

HITSP Healthcare Document Management Data Service Collaboration

HITSP/SC112



Healthcare Information Technology Standards Panel

Submitted to:

Healthcare Information Technology Standards Panel

Submitted by:

Security, Privacy and Infrastructure Tiger Team



DOCUMENT CHANGE HISTORY

Version Number	Description of Change	Name of Author	Date Published
0.0.1	Review Copy	Security, Privacy and Infrastructure Tiger Team	June 30, 2009
0.0.1	Released for Implementation	Security, Privacy and Infrastructure Tiger Team	July 8, 2009

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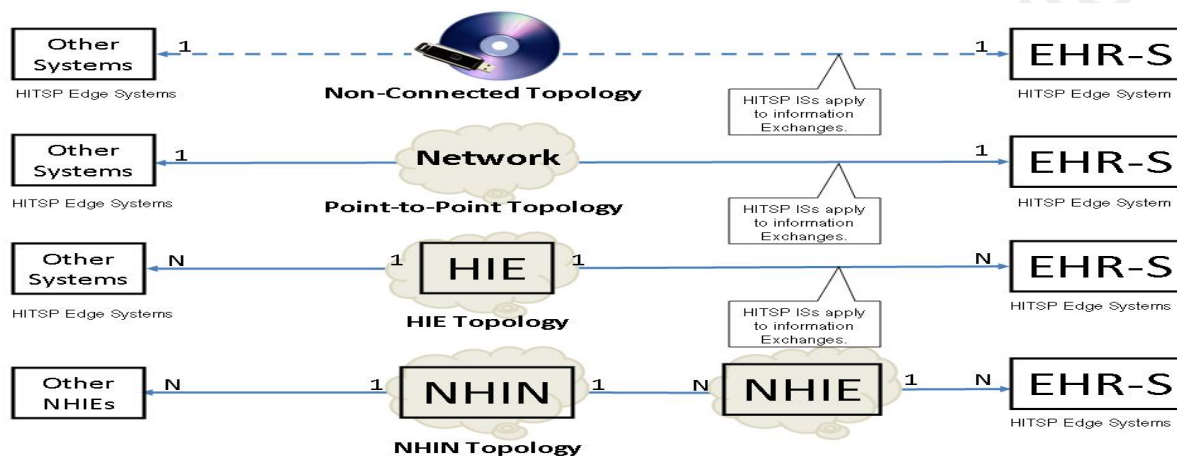


1.0 INTRODUCTION

1.1 SERVICE COLLABORATION OVERVIEW AND SCOPE

The HITSP/SC112 Healthcare Document Management provides the ability to share healthcare documents using a set of topologies. The following diagram illustrates examples of such topologies, such as Media, e-Mail, Point-to-Point, Shared within a Health Information Exchange, and Shared within a larger community made up of potentially diverse Health Information Exchanges).

Figure 1-1 Examples of HITSP Healthcare Document Sharing Topology Alternatives



NOTE: HITSP Interoperability Specifications apply across business boundaries. An associated business agreement defines the business boundaries of EHRs, HIEs and the NHIN. Nationwide Health Information Exchange (NHIE) is the mechanism of connecting HIEs to the NHIN.

This Service Collaboration utilizes:

- HITSP/TP13 Manage Sharing of Documents
- HITSP/T31 Document Reliable Interchange
- HITSP/T33 Transfer Documents on Media
- HITSP/T29 Notification of Document Availability
- HITSP/SC108 Access Control
- HITSP/SC109 Security Audit
- HITSP/SC110 Patient Identification Management
- HITSP/T17 Secured Communication Channel
- HITSP/T64 Identify Communications Recipients

For more information about the underlying capabilities, pre-conditions, post-conditions, data flows and other detailed information, please refer to the constructs that are used by this Service Collaboration.

This Service Collaboration document illustrates one internal view diagram and sequence table for each service interface. The diagrams are descriptive and the sequences are not mandatory. They may be affected by policy, chosen architecture, and implementation details. Conformance is measured against the underlying constructs.

This Service Collaboration offers two primary interfaces that include the ability to deliver healthcare documents via all possible transports recognized by HITSP. Ultimately the transport must be chosen before an implementation.

Send Documents (documents, architecture choice)



Receive Documents (documents, architecture choice)

There are 10 additional secondary interfaces for special cases where the HITSP Interoperability Specification or HITSP Capability is constraining the transports to a smaller subset. These interfaces should be used only when there is clear evidence that this constraint is necessary.

The Service Collaboration implements two patterns:

- Send/Receive – In this pattern the receiver is coupled with the sender and is actively informed of the send event
- Publish/Consume – In this pattern the publication does not inform the consumer. The consumer is expected to discover the documents to consume through decoupled queries or other discovers methods

