to standards list.
* (d.1), (d.3), (d.4), (d.6), (d.7), (d.8), (d.9), (d.10) - Added text boxes to indicate if this P&S module applies to all certified criteria and reference to the attestation based on “Privacy and Security Framework” document. Removed section 2.1 since already addressed in Framework document.
* (d.2) Auditable Events - Added text boxes to indicate if this P&S module applies to all certified criteria and reference to the attestation based on “Privacy and Security Framework” document. Split sections 2.1-2.4 to distinguish disabling capabilities.
* (g.6) Consolidated CDA Performance - Removed inapplicable standards from “Demonstrate Standards Support” section. Added specific criteria which requires (g.6) certification.

### Changes in 01-May-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics - Updated standard identifiers under “Demonstrate Standards Support” section. Added clarification for Preferred Language requirement and additional test step (4.1) for verification. Updated race and ethnicity test data to include mapping verification to OMB standard. Added optional reference for verifying regional tags under Appendix A.
* (a.13) Patient-specific Education Resources - Corrected note under “Appendix A” clarifying that CMS is not permitting paper-based actions for patient-specific education. Also added under “Points to Remember”.
* (a.14) Implantable Device List - Clarified test procedures must include formats established by all 3 UDI issuing agencies.
* (a.15) Social, Psychological, and Behavorial Data - Corrected answer lists 1 and 2 under section 6.1.
* (b.1) SMTP Transition of Care Receive, Validate, Display - Added comment clarifying one of 3 SMTP protocols may be tested: SMTP, SMTP+IMAP, or SMTP+POP. Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.1) SMTP Transition of Care Create, Send - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.1) XDR Receive - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.1) XDR Create, Send - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.3) E-prescribing - Added statement acknowledging NIST eRx test tool now supports Surescripts protocol. Removed reference to “leading and trailing zeroes” under Cancel Prescription and Medication History.
* (b.4) CCDS Summary Create - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.5) CCDS Summary Receive - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (b.6) Data Export - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (d.2) Auditable Events - Removed step to “log into patient record” for section 1.1. Added clarification for user-initiated actions under “Points to Remember”.
* (e.1) View, Download, and Transmit - Added authorized representative role for accessing Activity History Log (section 5.1). Removed (b.1) certification requirement and revised Referral Note and Discharge Summary as optional under Transition of Care Download for Inpatient setting (section 3.5). Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (g.6) Consolidated CDA Performance - Corrected Race and Ethnicity entries on “CCDS Reference Table” to clarify 170.207(f)(2) should be mapped to 170.207(f)(1).
* (g.7), (g.8), and (g.9) API Patient Access - Added test client requirement to be supplied by health IT developer under “Test Data and Tools” section. Added section for verification of Test Client Requirements during test event.
* (h.1) Direct Project - Removed SMTP test cases (41 and 42) and XDR notification test cases (MT Test 43 and 44).
* (h.2) Direct, Edge, XDR, XDM - Added documentation criteria under Expected Test Results and Appendix C attestation template. Added TLV step related MU Tracking Step 17. Removed negative test SMTP/IMAP/POP MT Test 22 from section 13.2. Removed SMTP/IMAP MT Test 41 (No Dispatched MDN) & SMTP/IMAP MT Test 42.

### Changes in 01-Apr-2016 from Previous Release of Proctor Sheet Set

* (a.5) Demographics - Corrected SNOMED for “straight or heterosexual” from ‘20730005’ to ‘20430005’.
* (a.6) Problem List – Removed "medications" on pg 7
* (a.13) Patient-specific Education Resources - Removed Lab Results as a requirement for Patient Education.
* (a.14) Implantable Device List - Added information on “UDI formats by Issuing Agency under Appendix A.
* (b.1) Transition of Care SMTP\_ReceiveValidateDisplay – removed incorrect references to “IMAP Test 22” and “POP3 Test 22”.
* (b.1) Transition of Care SMTP\_SendCreate – updated section numbering for test procedures.
* (b.3) E-Prescribing - Added test step “Support for ICD-10 - Diagnosis” to sections (ii)-(iv).
* (d.2) Auditable Events - Added expected result “identification of patient data accessed” under “Record Actions” section. Re-aligned expected result of recording audit log status and encryption status under their respective sections.
* (d.9) Trusted Connection - Added clarification regarding encryption demonstration under Appendix A.
* (f.4) Cancer Registry – Removed reference to Juror Document in section 1.1
* (g.4) Quality Management System – Removed Appendix C containing letter templates. Added reference to “2015 Edition Quality Management System Template” spreadsheet.
* (g.5) Accessibility Centered Design – added additional accessibility standards in table under Appendix A.
* (g.8) Application Access Data Category Request - Removed “time” requirement under section 1.2. Added “sex” as a required element under section 1.1. Added clarifications under Appendix A.
* (g.9) Application Access All Data Request - Removed “time” requirement under section 1.1.
* (h.1) Direct Project - Based on ONC v1.1 test method, ‘XDR notification’ sections 2.5, 2.6, 2.7 and Test 22 from Section 2.2 were removed. Corrected link for Edge Test Tool (ETT).
* (h.2) Direct, XDR/XDM, Edge Protocol – corrected instructions under “Receive using Direct + XDM” and “Send using SOAP + XDR” sections.

### Initial Proctor Sheet Set Release Was 01-Mar-2016

END OF DOCUMENT