AHCCCS

Arizona Medical Information Exchange
AMIE

AMIE Consent
Design Specifications

October 5, 2009

Document Revision History

Date	Revisions	Version	Author
03/29/2009	Release draft document	1.0	Lupita Figueroa, System Analyst/A HCCCS
04/03/2009	▪ Removed Reason Input Field from Capture Consent Screen ▪ Redesign Reason Screen to show opt-in and opt-out patients. ▪ Added valid values for relationship dropdown menu. ▪ Added link to capture consent directive from patient ▪ Added form pre-population functionality.	1.1	Lupita Figueroa, System Analyst/A HCCCS
09/02/2009	▪ Added internal ID/Domain to consent directive form. ▪ Added warning notice about system's ability to enforce consent directive in review screen. ▪ Added consent management for creation and enforcement of consent directives. ▪ Added consent management system data flow. ▪ Added confirmation number to submission confirmation screen.	1.2	Lupita Figueroa
09/14/2009	▪ Added confirmation number requirements ▪ Deleted go back button from capture consent directive screen as it is not required. ▪ Updated title of consent directive to be consent directive.	1.3	Lupita Figueroa
09/23/2009	▪ Added additional data fields to be captured for both legal representative and patient as requested. ▪ Added additional data to be displayed in the consent directive form as requested. ▪ Added requirement to mask first 5 digits when displaying or pre-populating SSN.	1.4	Lupita Figueroa
09/30/2009	▪ Modified SSN Label to Last 4 Digits of SSN ▪ Removed requirements for patient internal id on consent directive screen due to potential user confusion. Since user may belong to multiple organizations, they may enter wrong information, and other reasons.	1.5	Lupita Figueroa
10/05/2009	▪ Modified requirement for break the glass to alert users who do not have break the glass privilege that they must deselect patients highlighted in gray. ▪ Added requirement to disable capture consent directive link for users who don't have this privilege on patient search screen.	1.6	Lupita Figueroa

	▪ Updated roles (Deleted unnecessary emergency department role)			
10/20/2009	▪ Reworded screens withhold/grant to withdraw/reinstate ▪ Added Requirement for table		1.7	Lupita Figueroa

Log in and Navigation Screens

1.1 Log in Screen

Description

This screen serves as a single sign on authentication for access to all consent management, viewer, and change your password functionality.
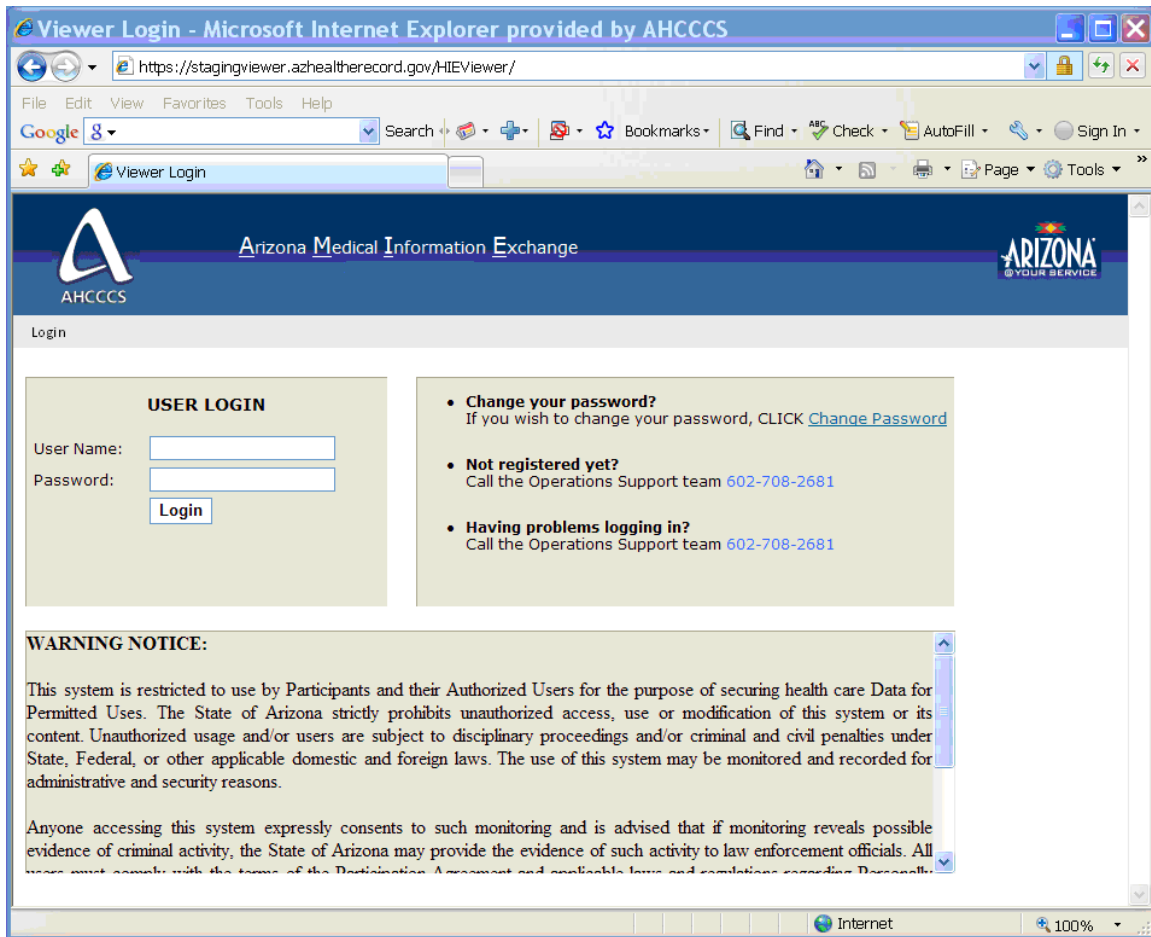
Description
The log-in screen will remain the same, except for renaming the breadcrumb link to from Viewer Login to Login.

1.2   Home (Navigation) Screen

Description

This screen will be used by the user to navigate the AMIE functionality. The navigation screen will be role driven.

Screenshot: Viewer Login - Microsoft Internet Explorer provided by AHCCCS

Address: https://stagingviewer.azhealtherecord.gov/HIEViewer/Default.aspx

Arizona Medical Information Exchange

Home — Logged In: Figuroa, Lupita **Log out**

- Click here to go to Viewer
- Capture consent directive
- Change password

- **Not registered yet?**
  Call the Operations Support team 602-708-2681

- **Having problems logging in?**
  Call the Operations Support team 602-708-2681

WARNING NOTICE:

This system is restricted to use by Participants and their Authorized Users for the purpose of securing health care Data for Permitted Uses. The State of Arizona strictly prohibits unauthorized access, use or modification of this system or its content. Unauthorized usage and/or users are subject to disciplinary proceedings and/or criminal and civil penalties under State, Federal, or other applicable domestic and foreign laws. The use of this system may be monitored and recorded for administrative and security reasons.

