

Query Responses and Patient Protection

Discussed with SISC on Aug 10 2016

The issue

What is the right way to structure a bi-directional response message (RSP^K11) when the query matches to a patient who has requested that their data be protected

What the Release 1.5 IG says

Z34 profile: In the case where one high confidence candidate is found, but that candidate does not allow sharing of data, the acknowledgement response will indicate no candidates were found.

Z44 profile: nothing

Appendix B: When a client does not want his/her data shared and is found, local business rules need to be applied. For instance, some applications may behave as if the client record does not exist in the system. That is, it would respond with a “no records found” message. The exception to this would be if the requesting provider were the one who set the protection indicator. In this case, the person may be a candidate that is returned. Another response might be to send limited information notifying the requesting system that the person exists, but wants his/her records protected.

What is happening today

New York State is sending a textual message in MSA-3 (this is not Release 1.5 compliant and will change as NYSIIS moves to Release 1.5).

Local laws, regulations and IIS policy can affect the ability to respond if the patient is requesting data protection.

Discussion highlights

- Several states are investigating this issue now.
- It may be helpful for EHR systems to be able to distinguish between a protected patient being found and no patient being found.
- A common solution for both the Complete History Query and the Evaluated History and Forecast Query is desirable

Guidance when implementing Release 1.5

This guidance is used when implementing Release 1.5 for both the Completed History and Evaluated History and Forecast queries. This guidance is compliant with Release 1.5 and doesn't add any new coded values or fields to support.

If local laws, regulations and IIS policy allow the return of data, even when the patient requests data protection, the IIS should respond with a standard Z32 or Z42 message. A partial patient history is not recommended to be returned. In the absence of widespread support for dose level protection, we

strongly recommend that all doses be returned if any doses are returned. Inappropriate clinical decisions may be made by providers if they receive a partial history but think that it is a full history. Confidence in the quality of data in the IIS may be adversely affected, if partial histories are returned.

If local laws, regulations and IIS policy prohibit sending any indication that a matching patient exists, then a standard Z33 should be returned.

Below is the guidance on how to construct a modified Z33 when the single matching patient has requested data protection and local laws, regulations and IIS policy don't strictly prohibit sending some indication that a patient even exists in the IIS.

- Send a Z33 message
- MSA-1 = AA
- ERR-3 is populated (code 207 (Application Internal Error) suggested)
- ERR-4 is populated with "I" (the querying system is not expected to "respond" to the RSP message by fixing an error or resubmitting the message)
- ERR-5 left unpopulated
- ERR-8 is populated with a text string noting that a patient was found but is protected/locked
 - For example, "A match was found in the IIS but no value is returned since Data Sharing for the record is set to No"
- QAK-2 = NF

Sample message in response to a Z44 Evaluated History and Forecast query message:

```
MSH|^~\&|EHR|12345|MIIS|99990|20140701041038+0700||RSP^K11^RSP_K11|7731029|P|2.5.1||
|NE|NE|||Z33^CDCPHINVS|MyStateIIS|MYEHR
MSA|AA|793543
ERR|||207^Application Internal Error^HL70357|I|||A match was found in the IIS but no value is
returned since Data Sharing for the record is set to No|
QAK|37374859|NF|Z44^Request Evaluated History and Forecast^CDCPHINVS
QPD|Z44^Request Evaluated History and
Forecast^CDCPHINVS|37374859|123456^^^MYEHR^MR|Child^Bobbie^Q^^^^L|Que^Suzy^^^^M|20
050512|M|10 East Main St^^Boston^MA^^^L
```

Guidance for incorporation into a future release of the IG

This guidance will be incorporated into the next Release which adds significant new content. This guidance adds a new coded value to be supported.

The Release 1.5 guidance applies along with the following changes to the modified Z33 message:

- ERR-5 = new error code to be created
- QAK-2 = PD
 - This is a new code to be used when a protected patient is found
 - The Description will be "Protected Data"



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Sample message:

```
MSH|^~\&|EHR|12345|MIIS|99990|20140701041038||RSP^K11^RSP_K11|7731029|P|2.5.1||NE|
NE||||Z33^CDCPHINVS|MyStateIIS|MYEHR
MSA|AA|793543
ERR|||207^Application Internal Error^HL70357||xx^protected patient found^HL70533||A match
was found in the IIS but no value is returned since Data Sharing for the record is set to No|
QAK|37374859|PD|Z44^Request Evaluated History and Forecast^CDCPHINVS
QPD|Z44^Request Evaluated History and
Forecast^CDCPHINVS|37374859|123456^^^MYEHR^MR|Child^Bobbie^Q^^^^L|Que^Suzy^^^^M|20
050512|M|10 East Main St^^Boston^MA^^L
```

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