**OntarioMD**

OntarioMD Inc.

# Electronic Medical Records

# SPECIFICATION

# Appendix H – Additional Requirements FINAL

(Section 7.3 Subject to Change)

Date: April 1, 2012

Version: 4.1

**Ontario**
eHealth Ontario

# TABLE OF CONTENTS

# 1   INTRODUCTION

This document defines certain additional requirements to be observed by the Vendor in each of its EMR Offerings in order to provide additional certainty for physicians relating to EMR Offering initial implementation, upgrades and service level agreements under Ontario's EMR Funding Programs.

The Vendor will not be required to submit their EMR Offering to OntarioMD for a formal validation process. Conformance to the requirements in this Specification will be monitored using monthly report submissions to OntarioMD by the Vendor.

# 2   DEFINITIONS, ACRONYMS AND ABBREVIATIONS

| TERM | MEANING |
|---|---|
| Appendix | This Appendix H. |
| Client Agreement | A contract between the Vendor and its customer or client for the provision of the Vendor's EMR Offering. |
| Mandatory EMR Funding Eligibility Schedule | The schedule entitled **Mandatory EMR Funding Eligibility Schedule** that is required by Section 5 of this Appendix to be affixed to and become part of a Client Agreement. |
| Other Definitions | As set out in the EMR Funding Eligibility Agreement. |
| General Availability | 'General Availability' occurs when the EMR Offering has completed the Vendor's quality assurance and beta testing processes and is deemed fit by the Vendor for general deployment to all customers; and the EMR Offering has completed the Validation Process as defined by OntarioMD. <br><br> A Spec Release General Availability date is determined by OntarioMD when most or all EMR Offerings for a new EMR Specification have completed the Reference Site stage and are Funding Eligible. For example, for Specification 4.1 (which includes Specification 4.0 and this Appendix), the Spec Release General Availability date is April 1, 2012. <br><br> The Fix Release General Availability date is the date the Offering is generally available after the Vendor has remediated any deficiencies under the current EMR Specification, completed the required Validation Process and has been approved by OntarioMD for release. |
| Technical Implementation Complete | 'Technical Implementation Complete' occurs when the EMR Offering is fully configured and ready for use in the live production environment at the Customer's site, with all functionality as defined in the Customer Agreement. This includes the completion of agreed upon hardware and software installation, training and data migration. |
| Technical Implementation Completion Date | The date that the Technical Implementation Complete has been achieved. |

| TERM | MEANING |
|---|---|
| Spec Release | A 'Spec Release' or 'Specification Release' is defined as a version of the Offering that is issued to meet a new/updated Ontario EMR Specification. |
| Fix Release | A 'Fix Release' is defined as an upgrade to the Offering that is issued to bring the Offering into alignment with the current Ontario EMR Specification. |
| Upgrade Implementation Date | Upgrade Implementation Date is the date when a Spec Release or Fix Release has been implemented at the Customer's site and is fully configured and ready for use in the live production environment, with all functionality as defined in the Customer Agreement. It includes the completion of any required and agreed upon hardware and software installation, training and data migration associated with the Release. |
| Certificate | 'Certificate' means the document issued by OntarioMD to Vendor respecting its Offering, following the successful completion of the Validation of the Offering under the Program, confirming that such Offering met or exceeded, as of the date of completion of the Validation process, the Baseline Requirements set out in the applicable Specification. |

# 3 RELATED DOCUMENTS AND REFERENCES

The following table lists all documents related to, or referenced by, this document:

| DOCUMENT NAME | VERSION | DATE |
|---|---|---|
| EMR Specification 4.0 Main Document | Final /v4.0 | January 17, 2011 |
| Mandatory EMR Funding Eligibility Schedule | Final /v4.1 | April 1, 2012 |

# 4   VENDOR – CLIENT AGREEMENT REQUIREMENT

Each Client Agreement must have appended to it as a schedule the Mandatory EMR Funding Eligibility Schedule. Without limiting the provisions of the applicable Specification, the Mandatory EMR Funding Eligibility Schedule sets out the minimum requirements of every Client Agreement as to the matters set out in the Mandatory EMR Funding Eligibility Schedule, but the Vendor is free to provide additional benefits to the client or customer named in the Client Agreement if it wishes. The Mandatory EMR Funding Eligibility Schedule will be attached to every Client Agreement as a schedule forming part of the Client Agreement.