Anyone accessing this system expressly consents to such monitoring and is advised that if monitoring reveals possible evidence of criminal activity, the State of Arizona may provide the evidence of such activity to law enforcement officials. All

Description
System must disable (hide) the appropriate navigation links based on user role. The system must support the following user roles:

Role Name	Break-the-Glass	Capture Consent	Record Search
Clinician (MD, DO, NP, PA)	Yes	Yes	Yes
Licensed Support Staff	No	Yes	Yes
Consent Manager	No	Yes	No
Viewer User	No	No	Yes

If user clicks on 'Click here to go to Viewer' link, the System will take user to the patient search screen.
If user clicks on 'Capture consent directive' link, the System will take user to the capture consent directive screen.
If user clicks on 'Change password' link, the system will take user to change password screen.
At any time if user clicks on the 'Home' link, user may come back to this screen.
The system must display the same warning notice as in the initial log in screen.
The System should display the name of the user logged in to the system at the top right corner below the header on the screen. The System should display the 'Help' link at the top right corner below the 'Sign-out' link.

Capture Consent Directive Screens

1.3   Capture Consent Directive Screen

Description

This screen provides the ability for the user to capture a consent directive on a patient.

Mock-up Screen Design:

Help

Arizona Medical Information Exchange
Consent Directive Form

Patient Demographics

AHCCCS ID:	A123456789	Last 4 Digits of SSN:	9999
First Name: *	Smith	Last Name: *	Joe	Middle Initial:	I
Date of Birth: *	MM/DD/YYYY	Gender: *	Male
Address Line 1:*	700 E. Jefferson St.	Address Line 2:	Apt. 205
City: *	Phoenix	State: *	AZ
Email:	someemail@hotmail.com	Phone:	480-999-9999	Zip Code: *	85044

Patient's Legal Represenative (If, consenter is other than patient)

First Name:	Smith	Last Name:	Rosa	Middle Initial:	I
Address Line 1:	700 E. Jefferson St.	Address Line 2:	Apt. 205
City:	Phoenix	State:	AZ	Zip Code:	85044
Phone:	480-999-9999	Last 4 Digits of SSN:	999
Relationship to Patient:	Parent	If Other, specify:		Reason for Guardianship:	

Consent Directive

Patient Election: *   WITHDRAW CONSENT

Done   Cancel

Description
Add static labels and text boxes to capture the following patient demographics: • AHCCCS ID • Last 4 Digits of SSN • First Name

- Last Name
- Middle Initial
- Address Line 1
- Address Line 2
- City
- Zip Code
- Email
- Home Phone

Add a static label 'Date of Birth' and a text box to enter the date of birth.
- The System will provide validation rules around date of birth, such as month, date and year are valid and that the date is not greater than the current date.

A pop up Calendar is provided to help with entering a date of birth.

Add a drop down menu for entering gender.
- The System allows the user to select one of the following options from the drop-down:
  - Male
  - Female
- Default Value is SELECT.

Add a drop down menu for entering state in both legal representative and patient demographic sections.
- The System allows the user to select one of the following options from the drop-down:
  - AL, AK, AS, AZ, AR, CA, CO, CT, DE, DC, FM, FL, GA, GU, HI, ID, IL, IN, IA, KS, KY, LA, ME, MH, MD, MA, MI, MN, MS, MO, MT, NE, NV, NH, NJ, NM, NY, NC, ND, MP, OH, OK, OR, PW, PA, PR, RI, SC, SD, TN, TX, UT, VT, VI, VA, WA, WV, WI, WY, AE, AA, AP
  - Default Value is SELECT.

Add static labels and text boxes to capture patient's legal representative demographics:
- Last 4 Digits of SSN
- First Name
- Last Name
- Middle Initial
- Address Line 1
- Address Line 2
- City
- Zip Code
- Home Phone
- Reason for Guardianship

Add a drop down menu for entering legal representative relationship to the patient.
- The System allows the user to select one of the following options from the drop-down:
  - Parent
  - Spouse
  - Daughter
  - Son
  - Grandparent
  - Grandchild
  - Aunt
  - Uncle
  - Niece
  - Nephew
  - Other

Default Value is SELECT.

Add a drop down menu for entering patient's consent directive election.
- The System allows the user to select one of the following options from the drop-down:

- **REINSTATE CONSENT**
- **WITHDRAW CONSENT**
- Default Value is SELECT

Once the user selects [Done], the system must validate that all required data elements where entered. The required data elements are first name, last name, gender, date of birth.

If all required information was entered, the system must take the user to the **"consent directive review screen"**

Otherwise, the system will display the following message in a dialog box and keep the user in the current screen.
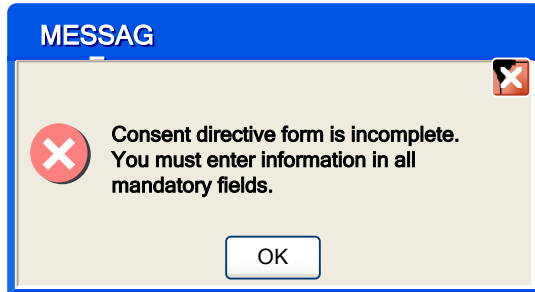
If the user selects [Cancel], the system must take the user to the "**Home "**.

The System should display the name of the user logged in to the system at the top right corner below the header on the screen.
The System should display the 'Help' link at the top right corner below the 'Sign-out' link.
The system should display the breadcrumb link to allow user to go back to "**Home**".

1.4 Consent Directive Review Screen

Description

Arizona Medical Information Exchange

AHCCCS

ARIZONA @YOUR SERVICE

Help

Arizona Medical Information Exchange (AMIE)
Consent Directive

Patient Information	Patient Legal Representative
AHCCCS ID: A123456789 or N/A when blank. **Patient Internal ID:** 55555555 **Patient Name:** Smith, Joe I **Date of Birth:** 12/12/2007 **Gender:** Male **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **Phone Number:** 602-547-8888 **SSN:**XX-XX-5555 **E-mail:** someemail@hotmail.com	**Name:** Rosa, Smith I **Relationship to Patient:** Parent **Phone:** 480-999-9999 **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **SSN:**XX-XX-5555 **Phone Number:** 602-547-8888 **Reason for Guardianship:** Reason
Consent Directive Information	**Consent Directive Submission Info**
Patient Election: Withdraw Consent	**Submitter Name:** John Doe **Submitter Role:** Admin

I have received the document titled "Arizona Medical Information Exchange (AMIE) Informational Brochure (or Fact Sheet)" which explains how the Arizona Medical Information Exchange (AMIE) operates.

