

APPENDIX B. DOCUMENT CLASSIFICATION SCHEME

Classification Scheme for Analysis of Shared IOA Data Use Agreements/Documents

* Provisions of agreements or portions of other documents should be labeled in accordance with the below classification scheme:

_ . _ / _ . _ / (_) - _ . _

Each space represents an alphanumeric character (listed below) that represents the:

Document Source . Unique Identifier/ Document Type . Subcategory of Document Type
Regarding Subject Matter of Document/ Page or Section Reference—General Category of
Provision . Subcategory of the General Category of Provision

* For page or section references, “s” designates a section reference to an agreement and “p” designates the page number reference to other documents. For example, Article III, Section 2, subsection (a) of an agreement should be referenced as “(sIII2(a))”; Section 14.2 should be referenced as “(s14.2).” Page 30 of a policy document should be referenced as “(p30).”

* Sample Complete Reference: A provision defining the term “Authorized User” in the Markle Foundation’s *A Model Contract for Health Information Exchange* should be referenced as “MF.01/hh.06/(s2)-DE.01,” wherein “MF” references the source, “01” references the agreement, “hh” references the document type, “06” references the subject matter of the document, “(s2)” references Section 2, “DE” is noted because it is a definition, and “01” because it defines “Authorized User.”

Table 1. Document Source

Each document source two-letter code should be followed by the appropriate two-digit code identifying the specific document from that source.

Code	Specific Document
AA	American Health Lawyers Association
AA.01	Fundamentals of the Electronic Medical Record
AC	Alaska ChartLink
AC.01	Patient Participation Agreement
AC.02	Policies and Procedures for Addressing Breaches of Confidentiality
AC.03	Privacy and Confidentiality Policy
AC.04	Provider Participant Agreement
AC.05	Identification and Authorization Verification Policy and Procedure
AL	Alaska
AL.01	HISPC Communications Plan for the State of Alaska

Code	Specific Document
AO	Anonymous
AO.01	Health Information Exchange Data User Agreement
AO.02	Health Information Exchange Hospital Agreement
AO.03	Health Information Exchange Policies and Procedures
AT	Association of State and Territorial Health Officials
AT.01	Introduction to the Laws Governing Formation of Cross-Border Agreements by the States and Generic Public Health Annex
AW	All Women Count!
AW.01	Participating Clinic Agreement
CC	Centers for Disease Control and Prevention (<i>Documents posted on CDC website</i>)
CC.01	Guidelines for US-Mexico Coordination on Epidemiologic Events of Mutual Interest (<i>Document produced by: Core Group on Epidemiologic Surveillance and Information Sharing Health Working Group, US-Mexico Binational Commission</i>)
CC.02	Agreement between the Community Health Department of Public Health and the Arizona Department of Health Services (<i>Document source unknown</i>)
CI	National Cancer Institute (Cancer Biomedical Informatics Grid)
CI.01	DSIC WS Data Sharing Framework
CI.02	Data Sharing Plan Content Guideline
CI.03	Getting Connected with CaBig
CM	Centers for Medicare & Medicaid Services (CMS)
CM.01	Data Use Agreement
CR	Colorado Regional Health Information Organization
CR.01	Participant Registration Agreement (with Kaiser Foundation Hospitals)
CR.02	Participant Registration Agreement (with Children's Hospital Association)
DU	National Health Information Network (DURSA group)
DU.01	Data Use and Reciprocal Support Agreement
GH	Great Lakes Border Health Initiative
GH.01	Public Health Data Sharing Agreement—Michigan, Minnesota, Ontario, New York, Wisconsin, and Local and Tribal Units bordering Ontario
HI	The Health Information Institute
HI.01	Insurance Company Information Reporting Agreement
HI.02	Provider Financial Responsibility Agreement
HI.03	Healthcare Provider Information Sharing Agreement
HI.04	Individual Healthcare Provider Information Sharing Agreement
HK	Health Key Collaborative
HK.01	Template for a Comprehensive Health Care Information Protection Agreement Between Business Associates
HQ	Foundation for Health Care Quality
HQ.01	Amended and Restated Clinical Outcomes Assessment Program Healthcare Provider Information Sharing Agreement
IA	Iowa Department of Public Health
IA.01	Research Agreement between Iowa Department of Public Health and *****
IA.02	Iowa Immunization Registry Information System (IRIS)
IE	HIMSS, RSNA, and ACC
IE.01	IHE IT Infrastructure Technical Framework White Paper