# 5   SUSPENSION OF FUNDING ELIGIBILITY

OntarioMD has the right, as set out in the EMR Funding Eligibility Agreement, to withdraw the Certificate for the Vendor's EMR Offering under certain circumstances.  The result will be that the Offering will be ineligible for funding. OntarioMD has decided that withdrawal of the Certificate may, in some circumstances, not be beneficial to physicians and so it reserves the right, in its sole and unfettered discretion, to suspend funding eligibility for the EMR Offering until such time as any breach by the Vendor is cured to the satisfaction of OntarioMD.  Such breaches may include persistent failures to observe and carry out Service Levels and Remedies and failure to observe and carry out Vendor's obligations in the Mandatory EMR Funding Eligibility Schedule forming a part of any Client Agreement.

# 6   RIGHT OF CLIENT/CUSTOMER TO CANCEL CLIENT AGREEMENT

Notwithstanding anything contained in a Client Agreement, if the EMR Offering's Funding Eligibility is suspended or revoked, a Vendor that has not yet achieved the Technical Implementation Completion Date under Ontario's EMR Adoption Program, or the Upgrade Implementation Date within the required time line under Ontario's EMR Upgrade Funding Program at a Client/Customer site, that Client/Customer shall have the right to terminate the Client Agreement. In such circumstances, the obligations of the Vendor regarding data portability will be observed and carried out for the benefit of the Client/Customer and the Vendor will refund to the Client/Customer any prepaid subscription, lease, rental or license fees.

# 7 SERVICE ORIENTED REQUIREMENTS

## 7.1 REQUIREMENTS

| Requirement | Guidelines | SLA Measurement, Reporting and Success Criteria |
|---|---|---|
| a) Implement the EMR Offering to a "Technical Implementation Complete" state according to the contracted terms, conditions and dates agreed to with the Customer in the Client Agreement. | The Vendor is free to agree to a phased approach with the Customer. For the purposes of this requirement, a phase is defined as the work required to achieve 'Technical Implementation Complete' for a single site or set of sites that makes up part of a larger multi-site group. In this case each phase must have a Technical Implementation Completion Date for each site or set of sites.<br><br>The Technical Implementation Complete Date must be no more than allowed in the Customers' EMR Program Funding Terms and Conditions.<br><br>Any changes to the date(s) must be mutually agreed upon between the Vendor and Customer and documented using the Vendor's official Change Request process.<br><br>Changes in dates must be reported immediately in writing to OntarioMD at emr@ontariomd.com using the OntarioMD's Notice of Change template. | • To be reported on a monthly basis within five (5) business days of the end of each month using the template in Section 7.3:<br> ▪ Number of 'Technical Implementations' planned for the previous month including Customer/site name and other relevant information.<br> ▪ Number of 'Technical Implementations' completed on schedule for the previous month including Customer/site name and other relevant information.<br> ▪ Number of 'Technical Implementations' scheduled for the next month including Customer/site name and other relevant information.<br>• 'Technical Implementation Completes' are counted at the site level.<br>Where a Vendor is unable to attain Technical Implementation Complete as agreed upon, the Vendor will have a period of one month to remedy the implementation or Funding Eligibility may be suspended. |
| b) Deployment of a Spec Release within eight (8) months of General Availability. | A Spec Release or Fix Release must be deployed to all client/customers within eight (8) months of General Availability.<br><br>Customers participating in Ontario's EMR funding programs are obligated to upgrade when releases become Generally Available.<br><br>All Customers must be notified in writing that the release is Generally Available and the Vendor must schedule the upgrade date in consultation with the Customer. | • To be reported on a monthly basis within five (5) business days of the end of each month using the template in Section 7.3 for the following information:<br> a) Required target date to complete all Spec Release upgrades.<br> b) Total number of funded sites and physicians.<br> c) Total number of funded sites and physicians that refused the upgrade. List the name and other relevant information.<br> d) Total number of funded sites and physicians to |