1. If I withdraw consent, I understand:
- AMIE participating providers will no longer be able to routinely access medical information about me through AMIE unless and until I Give Consent by signing and completing a Patient Consent Form.
- The Withdrawal of Consent will not affect the exchange of medical information made prior to my decision to withdraw consent.
- This Withdrawal of Consent only applies to all AMIE participating providers.
- It will take 24 hours to process my Withdrawal of Consent.

It is critical that the patient demographic information you submit is accurate. Based on the information received. AMIE will do to t**he best of its ability** to locate the appropriate patient records and enforce the given consent directive.

Review consent directive information for accuracy. If you identify any errors, you may **go back** and correct any of the information you entered, otherwise **submit** consent directive.

Go Back   Submit   Cancel

Description
Add a multiple line text box populated with consent directive information.
The system must restrict editing of text directly on the text box.
The text box must have horizontal and vertical scroll bars.

Consent directive information must have a header that contains patient information, patient legal representative information, patient's election, submission information, and consent directive legal agreement verbiage, and a place for patient or patient's legal representative to sign and date.
      o   Patient information displayed must match the information entered by the user. IF AHCCCS ID is empty, then system must display N/A on this field.
      o   Patient legal representative information must match the information entered by the user.
      o   Consent directive information must match the information entered by user.
      o   Submission information, such as submitter's name and role and submission date must be generated using current user's profile.
      o   Consent directive legal agreement verbiage must be configurable and should include a place for the patient to sign and date and optional table to organize content.
 See Appendix A, for a sample of complete consent directive.

If user selects [Go Back], the system will take the user to the previous screen **"Capture Consent Directive Screen"**.
Once user selects [Submit], the system stores and applies the consent directive information and takes the user to the **"Consent Confirmation and Print Screen"**.   If user selects [Submit] and system is not able to process the user request, the system will display an error message and the system will take the user to the **"Capture Consent Directive Screen"**:   **MESSAGE**   i   **THERE WAS A PROBLEM WHILE PROCESSING THE CONSENT DIRECTIVE. PLEASE, TRY RE-SUBMITTING AGAIN. ERROR: XXXX.**   OK   A unique error number may be assigned for troubleshooting.
Add warning message to let user know that AMIE will do to the best of its ability to locate and enforce the given consent directive based on information submitted; therefore, it is critical that patient demographic information is accurate.
If user selects [Cancel], the system takes the user back to the splash page **"Home."**
The System should display the name of the user logged in to the application at the top right corner below the header on the screen.   The System should display the 'Help' link at the top right corner below the 'Sign-out' link.   The system should display the breadcrumb link to allow user to go back to the viewer log in navigation and capture consent directive screens.

1.5   Consent Directive Confirmation and Print Screen

Help

Arizona Medical Information Exchange (AMIE)
Consent Directive

Patient Information	Patient Legal Representative
AHCCCS ID: A123456789 or N/A when blank. **Patient Internal ID:** 55555555 **Patient Name:** Smith, Joe I **Date of Birth:** 12/12/2007 **Gender:** Male **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **Phone Number:** 602-555-8888 **SSN:**XXX-XX-5555 **E-mail:** someemail@hotmail.com	**Name:** Rosa, Smith I **Relationship to Patient:** Parent **Phone:** 480-999-9999 **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **Phone Number:** 602-547-8888 **SSN:**XX-XX-5555 **Reason for Guardianship:** Reason
Consent Directive Information	Consent Directive Submission Info
Patient Election: Withdraw Consent	**Submitter Name:** John Doe **Submitter Role:** Admin **Submission Date:** 02/22/2009 **Confirmation Number**: 23555555555

I have received the document titled "Arizona Medical Information Exchange (AMIE) Informational Brochure (or Fact Sheet)" which explains how the Arizona Medical Information Exchange (AMIE) operates.

1. If I withdraw consent, I understand:
- AMIE participating providers will no longer be able to routinely access medical information about me through AMIE unless and until I Give Consent by signing and completing a Patient Consent Form.
- The Withdrawal of Consent will not affect the exchange of medical information made prior to my decision to withdraw consent.
- This Withdrawal of Consent only applies to all AMIE participating providers.

i   **You have successfully submitted the consent directive. Your submission confirmation number is XXXXXXX. Please print copies of the consent directive, keep a signed copy for your records and fax to AMIE Operations at 602-XXX-XXXX.**

| Print | Print in Spanish | Done |

Description
Add a multiple line text box populated with consent directive information.