1.2 SERVICE COLLABORATION INVOCATION

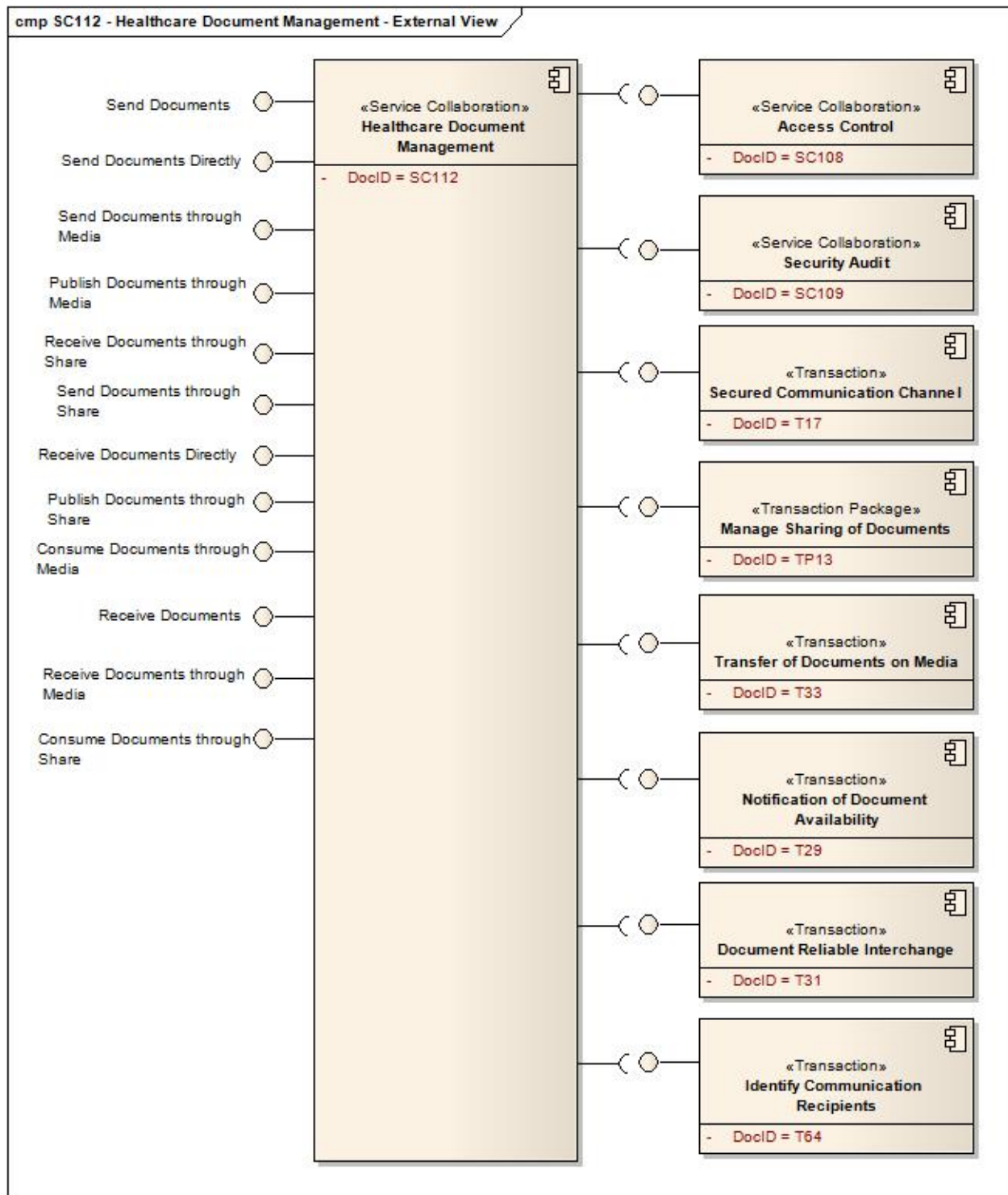
Table 1-1 Service Collaboration Transactions and Data

Service Collaboration	Service Collaboration description	Interface
HITSP/SC112	Send documents to a receiver	Send Documents
HITSP/SC112	Receive documents that were sent	Receive Documents
HITSP/SC112	Send documents to a receiver using point-to-point delivery	Send Documents Directly
HITSP/SC112	Send documents to a receiver using e-Mail transport	Send Documents through e-Mail
HITSP/SC112	Publish documents onto removable media	Publish Documents through Media
HITSP/SC112	Send documents through document sharing	Send Documents through Share
HITSP/SC112	Publish documents through document sharing	Publish Documents through Share
HITSP/SC112	Receive documents from a sender using point-to-point delivery	Receive Documents Directly
HITSP/SC112	Receive documents from a sender using e-Mail transport	Receive Documents through e-Mail
HITSP/SC112	Consume documents from removable media	Consume Documents through Media
HITSP/SC112	Receive documents through document sharing	Receive Documents through Share
HITSP/SC112	Discover and Consume documents through document sharing	Consume Documents through Share



1.3 EXTERNAL VIEW (i.e., “black box” diagram)

Figure 1-2 Healthcare Document Management External View Diagram



1.3.1 SERVICE COLLABORATION SOURCE CONSTRUCTS

Table 1-2 List of Constructs

Construct
HITSP/TP13 - Manage Sharing of Documents
HITSP/T31 - Document Reliable Interchange
HITSP/T33 - Transfer Documents on Media
HITSP/T29 - Notification of Document Availability
HITSP/SC108 - Access Control
HITSP/SC109 - Security Audit
HITSP/SC110 - Patient Identification Management
HITSP/T17 - Secured Communication Channel
HITSP/T64 - Identify Communications Recipients

1.4 INTERNAL VIEW DIAGRAM WITH SEQUENCING (i.e., “white box” diagram)

1.4.1 INTERFACE: SEND DOCUMENTS

This Service Collaboration Interface is a generalized Send Interface. There is no implementation given for this Interface, although we recognize that it is possible to implement. This interface expects that an implementation would choose which of the interfaces that would be included in the implementation. The Interface chosen will depend on implementation details including physical limitations, policies, processes, and architectural choices. This Service Collaboration Interface is a collector for the underlying interfaces:

- SC112 Send Documents Directly
- SC112 Send Documents through e-Mail
- SC112 Publish Documents through Media
- SC112 Send Documents through Share
- SC112 Publish Documents through Share

1.4.2 INTERFACE: RECEIVE DOCUMENTS

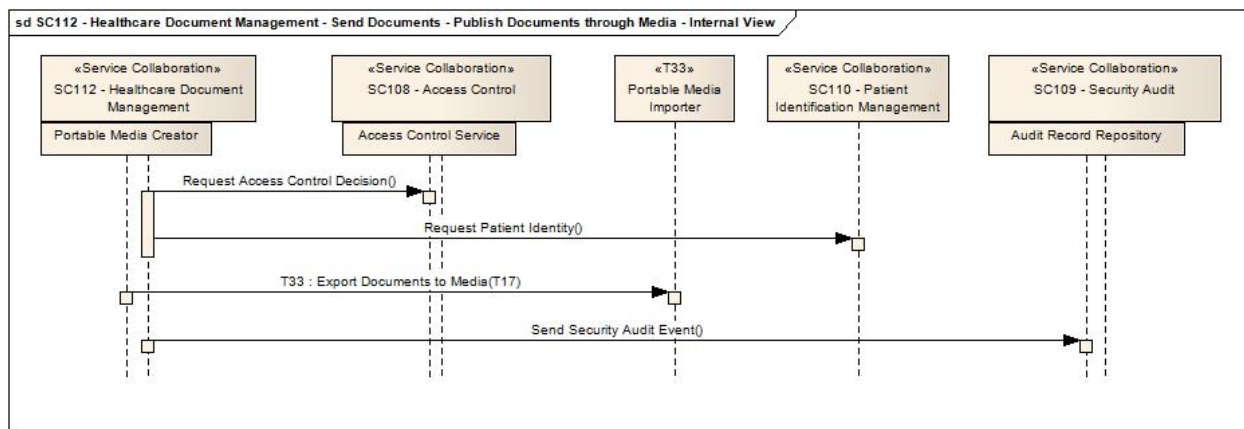
This Service Collaboration Interface is a generalized Receive Interface. There is no implementation given for this Interface, although we recognize that it is possible to implement. This interface expects that an implementation would choose which of the interfaces that would be included in the implementation. The Interface chosen will depend on implementation details including physical limitations, policies, processes, and architectural choices. This Service Collaboration Interface is a collector for the underlying Interfaces:

- SC112 Receive Documents Directly
- SC112 Receive Documents through e-Mail
- SC112 Consume Documents through Media
- SC112 Receive Documents through Share
- SC112 Consume Documents through Share



1.4.3 INTERFACE: PUBLISH DOCUMENTS THROUGH MEDIA

Figure 1-3 Publish Documents through Media Internal View



1.4.3.1 SEQUENCE DETAILS

Table 1-3 Publish Documents through Media – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-4 Publish Documents through Media – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents onto the media
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the share
3	HITSP/T33 - Transfer of Documents on Media	Portable Media Creator	To export the documents and metadata onto the media
4	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to media operation

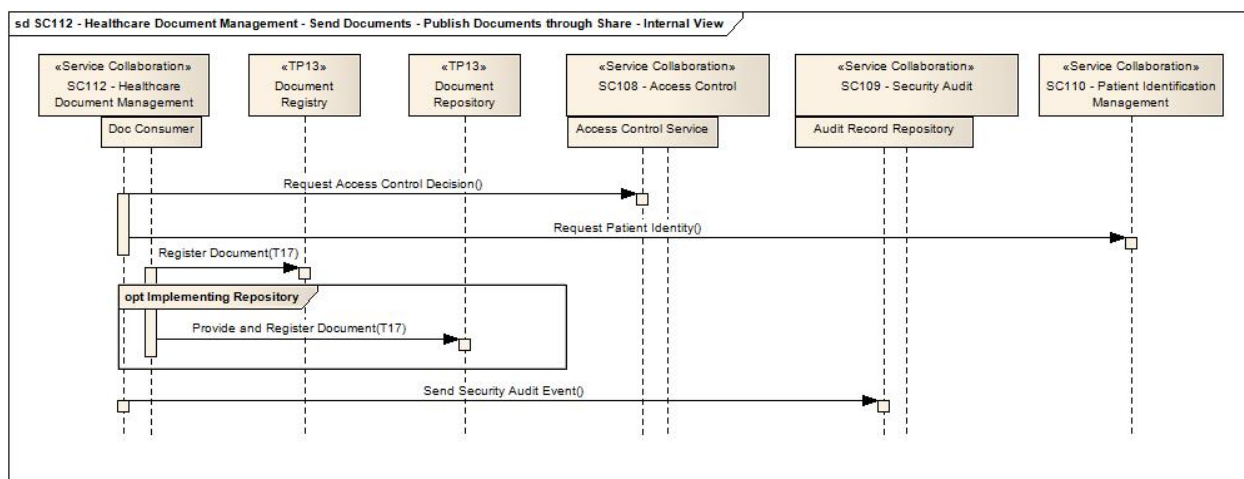
Table 1-5 Publish Documents through Media – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.4 INTERFACE: PUBLISH DOCUMENTS THROUGH SHARE