| Requirement | Guidelines | SLA Measurement, Reporting and Success Criteria |
|---|---|---|
| | If a Customer refuses the upgrade, the Vendor must notify OntarioMD immediately in writing at emr@ontariomd.com.<br><br>OntarioMD will verify all refusals and contact the Vendor if there is a dispute as to why the upgrade was refused.<br><br>Any changes to the upgrade date must be agreed upon by Vendor and Customer and documented using the Vendor's official Change Request process.<br><br>Changes in dates must be reported immediately in writing to OntarioMD at emr@ontariomd.com using the OntarioMD's Notice of Change template. | be upgraded.<br>e) Total number of funded sites that are presenting scheduling challenges, including names and other relevant information.<br>f) For the eight month upgrade period, list the number of sites and physicians by month:<br>   i. Original planned for upgrades.  Note this planned number is set for the first reporting period and will not change in subsequent reports.<br>   ii. Forecast, where the forecast is the actual for completed months and planned for months yet to be done.<br>   iii. Completed<br>Where a Vendor is unable to complete the upgrades within eight months as required, the Vendor will have a period of one month to remedy the situation by completing the upgrades or Funding Eligibility may be suspended. |
| c) Deployment of a Fix Release within four (4) months or sooner, as specified by OntarioMD, of General Availability. | A Fix Release must be deployed to all Clients/Customers within four (4) months or sooner, as specified by OntarioMD, of General Availability.<br><br>Where the Fix Release corrects critical functionality, such as patient safety, privacy and/or security issues, OntarioMD may, at its discretion, require that a Fix Release be deployed to all Clients/Customers sooner than four months.<br><br>Customers participating in Ontario's EMR funding programs are obligated to upgrade when releases become Generally Available.<br><br>All Customers must be notified in writing that the release is Generally Available and the Vendor must schedule the upgrade date in consultation with the Customer.<br><br>If a Customer refuses the upgrade, the Vendor must notify OntarioMD immediately in writing to emr@ontariomd.com. | • To be reported on a monthly basis within five (5) business days of the end of each month using the template in Section 7.3 for the following information:<br>a) Required target date to complete all Fix Release upgrades.<br>b) Total number of funded sites and physicians.<br>c) Total number of funded sites and physicians that refused the upgrade. List the name and other relevant information.<br>d) Total number of funded sites and physicians to be upgraded.<br>e) Total number of funded sites that are presenting scheduling challenges, including name and other relevant information.<br>f) For the four month upgrade period, list the number of sites and physicians by month: |

| Requirement | Guidelines | SLA Measurement, Reporting and Success Criteria |
|---|---|---|
| | OntarioMD will verify all refusals and contact the Vendor if there is a dispute as to why the upgrade was refused.<br><br>Any changes to the upgrade date must be agreed upon by Vendor and Customer and documented using the Vendor's official Change Request process. | i. Original planned for upgrades. Note this planned number is set for the first reporting period and will not change in subsequent reports.<br>ii. Forecast, where the forecast is the actual for completed months and planned for months yet to be done.<br>iii. Completed<br>Where a Vendor is unable to complete the upgrades within four months or sooner as required, the Vendor will have a period of one month to remedy the situation by completing the upgrades or Funding Eligibility may be suspended. |
| d) Issue a Release Notification with every Release to all funded Customers and to OntarioMD. | A Release Notification must contain, at a minimum, the following information:<br><br>1. Release note identifier (name, date, Vendor's version #)<br>2. What's new (overview of new features, enhancements, main reason of the release)<br>3. How to obtain the complete Release Notes (e.g., a link to Vendor's web site)<br><br>All releases must be accompanied by written Release Notification to the Customer.<br><br>The Release Notification must indicate that the release is required for Ontario EMR Funding Eligibility.<br><br>The Release Notification must be communicated to funded Customers and sent to OntarioMD (emr@ontariomd.com) as soon as the release is Generally Available. | |
| e) Make Release Notes for each Release available to all Customers and OntarioMD. | The Release Notes must contain, at a minimum, the following information:<br><br>1. Features and changes (new features, defects corrected, caveats etc.)<br>2. Outstanding issues (unresolved defects, if any, workarounds, installation issues etc.) | |