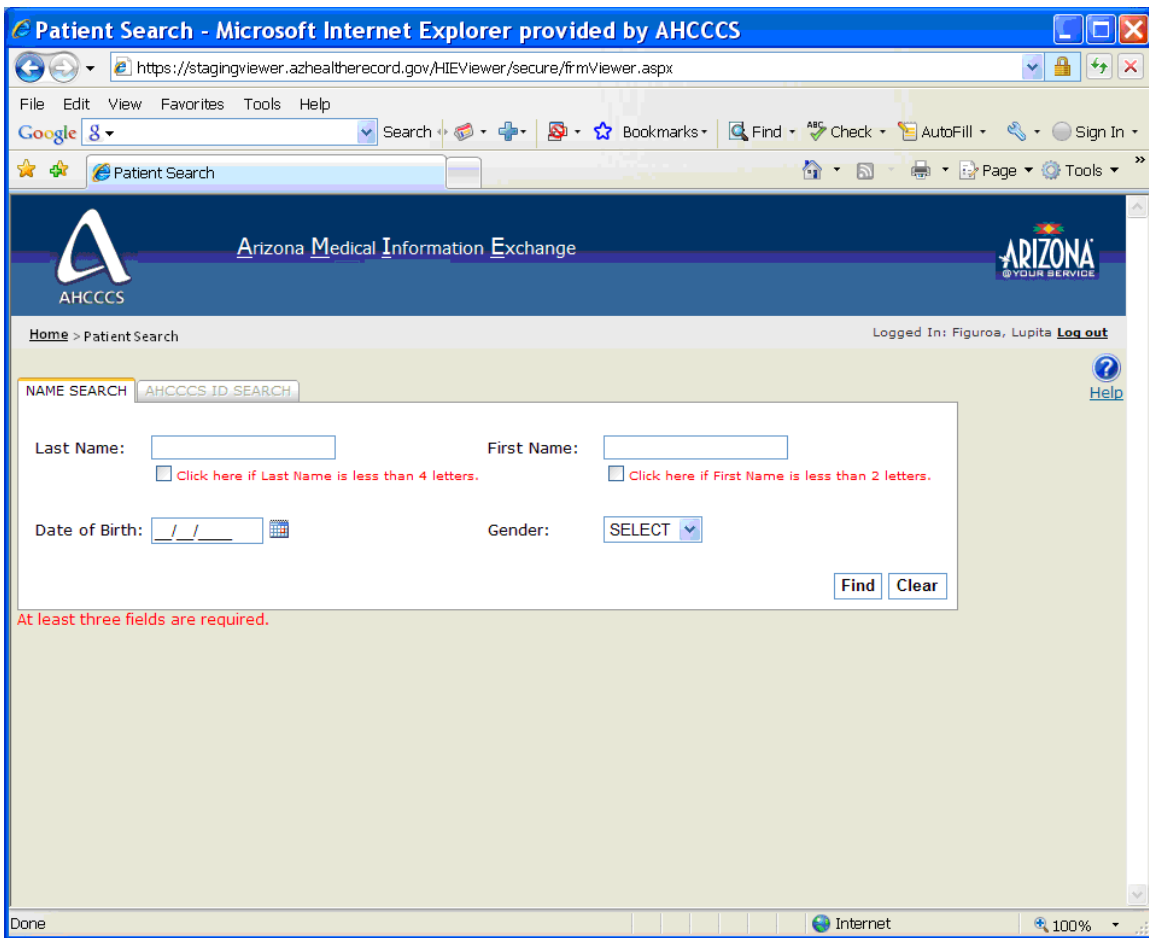| |
|---|
| The system must restrict editing of text directly on the text box.
This text box must have horizontal and vertical scroll bars. |
| Consent directive information must have a header that contains patient information, patient legal representative information, patient's election, and submission information, consent directive legal agreement verbiage, and a place for patient or patient's legal representative to sign and date.
Patient information displayed must match the information entered by the user.
Patient legal representative information must match the information entered by the user.
Consent directive information must match the information entered by user.
Submission information, such as submitter's name and role and submission date
Consent directive legal agreement verbiage must be configurable and should include a place for the patient to sign and date.
Date Submitted must be auto-generated by using today's date.
Submission confirmation number
Confirmation number must be 10 digit alpha-numeric id
See Appendix A, for a sample of complete consent directive. |
| Add notification message with instructions to print, keep and fax a signed copy of the consent directive to AMIE. |
| If user selects [Print], the system will print a copy of the consent directive in a printer friendly format. |
| If user selects [Print in Spanish], the system will print an Spanish version of the form. |
| The system should display the name of the user logged in to the application at the top right corner below the header on the screen.
The system should display the 'Help' link at the top right corner below the 'Sign-out' link.
The system should display the breadcrumb link to allow user to go back to **"Home"** and **"capture consent directive"** screens. |

Break the glass Screens

1.6 Patient Search Screen

Description

This screen will remain the same, except for renaming the breadcrumb link from **viewer login to Home**. This screen provides the ability for the user to perform a basic search on the patient (one patient at a time) by using the following criteria: LAST NAME, FIRST NAME, DATE OF BIRTH (DOB) and GENDER. The System shall allow for searching on only one patient at a time. The System shall enforce a minimum of three (3) parameters for searching when not using the AHCCCS ID to search.

Mock-up Screen Design:

DESCRIPTION

• The System shall support the following search options when AHCCCS ID is not known:
  ▪ First four characters of last name, full first name, date of birth, and Gender. (OR)
  ▪ Full last name, first two characters of first name, Date of Birth and Gender.

• Add a static label 'Last Name' and a text box to enter the last name.
• The user selects this check box if the last name is less than four characters.

• Add a static label 'First Name' and a text box to enter the first name.
• The user selects this check box if the first name is less than two characters.
• Add a static label 'Date of Birth' and a text box to enter the date of birth. • The System will provide validation rules around date of birth, such as month, date and year are valid and that the date is not greater than the current date. • A pop up Calendar is provided to help with entering a date of birth.

• The System allows the user to select one of the following options from the drop-down:
   ▪ Male
   ▪ Female
• Default Value is SELECT.

• Once the user selects the [FIND], the system initiates a query based up on the search criteria entered by the user.
• Once the user selects the [CLEAR], the system clears the search criteria entered by the user.
• The System should display the name of the user logged in to the Viewer at the top right corner below the header on the screen. • The System should display the 'Help' link at the top right corner below the 'Sign-out' link.
• The System provides the ability for the user to navigate to the following screens from here: ▪ **"Home"**

DESCRIPTION

• The System provides the ability to perform two kinds of search on patient search screen.
   ○ Name Search (AHCCCS ID Unknown)
   ○ AHCCCS ID Search (AHCCCS ID Known)

• AHCCCS ID is a mandatory search criterion on quick search option.
• The System shall support the following search options when AHCCCS ID is known:
   ▪ AHCCCS ID plus partial last name (minimum of four characters for wild card search with 'complete' box)
   [OR]
   ▪ AHCCCS ID plus Date of Birth
• The System shall enforce a minimum of two (2) parameters for searching when using the AHCCCS ID.
• If the user fails to enter the minimum search criteria and selects [FIND], the system would display an alert asking to enter the minimum search criteria:
 	
ALERT ⊠
 	
⚠ **Last name or date of birth must be entered in addition to the AHCCCS ID.**
 	
   [OK]

• Either Last name or Date of Birth should be included in the search criterion for Quick Search.
• The user selects this check box if the last name is less than four characters.
• Either Last name or Date of Birth should be included in the search criterion for Quick Search. • The System will provide validation rules around date of birth, such as month, date and year are valid and that the date is not greater than the current date.

• A pop up Calendar is provided to help with entering a date of birth.
• Once the user selects the [FIND], the system initiates a query based up on the search criteria entered by the user.
• Once the user selects the [CLEAR], the system clears the search criteria entered by the user.
• The System should display the name of the user logged in to the Viewer at the top right corner below the header on the screen. • The System should display the 'Help' link at the top right corner below the 'Sign-out' link.
• The System provides the ability for the user to navigate to the following screens from here: ▪ Home

1.7 Patient Search Results Screen

Description: This screen provides the ability for the user to view the search results and also to select one or more patients from the result list and retrieve the selected patient records. Additional functionality has been included to support break the glass scenario.