Figure 1-4 Publish Documents through Share Internal View



1.4.4.1 SEQUENCE DETAILS

Table 1-6 Publish Documents through Share – Pre-Conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-7 Publish Documents through Share – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents onto the share
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the share
3	HITSP/C19 - Entity Identity Assertion		Generate the Entity Identity Assertion for the following Transaction
4	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
5	HITSP/TP13 - Manage Sharing of Documents	Document Source	To export the documents and metadata to the share
6	HITSP/TP13 - Manage Sharing of Documents	Document Repository	Optionally may implement the Document Repository for the following Transactions: T17 (but is subsequently used in the other transactions, such as TP13...)
7	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the share operation

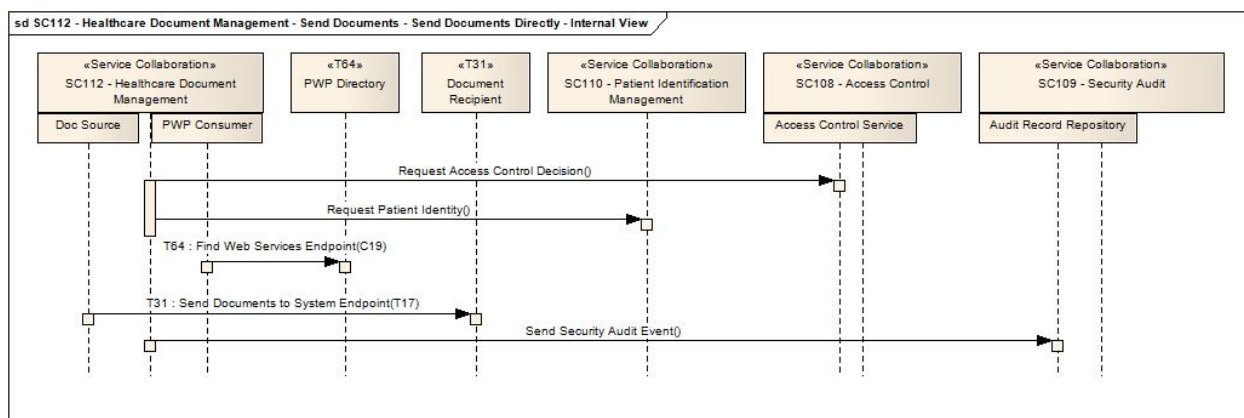
Table 1-8 Publish Documents through Share – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.5 INTERFACE: SEND DOCUMENTS DIRECTLY

Figure 1-5 Send Documents Directly Internal View



1.4.5.1 SEQUENCE DETAILS

Table 1-9 Send Documents Directly – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-10 Send Documents Directly – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents to the target
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the target if known
3	HITSP/C19 - Entity Identity Assertion		Generate the HITSP Entity Identity Assertion Component
4	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
5	HITSP/T31 - Document Reliable Interchange	Document Source	To export the documents and metadata and send them to the target
6	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the target operation

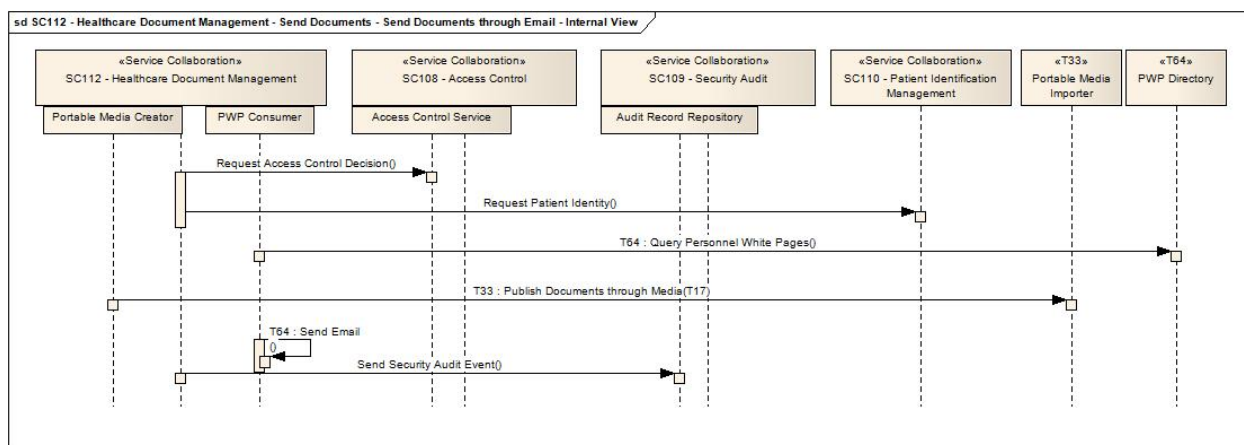
Table 1-11 Send Documents Directly – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.6 INTERFACE: SEND DOCUMENTS THROUGH E-MAIL

Figure 1-6 Send Documents through e-Mail Internal View



1.4.6.1 SEQUENCE DETAILS

Table 1-12 Send Document through e-Mail – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-13 Send Document through e-Mail – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents to the target
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the target if known
3	HITSP/T64 - Identify Communications Recipients	Query Personnel White pages	To resolve a target identity into an e-mail address
4	HITSP/T33 - Transfer of Documents on Media	Portable Media Creator	To export the documents and metadata into an e-Mail message friendly content made up of the directory and file structure as an ordinary ZIP file and attaches that ZIP file to an email message
5	HITSP/T17 - Secured Communication Channel	Secure Node	The use of S/MIME must be used in order to protect the authenticity, confidentiality and integrity of the information being transmitted
6	n/a (loopback)	Internal Processing	Use common e-Mail infrastructure to deliver the message created by T33 to the addressed recipient
7	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the target operation