Code	Specific Document
JC	John Christiansen
JC.01	Biosurveillance Data Use Agreement Limited Data Sets for Systems
MF	Markle Foundation
MF.01	A Model Contract for Health Information Exchange
MF.02	Key Topics in a Model Contract for Health Information Exchange
NC	North Carolina Healthcare Information and Communications Alliance
NC.01	Health Information Exchange Agreement
NM	Lovelace Clinic Foundation
NM.01	New Mexico Health Information Collaborative Subscription Agreement
NY	New York/New Jersey
NY.01	Draft Memorandum of Agreement Between the New Jersey Department of Health and Senior Services and New York City Department of Health and Mental Hygiene through the New York State Department of Health, Center for Community Health, Office of Health Systems for a Pilot Test of the New Jersey-New York City Health Data Share Project
OK	Oklahoma State Department of Health
OK.01	Oklahoma State Department of Health (OSDH)/Oklahoma State Immunization Information System (OSIIS) User Authorization Request
OK.02	Oklahoma State Department of Health (OSDH)/Oklahoma State Immunization System (OSIIS) Facility Authorization Request
PA	Philadelphia Department of Public Health
PA.01	Kids Immunization Database/Tracking System (KIDS) Registry User Security and Confidentiality Agreement
RF	Regenstrief Institute
RF.01	Indiana Network for Patient Care: A Case Study of a Successful Healthcare Data Sharing Agreement
RF.02	Indiana Network for Patient Care Second Participants' Agreement
SD	South Dakota
SD.01	State of South Dakota Memorandum of Understanding for the South Dakota Immunization Information System

Table 2. Document Type

Code	Document Type
ss	state to state
sp	state and private
pp	private to private
ph	private to HIE
hh	HIE to HIE
mm	miscellaneous (policies & procedures, presentations, etc.)

Table 3. Subject Matter of Document

The following subcategories explain the subject matter of each document. For instance, an agreement for the exchange of immunization data between state agencies would be labeled “ss.08.”

Code	Subcategories
01	business associate agreements
02	clinical outcomes reporting and research generally
03	diagnostic screening
04	general educational
05	general data sharing specific to public health areas
06	general data sharing; not specific to a particular field or specialty
07	identification, verification, and authorization of user
08	immunization
09	overall strategy/plan
10	technical/infrastructure descriptions/overviews

Table 4. Contract/Document Provision Categories/Subcategories

Note: Capitalized terms in quotations are samples of the defined terms described by each particular subcategory. Some agreements may use similar but different defined terms. Defined terms are not used in the descriptions of any of the categories or subcategories. Defined terms used in a particular section other than the definitions section should be included in such substantive section (e.g., “applicable law” should be included in “BP.01”). The descriptions provided are intended to be as broad as possible.

Code	Categories/Subcategories
DE	Definitions
DE.01	“Authorized User”; an individual designated to use the services provided by the HIE on behalf of the participating party
DE.02	“Data Provider”; a participant registered to provide information to the HIE
DE.03	“Data Recipient”; a participant that obtains information from the HIE
DE.04	HIPAA
DE.05	“Participant”; provides data to and/or receives data from the HIE
DE.06	“Participant Type”; health care industry classification of a participant
DE.07	“Data”; electronic information provided to the HIE
DE.08	“Agreement”; registration agreement with the HIE
DE.09	“Services”; services provided by the HIE
DE.10	“Network”; the HIE’s system that allows for peer-to-peer communication/transfer of data
DE.11	Miscellaneous
RE	Recitals
RE.01	description of HIE
RE.02	description of non-HIE party
RE.03	statement of purposes of the agreement
RE.04	Miscellaneous
SR	Statement of Relationship
SR.00	CLASSIFICATION FILLER—NO SUBCATEGORIES