| Requirement | Guidelines | SLA Measurement, Reporting and Success Criteria |
|---|---|---|
| | 3. System Requirements (hardware, resources, software/third-party platforms/modules/etc. e.g. fax servers, scanners, printers, with Vendor's version numbers/dates)<br>4. Installation instructions/notes/guide (how to install, how to obtain guide)<br>5. Upgrade instructions/notes/guide (how to upgrade, how to obtain guide)<br>6. Known issues or limitations of the release, e.g., a known bug, etc.<br>7. Contact information for support<br>8. Other Resources and Links<br><br>The following information is also helpful to include:<br><br>1. Troubleshooting<br>2. Frequently Asked Questions (FAQ)<br>3. Disclaimer<br><br>Release Notes must be available for all releases.<br><br>Release Notes must be sent to OntarioMD at emr@ontariomd.com. | |
| f) Submit to OntarioMD the EMR Offering's database field mapping to Core Data Set data elements (Appendix B and CDS XML schema). | Submit field mapping of Database to Core Data Set (CDS) elements including:<br><br>1. References to source database table and data element, e.g. table name and column name<br>2. Illustration of any conversion logic that would be needed between source and destination elements, e.g. concatenate database elements A and B to get CDS element C<br><br>Any updates to the EMR Offering's database field mapping to Core Data Set data elements must be submitted to OntarioMD. | Initial submission to OntarioMD by July 6, 2012.<br><br>Updates (if any) must be submitted to OntarioMD with the Release Notes of the respective version/build. |

## 7.2 INFORMATION TO BE PUBLISHED

OntarioMD will publish on the OntarioMD.ca web site the following information on a monthly basis:

1. For Technical Implementations:
   a. Number of 'Technical Implementations' committed to for the reporting month and year to date.
   b. Number of 'Technical Implementations' completed on schedule for the reporting month and year to date.
   c. On-time completion rate

2. For each Spec Release and Fix Releases:
   a. General Availability date of the release.
   b. Date to complete the roll out of the release.
   c. Total number of funded sites to be upgraded (not including refusals).
   d. Total number of funded sites upgraded.
   e. Total number of funded sites remaining to be upgraded.

Publication Date: April 1, 2012

A mock-up of the information presented on OntarioMD.ca website is shown below.

**VENDOR XYZ**

Funding Status                                  **Funding Eligible**

Reporting Period                                **May-12**

## New Implementations

|  | May-12 | Year To Date |
|---|---|---|
| Total Sites Scheduled | 5 | 23 |
| Total Sites Completed On Schedule | 5 | 23 |
|  |  |  |
| % Complete on Time This Month | 100% |  |

## Spec Release

| **Release General Availability Date** | 1-Apr-12 |  |
|---|---|---|
| **Target Completion Date** | 30-Nov-12 |  |
| **Version Number** | 10.0 |  |
| **Total Funded Sites to Complete** | 45 |  |
|  | **May-12** | **Release To Date** |
| Total Sites Scheduled | 3 | 10 |
| Total Sites Completed On Schedule | 3 | 10 |
|  |  |  |
| Total Upgrades Remaining | 35 |  |
| Completion Rate | 22% |  |

## Fix Release

| **Release General Availability Date** | 1-May-12 |  |
|---|---|---|
| **Target Completion Date** | 31-Aug-12 |  |
| **Version Number** | 10.1 |  |
| **Total Funded Sites to Complete** | 45 |  |
|  | **May-12** | **Release To Date** |
| Total Sites Scheduled | 1 | 1 |
| Total Sites Completed On Schedule | 1 | 1 |
|  |  |  |
| Total Upgrades Remaining | 44 |  |
| Completion Rate | 2% |  |

Publication Date: April 1, 2012

## 7.3  MONTHLY REPORTING TEMPLATE (SUBJECT TO CHANGE)

The following templates (which have been populated by information for example only) must be used for all monthly reporting. A soft copy is available on the OntarioMD website, www.ontariomd.com.