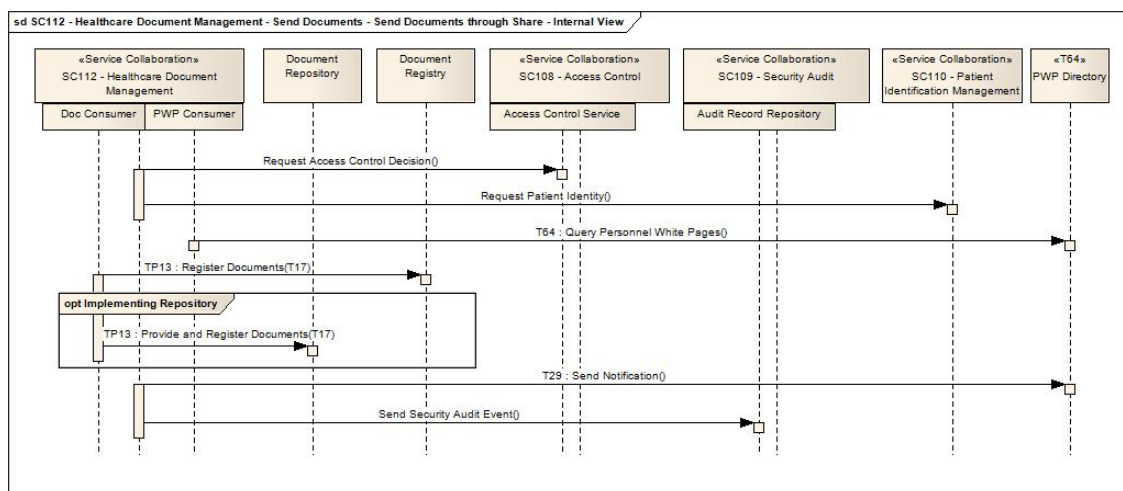
Table 1-14 Send Document through e-Mail – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.7 INTERFACE: SEND DOCUMENTS THROUGH SHARE

Figure 1-7 Send Documents through Share Internal View



1.4.7.1 SEQUENCE DETAILS

Table 1-15 Send Documents through Share – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-16 Send Documents through Share – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents onto the share
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the share
3	HITSP/T64 - Identify Communications Recipients	Query Personnel White pages	To resolve a target identity into an e-mail address
4	HITSP/C19 - Entity Identity Assertion		Generate the HITSP Entity Identity Assertion Component
5	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
6	HITSP/TP13 - Manage Sharing of Documents	Document Source	To export the documents and metadata to the share
7	HITSP/TP13 - Manage Sharing of Documents	Document Repository	Optionally may implement the Document Repository
8	HITSP/T28 - Notification of Document Availability	Notification Sender	To inform the target of the Documents that have been placed on the share
9	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the share operation

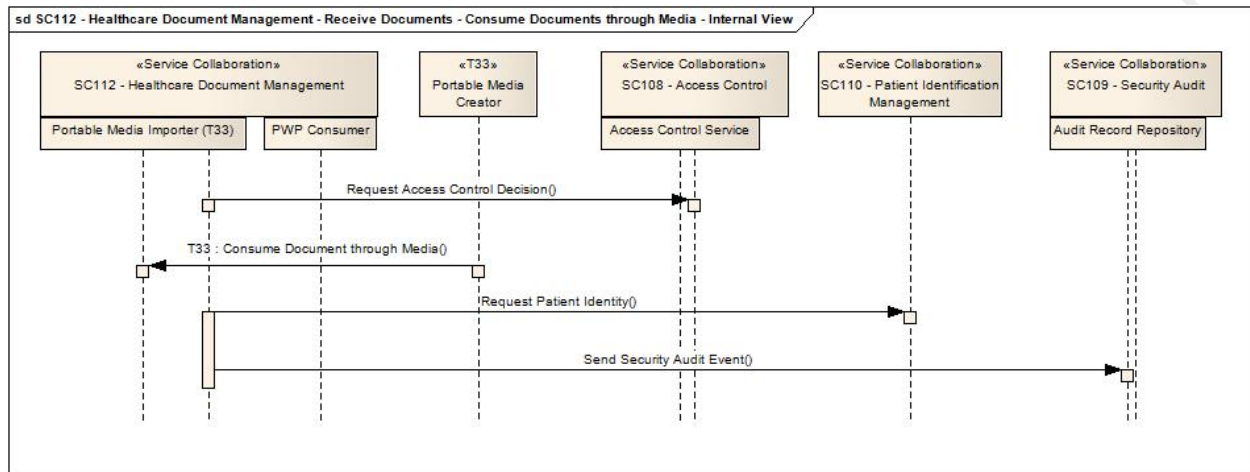


Table 1-17 Send Documents through Share – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			

1.4.8 INTERFACE: CONSUME DOCUMENTS THROUGH MEDIA

Figure 1-8 Consume Documents through Media Internal View



1.4.8.1 SEQUENCE DETAILS

Table 1-18 Consume Documents through Media – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-19 Consume Documents through Media – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to export the documents onto the media
2	HITSP/T33 - Publish Documents on Media	Portable Media Importer	To import (read) the documents and metadata from the media
3	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to resolve the patient identifiers into the patient identifier domain of the receiver
4	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to media operation