Mock-up Screen Design:

DESCRIPTION

- After the user has entered the search criterion and clicked [FIND], the RLS (Record locator service) runs the query against the database and returns all possible matches.
- The system displays patient list in a table format, one table row per patient.
- If patient has withdrawn consent, the system must display the patient information in a table row with a light gray background color.
- The table header data elements that will display on the patient result page are:
  - AHCCCS ID
  - Last Name
  - First Name
  - MI
  - Date of Birth
  - Gender
  - Last four digits of SSN
  - Address (includes Address 1, Address 2 concatenated)
  - City
  - State (St)
  - Zip
- The System provides the ability for the user to sort the patient list by any of the following headings:
  - Last Name
  - First Name
  - Middle Initial
  - Date of Birth
  - Gender
  - SSN(4) (include a tool tip to enter last 4 digits of ssn when the user hovers around the column label)
  - Address
  - City
  - State (St)
  - Zip
  - Default Sort Order is by last name.
  - The ability to "wrap" displayed text to a max of two (2) lines is preferred. We anticipate this will apply only to Address column.
- The System will provide the ability to display an alert message notifying the user when there are no matches for the search.
- If there are more than 50 matches found for search criteria, the system will provide the ability to display an alert message notifying the user to refine the search parameters (enter additional patient demographics to narrow the search).

SEARCH ALERT ⊠

⚠ **The maximum number of patient matches has been exceeded. Please refine your search criteria.**

OK
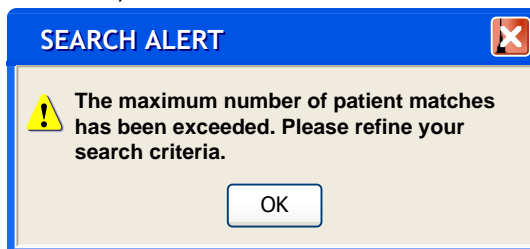
- The System will display each patient on a list with a SEL check box option to select the patient.
- The System will provide the ability for the user to select more than one patient when multiple patient records are believed to represent the same person.
- The user may select up to five patients to open at one time. The System will display an alert message if the user selects more than five patients at a time to be retrieved.

- The system must display a light gray legend to notify interpret the patient list background color and notify user of the ability to select one patient at a time and capture a new consent directive to change a patient's consent status.

- Add a link "Capture Consent Directive" within the gray legend
- If current user's role does not have permissions for capturing consent directives, then the system must disable (gray out) the "Capture Consent Directive" Link.
- If user clicks on the "Capture Consent Directive" link and the user selected only one patient,
  - The system will take the user to the "Capture Consent Directive Screen".
  - The system must prepopulate the consent directive form with the patient demographics from the selected patient in the patient search screen.   The system must mask all SSN digits, except for the last four.
- If user clicks on the "Capture Consent Direcitve" link and the user selects multiple patients,
  - The system must display the following error message,

SEARCH ALERT

⚠ You must select only one patient at time to capture a consent directive.

[OK]
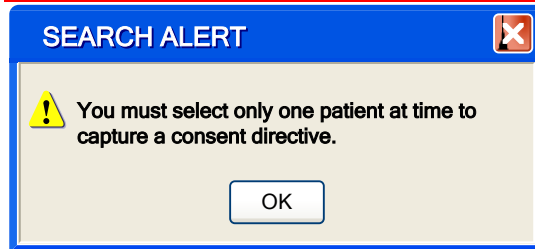
- If user clicks on the "Capture Consent Directive" link and the user does not select any patient,
  - The system must display the following error message,

SEARCH ALERT

⚠ You must select one patient to capture consent directive.

[OK]

- Once the user selects [Uncheck All], the system clears all of the previously selected SEL check box options of the patients to be retrieved.

- Once the user selects [Retrieve Patients],
- If **any** of the current selected patients have an opt-out status, the system will navigate to the break the glass reason screen.
  - If current user's role does not have break the glass permissions, then the system must display the following message.

BREAK THE GLASS ALERT

⚠ You do not have permission to override patient consent directives and retrieve all selected records. The records highlighted in gray belong to patients who have withdrawn consent. In order to continue, you must deselect all records highlighted in gray.

[OK]

- If **none** of the current selected patients have an opt-out status, the system will navigate to the patient record list screen.

- The System should display the name of the user logged in to the Viewer at the top right corner below the header on the screen.

- The System should display the 'Help' link at the top right corner below the 'Sign-out' link.

- The System provides the ability for the user to navigate to the following screens from here:
  - Home (Navigation Screen)

1.8 Break the Glass Reason Screen

Description

BREAK THE GLASS REASON

Arizona Medical Information Exchange

AHCCCS   ARIZONA @YOUR SERVICE

Home > Patient Search > Break-the-glass Reason

Logged In: Brown, Joe
Sign Out

Help

AMIE Break the Glass Notice

You have requested to break-the-glass to access the medical records for the patient(s) listed below. You are required to document the reason for breaking the glass. If you continue an alert will be generated and sent to the applicable security officer which will perform an audit of the incident and notify the patient. AMIE will keep a detailed record of the incident in an audit trail of all break the glass incidents. Patient must be notified of the break the glass incident as soon as it is possible. For more information regarding the break the glass policy refer to **AMIE Privacy Policy**.

Reason for Overriding Consent Directive: *   Emergency

Incident Notes: Person was unconscious and unable to provide consent

Reason for breaking the glass is required

YOU MUST BREAK THE GLASS TO RETRIEVE THESE PATIENT RECORDS

AHCCCS ID	Last Name	First name	MI	Date of Birth	Gender	SSN(4)	Street Address	City	State
A23456789	Coppola	Francis		12/12/1966	Male	4321	220 broadway	Phoenix	AZ

IF YOU SKIP, YOU WILL ONLY RETRIEVE THESE PATIENT RECORDS

AHCCCS ID	Last Name	First name	MI	Date of Birth	Gender	SSN(4)	Street Address	City	State
A23456789	Coppolaa	Francis		12/12/1966	Male	4321	220 broadway	Phoenix	AZ

Gray: Patient has elected to withdraw consent to make their records available through AMIE. Providers must break-the-glass to see the patient's records only under special circumstances.

Go Back   Break-the-Glass   Skip

Description
Add a multiple line text box (read-only) that contains the AMIE break-the-glass notice.   The notice should be configurable by AMIE admin and may contain a link to the AMIE privacy policy.

