

Appendix A. 2015 Edition Health IT Certification Criteria							
Proposed CFR Citation	Certification Criterion	Estimated Average Developmental Hours ²⁷⁰ Av. Low/Av. High	Proposed Privacy and Security Certification Requirements ²⁷¹ (Approach 1)	Conditional Certification Requirements (§ 170.550)	Gap Certification Eligibility	Proposed Inclusion in 2015 Edition Base EHR Definition	Relationship to the Proposed CEHRT ²⁷² Definition and Proposed EHR Incentive Programs Stage 3 Objectives
§ 170.315 (a)(1)	Computerized Provider Order Entry (CPOE) – medications	0/50	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(1) § 170.314(a)(18)	Included ²⁷³	Objective 4
§ 170.315 (a)(2)	CPOE – laboratory	1,000/2,000	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included ²⁷⁴	Objective 4
§ 170.315 (a)(3)	CPOE – diagnostic imaging	0/50	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(1) § 170.314(a)(20)	Included ²⁷⁵	Objective 4
§ 170.315 (a)(4)	Drug-drug, Drug-allergy Interaction Checks for CPOE	400/800	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 3
§ 170.315 (a)(5)	Demographics	500/1,000	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(6)	Vital Signs, BMI, and Growth Charts	614/922	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4)	Not eligible	Not included	No relationship

²⁷⁰ Please see section VIII (“Regulatory Impact Statement”) of the preamble for information on how estimated development hours were calculated. To note, certification to the 2014 Edition serves as a foundation for estimating costs. For unchanged certification criteria, in establishing our cost estimates for this proposed rule, we used burden hours multiplied by all health IT developers previously certified to the 2014 Edition version of the certification criteria to account for new entrants. These burden hour estimates are not estimates for development of a new product to meet one or more of these certification criteria. For certification criteria not associated with the EHR Incentive Programs Stage 3, there is a 60% reduction in burden hours. This reduction is due to our estimate that health IT developers would develop 1 product instead of 2.5 products to each of the certification criteria.

²⁷¹ We propose to require that an ONC-ACB must ensure that a Health IT Module presented for certification to any of the certification criteria that fall into the regulatory functional categories of § 170.315 for which privacy and security certification requirements apply either pursues approach 1 (detailed in the table) or approach 2: Demonstrate, through system documentation sufficiently detailed to enable integration, that the Health IT Module has implemented service interfaces for each applicable privacy and security certification criterion that enable the Health IT Module to access external services necessary to meet the privacy and security certification criterion.

²⁷² CMS’ CEHRT definition would include the criteria adopted in the Base EHR definition. For more details on the CEHRT definition, please see the CMS EHR Incentive Programs proposed rule published elsewhere in this issue of the **Federal Register**.

²⁷³ Technology needs to be certified to § 170.315(a)(1), (a)(2), or (a)(3).

²⁷⁴ Technology needs to be certified to § 170.315(a)(1), (a)(2), or (a)(3).

²⁷⁵ Technology needs to be certified to § 170.315(a)(1), (a)(2), or (a)(3).

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§ 170.315 (a)(7)	Problem List	100/200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(8) § 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(8)	Medication List	0/50	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(6)	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(9)	Medication Allergy List	0/50	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(7)	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(10)	Clinical Decision Support	600/1,200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	Objective 3
§ 170.315 (a)(11)	Drug-formulary and Preferred Drug List Checks	310/620	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 2
§ 170.315 (a)(12)	Smoking Status	100/200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(13)	Image Results	0/20	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(12)	Not included	No relationship
§ 170.315 (a)(14)	Family Health History	100/200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	CEHRT ²⁷⁶
§ 170.315 (a)(15)	Family Health History – pedigree	500/1,200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	CEHRT ²⁷⁷
§ 170.315 (a)(16)	Patient List Creation	0/20	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(14)	Not included	No relationship
§ 170.315 (a)(17)	Patient-specific Education Resources	600/1,200	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 5
§ 170.315 (a)(18)	Electronic Medication Administration Record	0/20	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314(a)(16)	Not included	No relationship

²⁷⁶ Technology needs to be certified to § 170.315(a)(14) or (a)(15).