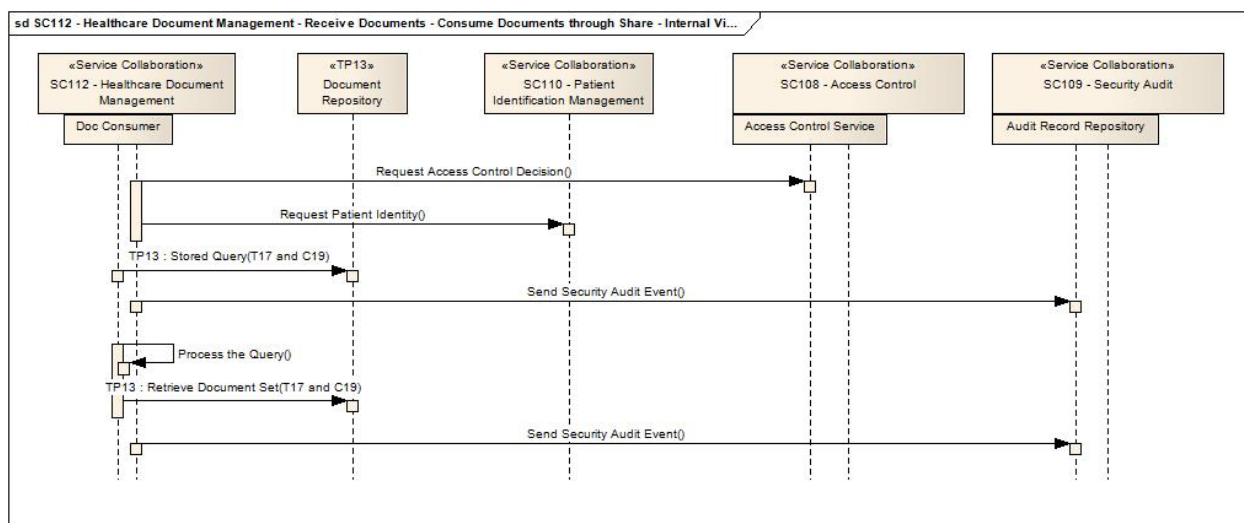
Table 1-20 Consume Documents through Media – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.9 INTERFACE: CONSUME DOCUMENTS THROUGH SHARE

Figure 1-9 Consume Documents through Share Internal View



1.4.9.1 SEQUENCE DETAILS

Table 1-21 Consume Documents through Internal Share – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-22 Consume Documents through Internal Share – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to access the share
2	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the share
3	HITSP/C19 - Entity Identity Assertion		Generate the HITSP Entity Identity Assertion Component
4	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
5	HITSP/TP13 - Manage Sharing of Documents	Document Consumer	To query for the metadata in the share. Note that the same query is done regardless of if the share is represented by a HIE
6	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the share operation
7	n/a (loopback)	Internal Processing	Some logic is used to determine which documents are of interest. This is not specified in the Service Collaboration
8	HITSP/C19 - Entity Identity Assertion		Generate the Entity Identity Assertion for the following Transaction: T17 (but is subsequently used in the other transactions, such as TP13...)
9	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted



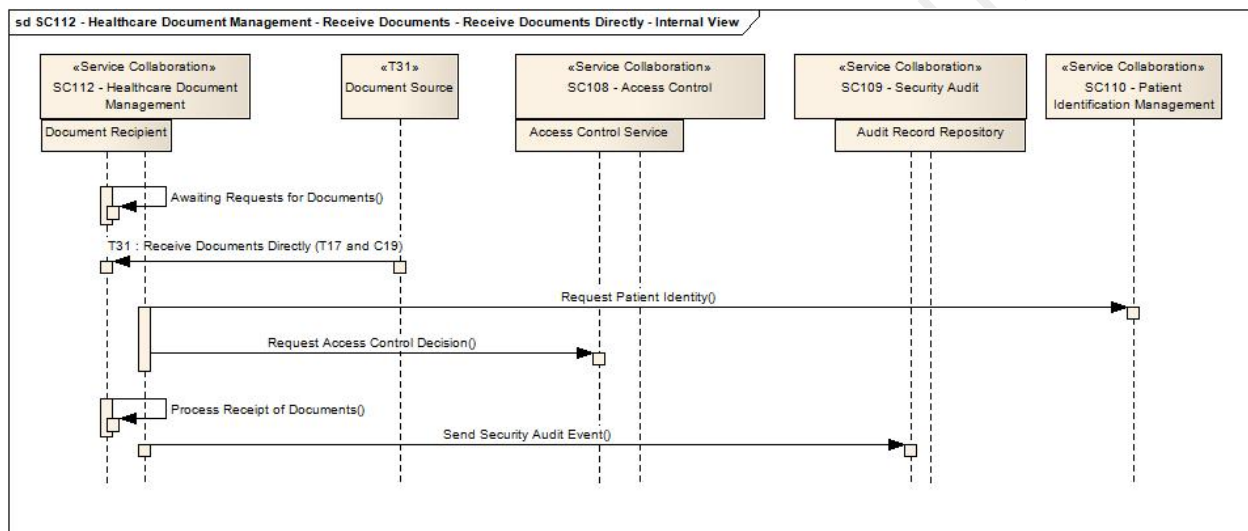
Step Number	Uses SC, T, TP or C	Interface	Purpose
10	HITSP/TP13 - Manage Sharing of Documents	Document Consumer	To Retrieve the documents from the share. Note that the same query is done regardless of if the share is represented by a HIE
11	HITSP/SC109 - Security Audit	Record Security Audit Event	to record the success/failure of the export to the share operation