Code	Categories/Subcategories
RR	Data Recipient Requirements/Limitations (requirements that apply specifically to recipients of data)
RR.01	acceptance of grant of right/license to use the HIE
RR.02	acceptance of compliance with other policies/procedures adopted by the HIE (current and future)
RR.03	scope of use of services available to recipient
RR.04	prohibitions on recipient's use of data
RR.05	ensuring compliance with applicable laws
RR.06	obligation to obtain and maintain compliant software/hardware necessary to utilize the HIE
RR.07	Miscellaneous
PR	Data Provider Requirements/Limitations (requirements that apply specifically to providers of data)
PR.01	acceptance of grant of right/license to use the HIE
PR.02	acceptance of compliance with other policies/procedures adopted by the HIE (current and future)
PR.03	format of data
PR.04	connection to network
PR.05	accuracy of data provided
PR.06	timely provision of data
PR.07	completeness of data
PR.08	grant of right/license to the HIE (and its users) to access the data provided; including limitations on use
PR.09	compliance with applicable law
PR.10	obligation to obtain and maintain compliant software/hardware necessary to utilize the HIE
PR.11	training of employees/agents
PR.12	Miscellaneous
SH	Software/Hardware (provided by the HIE)
SH.01	description of software/hardware provided
SH.02	grant of right/license to receiver of software/hardware
SH.03	limitations on copying software and other requirements relating to copying software
SH.04	restriction/prohibition on modification of software
SH.05	covenant to execute all licensing or other agreements required by third-party vendors
SH.06	Miscellaneous
PY	Privacy
PY.01	compliance with HIPAA privacy generally
PY.02	compliance with state law
PY.03	breach of confidentiality (improper use of data)
PY.04	business associate
PY.05	use of protected health information
PY.06	agents/subcontractors of the participant
PY.07	access to PHI; right to inspect and copy
PY.08	amendment of PHI
PY.09	reports of disclosure of PHI

Code	Categories/Subcategories
PY.10	availability of records to HHS
PY.11	survival of privacy provisions after termination of agreement with the HIE
PY.12	Miscellaneous
SE	Security
SE.01	compliance with HIPAA security generally
SE.02	breach of security
SE.03	administrative safeguards
SE.04	technical safeguards
SE.05	physical safeguards
SE.06	agents/subcontractors of the participant
SE.07	Miscellaneous
TT	Term and Termination
TT.01	Term
TT.02	Termination generally
TT.03	Termination for cause
TT.04	Termination without cause
FC	Fees/Consideration
FC.01	fee schedule
FC.02	payment of fees
FC.03	change in fees
FC.04	additional costs/charges
FC.05	suspension of service
FC.06	Miscellaneous
CP	Confidentiality of Proprietary Information
CP.01	scope of information covered/definition
CP.02	scope of allowed/disallowed disclosure
CP.03	Remedies
CP.04	Miscellaneous
DI	Disclaimers
DI.01	disclaimers regarding use of network
DI.02	disclaimers regarding quality, accuracy, completeness, timing, etc. of services or data
DI.03	disclaimers regarding action/omission of other participants
DI.04	disclaimers regarding patient care
DI.05	disclaimers regarding participant's use of data
DI.06	limitation on HIE liability
DI.07	Miscellaneous
IN	Insurance
IN.01	participant requirement
IN.02	HIE requirement
IN.03	Miscellaneous
IM	Indemnification
IM.01	indemnification of participant
IM.02	indemnification of the HIE
IM.03	participant's indemnification of other participants
IM.04	Miscellaneous

Code	Categories/Subcategories
BP	Boilerplate contract provisions/general contract provisions
BP.01	applicable law
BP.02	venue; jurisdiction
BP.03	assignability/nonassignability
BP.04	Third-party beneficiaries
BP.05	force majeure
BP.06	Severability
BP.07	Notice
BP.08	Waiver
BP.09	Breach
BP.10	Miscellaneous