²⁷⁷ Technology needs to be certified to § 170.315(a)(14) or (a)(15).

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§ 170.315 (a)(19)	Patient Health Information Capture	500/1,000	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	CEHRT Objective 6
§ 170.315 (a)(20)	Implantable Device List	1,100/1,700	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	No additional relationship beyond the Base EHR Definition
§ 170.315 (a)(21)	Social, Psychological, and Behavioral Data	235/470	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (a)(22)	Decision Support – knowledge artifact	394/788	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (a)(23)	Decision Support – service	229/458	§ 170.315(d)(1) through (d)(7)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (b)(1)	Transitions of Care	1,550/3,100	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Included	Objective 7
§ 170.315 (b)(2)	Clinical Information Reconciliation and Incorporation	600/1,200	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Not included	Objective 7
§ 170.315 (b)(3)	Electronic Prescribing	1,050/2,100	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 2
§ 170.315 (b)(4)	Incorporate Laboratory Tests and Values/Results	313/626	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(3) § 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (b)(5)	Transmission of Laboratory Test Reports	360/720	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (b)(6)	Data Portability	800/1,200	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(6)	Not eligible	Included	No additional relationship beyond the Base EHR

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			(d)(5) through (d)(8)	§ 170.315(g)(8)			Definition
§ 170.315 (b)(7)	Data Segmentation for Privacy – send	450/900	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (b)(8)	Data Segmentation for Privacy – receive	450/900	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (b)(9)	Care Plan	300/500	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (c)(1)	Clinical Quality Measures – record and export	200/500	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Included	CEHRT
§ 170.315 (c)(2)	Clinical Quality Measures – import and calculate	0/200	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (c)(3)	Reserved for Clinical Quality Measures - record	Reserved	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	Reserved	Reserved	Reserved ²⁷⁸
§ 170.315 (c)(4)	Clinical Quality Measures – filter	316/632	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315 (d)(1)	Authentication, Access Control, Authorization	0/50	Not applicable (N/A)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(1)	Not included	No relationship
§ 170.315 (d)(2)	Auditable Events and Tamper-resistance	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(2)	Not included	No relationship
§ 170.315 (d)(3)	Audit Report(s)	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(3)	Not included	No relationship
§ 170.315 (d)(4)	Amendments	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(4)	Not included	No relationship
§ 170.315	Automatic Access Time-out	0/50	N/A	§ 170.315(g)(4)	§ 170.314(d)(5)	Not included	No relationship

²⁷⁸ As discussed in the preamble for the “clinical quality measures – report” criterion, additional CQM certification policy may be proposed in or with CMS payment rules in CY15. As such, additional CQM certification criteria may be proposed for the Base EHR and/or CEHRT definitions.

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(d)(5)				§ 170.315(g)(8)			
§ 170.315(d)(6)	Emergency Access	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(6)	Not included	No relationship
§ 170.315(d)(7)	End-User Device Encryption	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(7)	Not included	No relationship
§ 170.315(d)(8)	Integrity	0/50	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(8)	Not included	No relationship
§ 170.315(d)(9)	Accounting of Disclosures	0/20	N/A	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(d)(9)	Not included	No relationship
§ 170.315(e)(1)	View, Download, and Transmit to 3 rd Party	1,000/2,000	§ 170.315(d)(1) through (d)(3), (d)(5), and (d)(7)	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Not included	Objective 5 Objective 6
§ 170.315(e)(2)	Secure Messaging	0/50	§ 170.315(d)(1) through (d)(3), (d)(5), and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314(e)(3)	Not included	Objective 6
§ 170.315(f)(1)	Transmission to Immunization Registries	680/1,360	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8 ²⁷⁹
§ 170.315(f)(2)	Transmission to Public Health Agencies – syndromic surveillance	480/960	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8
§ 170.315(f)(3)	Transmission to Public Health Agencies – reportable laboratory tests and values/results	520/1,040	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8
§ 170.315(f)(4)	Transmission to Cancer Registries	500/1,000	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8
§ 170.315(f)(5)	Transmission to Public Health Agencies – case reporting	500/1,000	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8

²⁷⁹ For the public health certification criteria in § 170.315(f), technology would only need to be certified to those criteria that are required to meet the options the provider intends to report in order to meet the proposed Objective 8: Public Health and Clinical Data Registry Reporting.