Table 1-23 Consume Documents through Internal Share – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			

1.4.10 INTERFACE: RECEIVE DOCUMENTS DIRECTLY

Figure 1-10 Receive Documents Directly Internal View



1.4.10.1 SEQUENCE DETAILS

Table 1-24 Receive Documents Directly – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-25 Receive Documents Directly – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	n/a (loopback)	Internal Processing	The Service Collaboration needs to be awaiting connections from the Document Source
2	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
3	HITSP/T31 - Document Reliable Interchange	Document Recipient	To receive the documents and metadata
4	HITSP/C19 - Entity Identity Assertion		Extract the Entity Identity Assertion from the HITSP/T31- Document Reliable Interchange Transaction



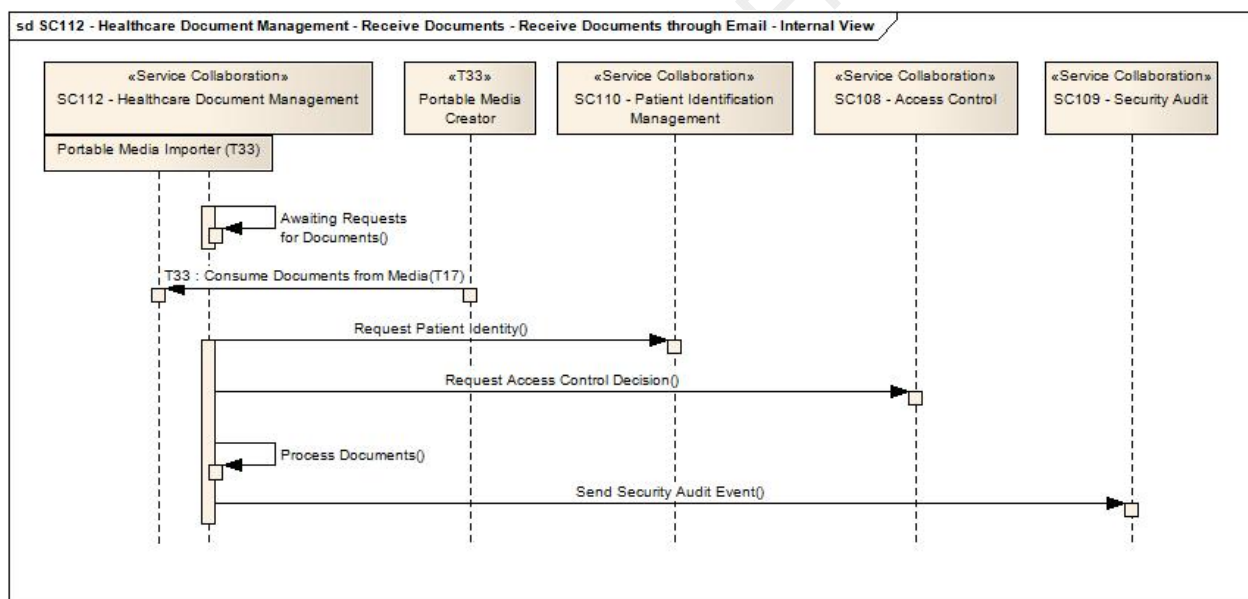
Step Number	Uses SC, T, TP or C	Interface	Purpose
5	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the target if known
6	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the system requesting has the rights to make requests: Including the Document metadata (including confidentialityCode), any consent documents, patient identity (from Step 5), system identity (from step 2), entity identity (from step 4)
7	n/a (loopback)	Internal Processing	If authorized, then import the documents as necessary and defined by the Capability Interoperability Specification
8	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the import to the target operation

Table 1-26 Receive Documents Directly – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			

1.4.11 INTERFACE: RECEIVE DOCUMENTS THROUGH E-MAIL

Figure 1-11 Receive Document through e-Mail Internal View



1.4.11.1 SEQUENCE DETAILS

Table 1-27 Receive Documents through e-Mail – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			



Table 1-28 Receive Documents through e-Mail – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	n/a (loopback)	n/a (Internal)	The Service Collaboration needs to be awaiting connections from the Document Source
2	HITSP/T17 - Secured Communication Channel	Secure Node	The use of S/MIME is used in order to protect the authenticity, confidentiality and integrity of the information being transmitted
3	HITSP/T33 - Transfer of Documents on Media	Portable Media Importer	The documents and metadata in the e-Mail message is an ordinary ZIP file made up of the directory and file structure as defined by HITSP/T33
4	HITSP/SC110 - Patient Identification Management	Request Patient Identity	If necessary to update the patient identifiers into the patient identifier domain of the target if known
5	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to import or use the documents: Including the Document metadata (including confidentialityCode), any consent documents, patient identity (from Step 4), system identity (from Step 2)
6	n/a (loopback)	n/a (Internal)	If authorized, then import or use of the documents as necessary and defined by the HITSP Capability or HITSP Interoperability Specification
7	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the import or use to the target operation

