**Runbook Template for Phase 1 I&I – 1115 Screening Data Testing**

**Name of QE:**

**Please answer the following questions within the template below. *This template is optional, and a QE may provide this documentation in another format.***

**QEs may fill out the following template for the runbook with materials that may already be developed for other purposes such as HITRUST, QE Certification, or existing policies & procedures manuals.**

**NYeC also requests that each QE complete the Checklist posted on GitHub, in addition to this Runbook.**

## Introduction

A brief overview of the service, its purpose, and the intended audience for the runbook.

## Purpose: The runbook is intended to provide details on the SFTP capabilities and security controls a QE may have for the 1115 Waiver.

Audience: NYeC security and DOH oversight teams

## 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.

[For example, each QE should describe their current approaches for providing feedback to data source providers for non-1115 Waiver data (e.g. email, response via APIs, Excel in SFTP, etc.). How is the QE considering providing diagnostics-style feedback to 1115 Waiver SCNs and other data submitters? This information will primarily be used to help NYeC and QCS foster discussions and discovery of a unified approach to feedback mechanisms as the 1115 Waiver moves from synthetic data phase to production data phase.]

## 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.

[For example, QE is using MoveIt SFTP, and the QE submits description of service and architecture documents for this system.]

## 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 all files 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.