Add a drop down menu for entering reason for breaking the glass.
 • The System allows the user to select one of the following options from the drop-down:
     ■ Emergency
     ■ Professional Judgment
     ■ Public Safety
     ■ Third Party Safety
 Default Value is SELECT

Add static label 'Incident Notes:' and text box for entering incident notes.
Add 'Go Back' Button   If user selects [Go Back], the system must take the user to the patient search screen.
Add 'Retrieve All Patients (Break the Glass) Button.   f user selects [Retrieve all Patients (Break the Glass)], the system will validate that all the mandatory fields have been entered.   If user did not enter all mandatory fields, the system must display the following message: **ALERT**   ⚠ The reason for breaking the glass is missing. Please enter all required information in order to continue.   [OK]   If user entered all mandatory fields, the system will prompt the user with a confirmation message to continue,   **CONFIRMATION MESSAGE**   ? You have entered a valid reason for breaking the glass. Do you want to continue to break the glass?   [Yes] [No]   If the user selects [Yes],   • The system takes the user to the patient record list screen.   • The system generates an email alert to the applicable security officer based on user profile. The alert verbiage must be configurable by the AMIE admin and must include the incident number to link the incident to an entry in the audit trail.   If the user selects [No],   The system will take the user to the patient search screen.
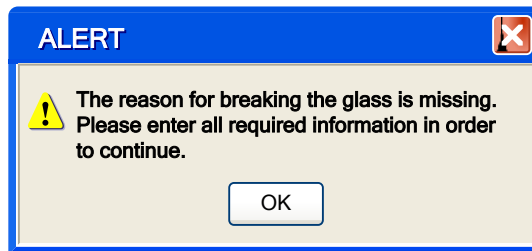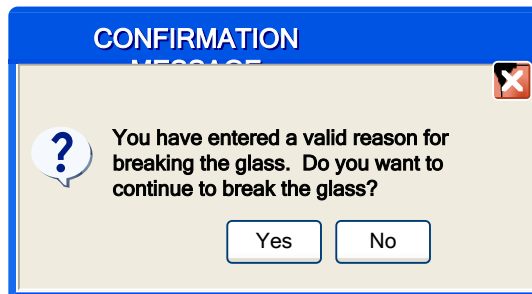
The system must record the following information in the audit trail:

Data Element	Description
Incident ID	Unique ID to identify break-the-glass incident.
Patients ID	Unique ID for patient in the MPI
User ID	Unique ID for user that broke the glass
Consent Directive ID	Unique ID for consent directive that was overridden
Date/Time of Incident	Actual date and time the break-the-glass incident took place.
Reason Code/Description	Reason code and code description entered by the user when breaking the glass.
Incident Notes	Any notes entered by the user when breaking the glass.

Add 'Retrieve Patients with Opt-in Status Only' button for automatically de-selecting patients who opted-out (to avoid going back to patient list screen)
If user did not select any patient with opt-out status, the system must disable and make the this button not visible.
If user selects [Retrieve Patients with Opt-in Status Only], the system must automatically deselect any patients with opt-out status and continue to the patient record list screen. The system will display only records for patients with opt-in status.

1.9   Patient Records List Screen

Description

This screen provides the ability for the provider to perform a record filter on a patient with multiple records by using the following criterion: Lab Reports, Discharge Summary, Medication HX and Advance Directives.

Mock-up Screen Design:

Patient Record Screen

Arizona Medical Information Exchange

AHCCCS

ARIZONA @YOUR SERVICE

Viewer Login > Patient Search > Patient Records

Logged In: Brown, Joe
Sign Out

Help

Filter Criterion

Select Your Record Type:
ALL
Discharge Summary
Lab Result
Medication History

Select Dates:
○ Time Period ALL
○ Date Range From: MM/DD/YYYY To: MM/DD/YYYY

Apply Filter | Clear

PATIENT RECORDS

Last Name: **Coppola** First name: **Francis** MI: **J** Date of Birth: **12/12/1966**

Gender: **M** AHCCCS ID: **A23456789** Last 4 digits of SSN: **4321**

Address: **1580 Broadway Unit 224 Phoenix 82023**

SEL	Record Type	Date of Service	Source	Category	Record Descriptor
☑	Discharge Summary	11/03/1984	MIHS	Acute Care Facility	DS
☑	Discharge Summary	05/07/2006	BANNER	Acute Care Facility	DS
☐	Lab Result	03/02/1999	MIHS	Lab Services	LIPID;CBC
☐	Medication History	12/12/2005	Community Health Center	RX Manager	MEDHX

ⓘ **GREEN** Record has been previously retrieved and is Open..

YELLOW: Record has been previously retrieved and Closed.

Uncheck All | Retrieve Selected Records

DESCRIPTION
• The System will provide the ability for the user to filter the record display by the following: 　▪ ALL 　▪ Discharge Summary 　▪ Lab Result 　▪ Medication History 　▪ Advance Directive
• Once the user selects the time period radio button, the system would have the following options for the user to select: 　▪ ALL 　▪ Last 30 days

	▪ Last 45 days
	▪ Last 90 days
	Note: Default value is ALL.

- Once the user selects the date range radio button, the system would prompt the user to enter the 'from' and 'to' dates.

- Once the user selects the appropriate filter criteria and click the [Apply Filter], the system will display the list of records that match the filter criteria.

- The System provides the ability for the user to clear the filter criteria by selecting [Clear] on this screen.

- The System will display in a header panel, for each selected patient, the patient identifying information which includes the following:
    - ▪ Last Name
    - ▪ First Name
    - ▪ MI
    - ▪ AHCCCS ID
    - ▪ DOB
    - ▪ Gender
    - ▪ Last 4 digits of SSN
    - ▪ Address
- The System will provide the ability for the records to be grouped by patient.

- The System provides the ability to display the identifying information on the record below the header panel. It includes the following:
    - ▪ Record Type
    - ▪ Date of Service
    - ▪ Source
    - ▪ Category
    - ▪ Record Descriptor
- The System provides the ability for the user to sort the patient records by any of the following headings:
    - ▪ Record Type
    - ▪ Date of Service
    - ▪ Source
    - ▪ Category
    - ▪ Record Descriptor
- The System will display each patient record on a list with a SEL check box option to select the patient record.
- The System will provide the ability for the user to select more than one patient record when multiple patient records are believed to represent the same person.
- The user may select up to five records to open at one time. The user may leave those records open and select up to five more records.
- The System will display an alert message if the user selects more than five patient records at a time to be retrieved.

- Once the user selects [Retrieve Records], the system will open a new window called RECORD VIEWER. Here the user would have the option of selecting the record to be viewed.

- Once the user selects [Uncheck All], the system clears all of the previously selected SEL check box options of the patient records to be retrieved.

- The System provides the ability to change the color of selected options on this screen.
    - ▪ Initially the user selects the records that need to be retrieved. After selecting all the

options, the user clicks on the [Retrieve Records] button. Now a new window (RECORD VIEWER) opens with the selected record list. At the same time the records selected in the previous screen are turned to **GREEN** and their corresponding select options are unchecked. Now if the user comes back to the previous screen to retrieve more records, the system would have the ability to show him the records retrieved before (all the records in GREEN were previously retrieved). If the record in the RECORD VIEWER is closed, then its color is changed to **YELLOW** in the previous screen thus notifying the user that the record which was retrieved before has been closed.

