**QE Checklist: Phase 1 Flat File to FHIR**

*This document is provided as reference for technical purposes. Please see the official statement of work for more details.*

**QE Completed Activities (6.1 and 6.2)**

**File Receipt (Please see 6.1 of SOW) – Setting up secure transfer capabilities from the screening contributor to the QE:** Setting up transfer capabilities to enable the safe and encrypted transfer of data files, including but not limited to 1115 screenings.

* Including validation rule and feedback to contributors

**Activities:**

QE management of user credentials and permissions, ensuring that only authorized users can access the SFTP server for file transfers.

Files received via SFTP must be securely stored with appropriate access controls in place to maintain data integrity and confidentiality.

Upon successful file receipt, QEs are required to automatically forward these files to Data Quality Evaluation at their own QE or at QCS.Timing will be determined in collaboration with the QEs and decided by QCS and NYeC.

Each Qualified Entity (QE) is required to submit a thorough test plan designed to validate the successful implementation of the SFTP objectives and execute this test plan. QEs are strongly encouraged to collaborate in the development of their test plans. NYeC must approve each QEs test plan, and it is encouraged for multiple QEs to utilize a shared document for this purpose.

**Method of Evaluation:**

Each QE will submit a runbook that describes how this system operate. This run book will be **reviewed by NYeC**, and QEs will finalize for production. If QEs already have an SFTP run book, that can be submitted.

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| **Run-Book Components** | **Guidance** |
| Introduction | A brief overview of the service, its purpose, and the intended audience for the runbook. |
| Participant Feedback | Document the end-to-end process for providing feedback to sources on any data quality issues. In the future, QEs will use the SHIN-NY quality assurance specification to define when feedback is needed. |
| System Architecture | A diagram or detailed description of the system's architecture, including how files will be automatically moved from the screening contributor to the QE to QCS or to the SHIN-NY Data Lake. |
| Authentication & Authorization | If the QE is using their current means and methods for user administration, this section can be left blank. If the QE has modified their processes in support of 1115, describe the user provisioning processes related to 1115. |
| Onboarding New Data Submitters | A step-by-step guide to onboard a new data submitter, including setting up authentication, system configurations, and permissions. Checklists for validation tests that new submitters must pass to be considered fully onboarded. If such a checklist exists, provide a reference. |
| Monitoring and Logging | Describe how you will ensure that files all submitted by 1115 sources are dutifully and accurately submitted to QCS or the SHIN-NY Data Lake. |
| Incident Response | If the process for 1115 data submission issues are in some way distinct/unique from how all other incidents are handled, describe the variances. |
| Compliance and Auditing | If the process for 1115 data submission compliance and auditing is in some way distinct/unique from how all other incidents are handled, describe the variances. |

Each QE will complete all screening tests successfully using their SFTP.

Each QE will submit feedback to NYeC acting as a test SCN that is consistent with validation rules.

**Local MPI (Please see 6.2 of SOW):** Updates to QE MPIs with any new patients or patient information from 1115 Waiver screenings.

**Activity:**

Each QE develops an MPI for all test screenings, appends to either CSV or JSON and this MPI is submitted to SHIN-NY Data Lake.[[1]](#footnote-2)

**Method of Evaluation:**

NYeC is able to see an MPI for all test screenings that appended to either CSV or JSON and this MPI is submitted to SHIN-NY Data Lake.

**QCS or QE Completed Activities (6.3 and 6.4)**QEs participating in QCS are not expected to complete section 6.3 and 6.4 of the checklist

**Data Quality Evaluation and Mapping (Please see 6.3 of SOW):** A service capable of evaluating the quality of submitted 1115 screening data, either in text or API format.

**Activity:**

Each QE/QCS uses validation rules developed by NYeC and in collaboration with QEs to ensure each flat file meets criteria. If it does not, QE will provide feedback to screeners and not pass along a JSON to the SHIN-NY Data Lake until issues are fixed.

**Method of Validation**

QE/QCS successfully has completed each validation for every test. This will be assessed by NYeC.

**File to JSON processing (Please see 6.4 of SOW):** A service capable of converting files with multiple lines of 1115 screening data to FHIR compliance JSON files, for submission to data lake.

**Activities:**

All tests as applicable have been converted to FHIR JSON and submitted to the SHIN-NY Data Lake.

All of the following items are in place:

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| Functional and Technical Requirements | |
| **File Acceptance** | The service must be capable of accepting files in CSV format. |
| **File Parsing** | Each line of the file must be parsed to extract the relevant data. |
| **Data Transformation** | The parsed data must be transformed into FHIR-compliant JSON format as per the specifications provided by the Gravity Pilot Project. |
| **Logging of Submission Outcome** | The service must log the success or failure of each item submitted to the data lake. |
| **Review of Unsuccessful Submissions** | The QE or QCS must develop internal means and methods to review, all data that was not successfully placed into the data lake. The QE or QCS will then work with a combination of NYeC and the submitter to remediate those deficiencies. |
| **Error Handling** | The service should handle errors gracefully and notify the administrators for manual intervention, if required. |
| **User Feedback** | End-users should receive confirmation (email or some other means and method), indicating the success or failure of the data submission process. QE and QCS must establish means and methods to exchange PHI with submitters where necessary for troubleshooting. |

**Method of Validation:**

All tests match the generated example FHIR JSON as validated by NYeC.

Each QE will submit a run book that describes how JSON processing will operate. This run book will be reviewed by NYeC, and QEs will finalize for production. If QEs already have a JSON processing run book, that can be submitted.

**Timelines:**

Project completion date: 3/31/2024

1. For QCS the MPI should be appended to CSV. For Individual QE, please include in JSON. [↑](#footnote-ref-2)