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§ 170.315 (f)(6)	Transmission to Public Health Agencies – antimicrobial use and resistance reporting	500/1,000	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8
§ 170.315 (f)(7)	Transmission to Public Health Agencies – health care surveys	500/1,000	§ 170.315(d)(1) through (d)(3) and (d)(7)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	Objective 8
§ 170.315 (g)(1)	Automated Numerator Recording	400/800	N/A	§ 170.315(g)(4)	Fact-specific	Not included	CEHRT
§ 170.315 (g)(2)	Automated Measure Calculation	600/1,200	N/A	§ 170.315(g)(4)	Fact-specific	Not included	CEHRT
§ 170.315 (g)(3)	Safety-Enhanced Design	300/600	N/A	N/A	Fact-specific	Not included	No relationship
§ 170.315 (g)(4)	Quality Management System	400/800	N/A	N/A	Not eligible	Not included	No relationship
§ 170.315 (g)(5)	Accessibility Technology Compatibility	800/1400	N/A	N/A	Not eligible	Not included	No relationship
§ 170.315 (g)(6)	Consolidated CDA Creation Performance	400/1,000	N/A	N/A	Not eligible	Not included	No relationship
§ 170.315 (g)(7)	Application Access to Common Clinical Data Set	500/1,000	N/A	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Included	Objective 5 Objective 6
§ 170.315 (g)(8)	Accessibility-Centered Design	50/100	N/A	N/A	Not eligible	Not included	No relationship
§ 170.315 (h)(1)	Direct Project	0/50	§ 170.315(d)(1) through (d)(3)	§ 170.315(b)(1) § 170.315(g)(4) § 170.315(g)(8)	§ 170.314 and § 170.314	Included ²⁸⁰	No relationship beyond the Base EHR Definition
					(b)(1)(i)(A) and (b)(2)(ii)(A) § 170.314(h)(1)		
§ 170.315 (h)(2)	Direct Project, Edge Protocol, and XDR/XDM	0/50	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314 (b)(1)(i)(B), § 170.314	Included ²⁸²	No relationship beyond the Base EHR Definition

²⁸⁰ Technology needs to be certified to § 170.315(h)(1) or (h)(2).

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§ 170.315(h)(3)	SOAP Transport and Security Specification and XDR/XDR for Direct Messaging	0/20	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	(b)(2)(ii)(B), and § 170.314(b)(8) ²⁸¹ 170.314(b)(8) ²⁸³ and 170.314(h)(2)	Not included	No relationship
§ 170.315(h)(4)	Healthcare Provider Directory – query request	120/240	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	§ 170.314 (b)(1)(i)(C) and § 170.314 (b)(2)(ii)(C) § 170.314(h)(3)	Not included	No relationship
§ 170.315(h)(5)	Healthcare Provider Directory – query response	120/240	§ 170.315(d)(1) through (d)(3)	§ 170.315(g)(4) § 170.315(g)(8)	Not eligible	Not included	No relationship
§ 170.315(j)(1)	Electronic Submission of Medical Documentation	1000/200	§ 170.315(d)(1) through (d)(3) and (d)(5) through (d)(8)	§ 170.315(g)(4) § 170.315(g)(6) § 170.315(g)(8)	Not eligible	Not included	No relationship

[FR Doc. 2015-06612 Filed: 3/20/2015 03:00 pm; Publication Date: 3/30/2015]

²⁸² Technology needs to be certified to § 170.315(h)(1) or (h)(2).

²⁸¹ Technology must have been certified to both edge protocol methods specified by the standard in § 170.202(d) to be gap certification eligible.

²⁸³ Technology must have been certified to both edge protocol methods specified by the standard in § 170.202(d) to be gap certification eligible.