- The System should display the name of the user logged in to the Viewer at the top right corner below the header on the screen.
- The System should display the 'Help' link at the top right corner below the 'Sign-out' link.

- The System provides the ability for the user to navigate to the following screens from here:
    - Patient Search
    - Home

Create Consent Directive

The following sequence represents the steps required for AMIE to create a consent directive each time a consent directive gets submitted.

1. User creates and submits consent directive through consent management application.
2. Consent directive management application calls the consent directive management service to submit consent directive.
3. AMIE viewer sends a submit consent directive request to consent management service.
4. PEP intercepts request to check whether user is authorized to perform submit consent directive action.
5. PEP sends decision request to PDP to find out whether to authorize user to perform a submit consent directive action based on user's permissions.
6. PDP sends policy request to PIP to check whether user has sufficient permissions to perform submit consent directive action.
7. PIP retrieves user access policy information and returns it to PDP.
8. PDP runs decision algorithm based on decision request and policy information.
9. PEP receives decision response to permit or deny document retrieve action.
10. If PEP receives decision to permit submit consent directive action,
    a. Consent directive management service automatically generates a unique patient id and feeds patient demographics to master patient index.
    b. Master patient index runs linking algorithm in order to create appropriate links to existing patient records.
    c. Consent directive management service registers consent directive in consent registry using their unique patient ID and patient ID domain. The consent directive registry is the document directory (RLS). The consent directive document type will be "Consent".
    d. Consent directive management service stores consent directive in consent directive repository. The consent directive repository associates each consent directive to only one patient id and patient id domain.
    e. Consent directive management system logs consent directive submission information into an audit log.
11. Otherwise,
    a. PEP generates and communicates exception to viewer.
    b. Viewer prevents user from submitting consent directive.

Enforce Consent Directive

The following sequences represent the steps required for AMIE to enforce consent directive each time a system requests to perform the patient search, document query, and retrieve document transactions..

Patient Search

1. AMIE viewer sends a patient search request to patient directory service.
2. PEP intercepts request to check whether user is authorized to perform patient search action.
3. PEP sends decision request to PDP to find out whether to authorize user to perform patient search action based on user's permissions.

4. PDP sends policy request to PIP to check whether user has sufficient permissions to perform patient search action.
5. PIP retrieves user access policy information and returns it to PDP.
6. PDP runs decision algorithm based on decision request and policy information.
7. PEP receives decision response to permit or deny patient search action.
8. If PEP receives decision to permit patient search action,
    a. PEP sends decision request to PDP to find out whether to authorize user to access patient record.
    b. PDP sends policy request to PIP to check whether user is authorized to access patient record.
        i. For each patient record requested,
            1. PIP queries master patient index using the global patient id to find all linked patient IDs (e.g. MRN) and Patient ID domains (e.g. source system id).
            2. PIP queries document registry using all patient IDs and Patient ID domains to find the <mark>latest</mark> consent directive available for the patient.
            3. PIP retrieves policy
    c. PIP aggregates all policies from different patients into a policy set and sends it to PDP.
    d. PDP runs decision algorithm based on policy and decision request information and returns decision to PEP.
    e. PEP receives permit or deny decision and adds consent directive flag to the patient search response message.
    f. AMIE viewer receives patient search response message containing consent directive flags for all patients within the message.
    g. AMIE viewer displays patient records and their consent directive status based on flags.
    h. Viewer user may choose to break the glass to see records marked as restricted or may choose to view only records that are not restricted.
9. Otherwise,
    a. PEP generates and communicates exception to viewer.
    b. Viewer prevents user from conducting patient search action.

Document Query

1. AMIE viewer sends a document query request to document registry directory service.
2. PEP intercepts request to check whether user is authorized to perform document query action.
3. PEP sends decision request to PDP to find out whether to authorize user to perform document query action based on user's permissions.
4. PDP sends policy request to PIP to check whether user has sufficient permissions to perform document query action.
5. PIP retrieves user access policy information and returns it to PDP.
6. PDP runs decision algorithm based on decision request and policy information.
7. PEP receives decision response to permit or deny document query action.
8. If PEP receives decision to permit document query action,
    a. PEP sends decision request to PDP to find out whether to authorize user to query for documents associated to patient record.
    b. PDP sends policy request to PIP to check whether user is authorized to access patient record.
        i. For each patient record requested,
            1. PIP queries master patient index using the global patient id to find all linked patient IDs (e.g. MRN) and Patient ID domains (e.g. source system id).