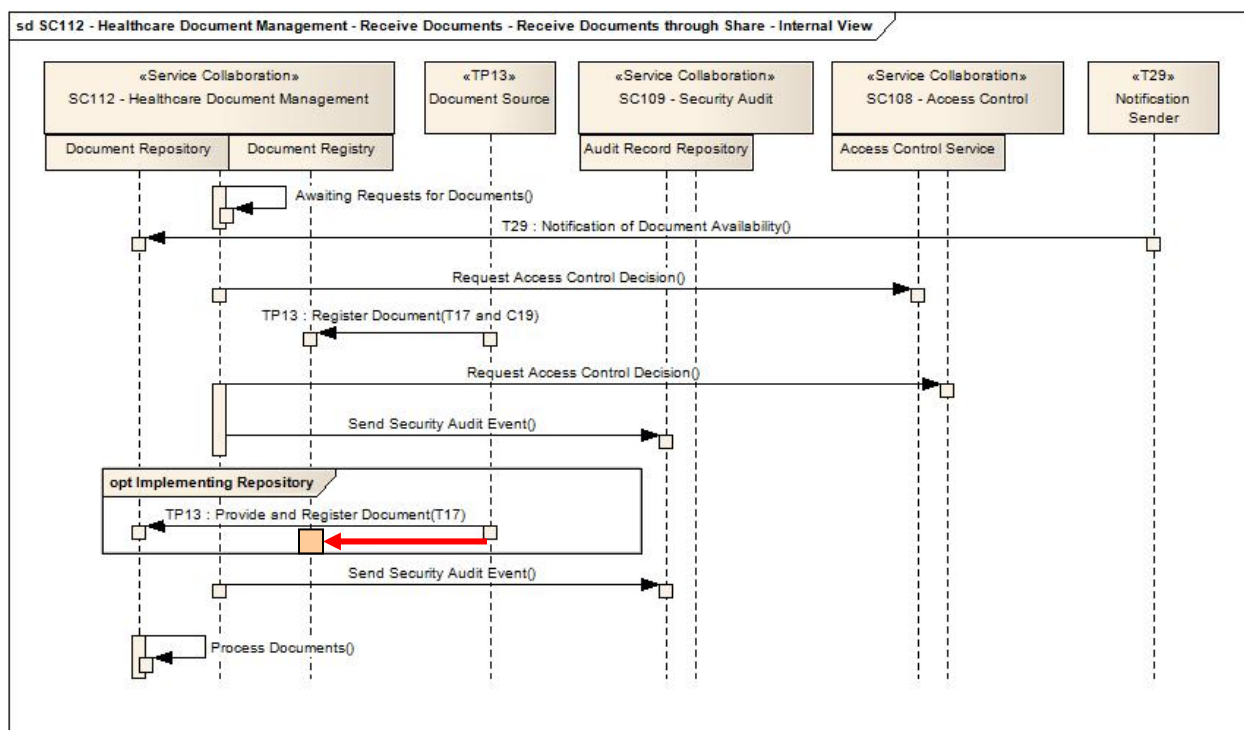
Table 1-29 Receive Documents through e-Mail – Post-conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



1.4.12 INTERFACE: RECEIVE DOCUMENTS THROUGH SHARE

Figure 1-12 Receive Documents through Share Internal View



1.4.12.1 SEQUENCE DETAILS

Table 1-30 Receive Documents through Share – Pre-conditions

Pre-condition	Uses SC, T, TP or C	Interface	Purpose
None			

Table 1-31 Receive Documents through Share – Sequence of Constructs

Step Number	Uses SC, T, TP or C	Interface	Purpose
1	n/a (loopback)	Internal Processing	The Service Collaboration needs to be awaiting connections from the Notification Sender
2	HITSP/T28 - Notification of Document Availability	Notification Receiver	To receive the target of the Documents that have been placed on the share
3	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to access the share
4	HITSP/C19 - Entity Identity Assertion		Generate the Entity Identity Assertion for the following Transaction
5	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
6	HITSP/TP13 - Manage Sharing of Documents	Document Consumer	To query with the document identifier provided in the T28 notification to receive the metadata in the share. Note that the same query is done regardless of if the share is represented by a HIE



Step Number	Uses SC, T, TP or C	Interface	Purpose
7	HITSP/SC108 - Access Control	Request Access Control Decision	To assure that the user has the rights to import or use the documents: Including the Document metadata from step 6 (including confidentialityCode), any consent documents, patient identity, system identity
8	HITSP/SC109 - Secure Audit	Record Security Audit Event	To record the success/failure of the export to the share operation
9	HITSP/C19 - Entity Identity Assertion		Generate the Entity Identity Assertion for the following Transaction
10	HITSP/T17 - Secured Communication Channel	Secure Node	A secure communications channel must be open in order to protect the authenticity, confidentiality and integrity of the information being transmitted
11	HITSP/TP13 - Manage Sharing of Documents	Document Consumer	To Retrieve the documents from the share. Note that the same query is done regardless of if the share is represented by a HIE
12	HITSP/SC109 - Security Audit	Record Security Audit Event	To record the success/failure of the export to the share operation
13	n/a (loopback)	Internal Processing	If authorized, then import or use of the documents as necessary and defined by the HITSP Capability or HITSP Interoperability Specification

Table 1-32 Receive Documents through Share – Post-Conditions

Post-conditions	Uses SC, T, TP or C	Interface	Purpose
None			



2.0 DOCUMENT UPDATES

The following sections provide the history of all changes made to this document.

2.1 JUNE 30, 2009

No changes. This is the first published version of the document.

2.2 JULY 8, 2009

Upon approval by the HITSP Panel on July 8, 2009, this document is now Released for Implementation.