2. PIP queries document registry using all patient IDs and Patient ID domains to find the <mark>latest</mark> consent directive available for the patient.
            3. PIP retrieves policy
    c. PIP aggregates all policies from different patients into a policy set and sends it to PDP.
    d. PDP runs decision algorithm based on policy and decision request information and returns decision to PEP.
    e. PEP receives permit or deny decisions.
    f. PEP removes restricted documents from the document query response.
    g. AMIE viewer receives document query response message containing only records that are not restricted.
    h. AMIE viewer displays documents available for retrieval.
9. Otherwise,
    a. PEP generates and communicates exception to viewer.
    b. Viewer prevents user from conducting document query action.
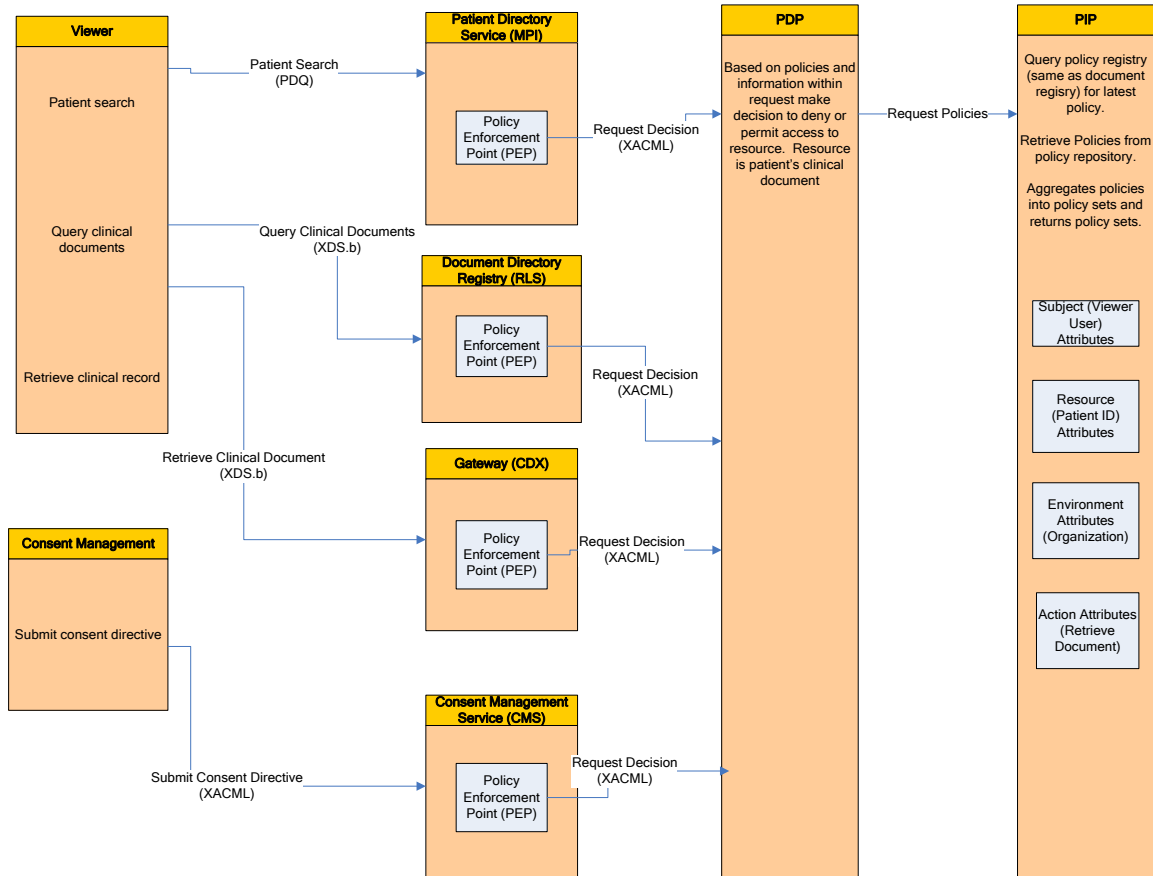
Document Retrieve

1. AMIE viewer sends a document retrieve request to clinical data exchange service (CDX) (e.g. gateway).
2. PEP intercepts request to check whether user is authorized to perform document retrieve action.
3. PEP sends decision request to PDP to find out whether to authorize user to perform document retrieve action based on user's permissions.
4. PDP sends policy request to PIP to check whether user has sufficient permissions to perform document retrieve action.
5. PIP retrieves user access policy information and returns it to PDP.
6. PDP runs decision algorithm based on decision request and policy information.
7. PEP receives decision response to permit or deny document retrieve action.
8. If PEP receives decision to permit document retrieve action,
    a. PEP sends decision request to PDP to find out whether to authorize user to retrieve documents.
    b. PDP sends policy request to PIP to check whether user is authorized to access patient record.
            ii. For each patient record requested,
                    1. PIP queries document registry using all patient IDs and Patient ID domains to find the <mark>latest</mark> consent directive available for the patient.
                    2. PIP retrieves policy
    c. PIP aggregates all policies from different patients into a policy set and sends it to PDP.
    d. PDP runs decision algorithm based on policy and decision request information and returns decision to PEP.
    e. PEP receives permit or deny decisions.
    f. PEP removes restricted documents from the document retrieve response.
    g. AMIE viewer receives document retrieve response message containing only records that are not restricted.
    h. AMIE viewer displays documents available for retrieval.
9. Otherwise,
    a. PEP generates and communicates exception to viewer.
    b. Viewer prevents user from conducting document retrieve action.

Submit consent directive

1. AMIE viewer sends a submit consent directive request to consent management service.
2. PEP intercepts request to check whether user is authorized to perform submit consent directive action.
3. PEP sends decision request to PDP to find out whether to authorize user to perform a submit consent directive action based on user's permissions.
4. PDP sends policy request to PIP to check whether user has sufficient permissions to perform submit consent directive action.
5. PIP retrieves user access policy information and returns it to PDP.
6. PDP runs decision algorithm based on decision request and policy information.
7. PEP receives decision response to permit or deny document retrieve action.
8. If PEP receives decision to permit submit consent directive action,
9. Otherwise,
    c. PEP generates and communicates exception to viewer.
    d. Viewer prevents user from conduction document retrieve action.

Consent Management Data Flow

The diagram below represents the interactions between the different components for creating and enforcing consent directives.

Appendix A

Patient Information	Patient Legal Representative
AHCCCS ID: A123456789 or N/A when blank. **Patient Internal ID:** 55555555 **Patient Name:** Smith, Joe I **Date of Birth:** 12/12/2007 **Gender:** Male **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **Phone Number:** 602-547-8888 **SSN:**600-55-5555 **E-mail:** someemail@hotmail.com	**Name:** Rosa, Smith I **Relationship to Patient:** Parent **Phone:** 480-999-9999 **Address:** 700 E. Jefferson St., Phoenix, AZ 85044 **Phone Number:** 602-547-8888 **SSN:**600-55-5555 **Reason for Guardianship:** Reason
Consent Directive Information	**Consent Directive Submission Info**
Patient Election: Withdraw Consent	**Submitter Name:** John Doe **Submitter Role:** Admin **Submission Date:** 02/22/2009 **Confirmation Number:** 23555555555

THE FOLLOWING TEXT IS COMPLETELY CONFIGURABLE. I have received the document titled "Arizona Medical Information Exchange (AMIE) Informational Brochure (or Fact Sheet)" which explains how the Arizona Medical Information Exchange (AMIE) operates.

1. If I withdraw consent, I understand:
- AMIE participating providers will no longer be able to routinely access medical information about me through AMIE unless and until I Give Consent by signing and completing a Patient Consent Form.
- The Withdrawal of Consent will not affect the exchange of medical information made prior to my decision to withdraw consent.
- This Withdrawal of Consent only applies to all AMIE participating providers.
- No Participating Provider will deny me medical care and my insurance eligibility will not be affected based on my Withdrawal of Consent.

I understand that if I wish to reinstate Consent to routinely access my medical information through AMIE, I may do so by signing and completing a new Patient Consent Form and returning it to my Participating

I hereby withdraw consent for AMIE participating providers to access my medical information through AMIE.

_____   _____
           Print Name of Patient   Patient's Date of Birth
_____   _____
Signature of Patient or Patient's Legal Representative   Date
_____   _____
Print Name of Patient's Legal Representative   Relationship of Patient's Legal Representative

Appendix B

Decision Request/Response Sample

TBD

Policy Request/Response Sample

TBD