**Technical Implementation Completion Reporting for the Period Ending October 31, 2012**

**EMR Vendor**                    ABC
**EMR Offering**                  ABC-EMR4

**Reporting Date**                **October 31, 2012**

| Group (MOHLTC Group Name) | #Sites | Site Name/Address | # MDs | Lead MD | Agreement Signed Date | Original Agreement Date for Site | Revised Date for Site | Actual Date | Days Left | Days Over | Status (Complete on Schedule, Complete Late) | Comments |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | | | | |
| First FHO | 1 | Town Centre | 10 | Dr. Jones | 10-Apr-12 | 15-Sep-12 | | | - | (46) | | |
| ZZZ FHG | 1 | King St Clinic | 4 | Dr. Ed | 26-Apr-12 | 7-Oct-12 | | | - | (24) | | |
| Last FHT | 1 | Last St Clinic | 5 | Dr. Doe | 27-Apr-12 | 15-Oct-12 | 30-Oct-12 | 30-Oct-12 | - | - | Complete on Sched | |
| ABC FHO | 3 | Main Street | 5 | Dr. Bob | 16-Apr-12 | 30-Oct-12 | | 31-Oct-12 | - | - | Complete Late | |
| | | East & West Clincs | 8 | Dr. Jones | | 15-Nov-12 | | | 15 | - | | |
| | | Medical Centre | 4 | Dr. Smith | | 30-Nov-12 | | | 30 | - | | |
| | | | | | | | | | | | | |
| **Total** | 6 | | 36 | | | | | | | | | |
| **Over Due** | 2 | | 14 | | | | | | | | | |

(Section 7.3 Subject to Change)

Publication Date: April 1, 2012

**Specification/Fix Release Deployment Reporting for the Period Ending October 31, 2012**

**EMR Vendor**                          ABC
**EMR Offering/Version Number**   ABC-EMR4 v1.1

**Reporting Date**          **October 31, 2012**

**EMR Specification**              4.1
**Release Type (Spec/Fix)**        Spec
**Release General Availability**   April 1, 2012
**Target Completion Date**         November 30, 2012

| Summary | Total Funded | | Planned and Actual or *Forecast* Upgrades: April to November 2012 | | | | | | | | | | | | | | | Comments |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| | | | Month 1 April | | Month 2 May | | Month 3 June | | Month 4 July | | Month 5 August | | Month 6 September | | Month 7 October | | Month 8 November | | |
| | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | #Sites | # MDs | |
| Total Funded Install Base | 45 | 138 | | | | | | | | | | | | | | | | | |
| Refused | 3 | 12 | | | | | | | | | | | | | | | | | |
| Total Funded Upgrades | 42 | 126 | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Original Plan | 42 | 126 | 3 | 10 | 6 | 22 | 8 | 20 | 3 | 10 | 3 | 13 | 10 | 31 | 7 | 18 | 2 | 2 | |
| Forecast | 42 | 126 | 2 | 8 | 6 | 22 | 9 | 21 | 2 | 8 | 2 | 10 | 10 | 31 | 8 | 20 | 3 | 6 | |
| Variance Forecast to Planned | - | - | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | |
| Completed (Actuals) | 39 | 120 | 2 | 8 | 6 | 22 | 9 | 21 | 2 | 8 | 2 | 10 | 10 | 31 | 8 | 20 | | | |
| Remaining | 3 | 6 | | | | | | | | | | | | | | | | | |

| All Funded Groups to Upgrade (MOHLTC Group Name) | # Sites | # MDs | Current Spec # | Lead MD | Scheduled Date | Revised Date | Completed Date | Comments |
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| Total | - | - | | | | | | |

| Groups Refusing to Upgrade (MOHLTC Group Name) | # Sites | # MDs | Current Spec # | Refusal Date | Lead MD | Reason |
|---|---|---|---|---|---|---|
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| Total | - | - | | | | |

| Groups Presenting Scheduling Challenges (MOHLTC Group Name) | # Sites | # MDs | Current Spec # | Identificaiton Date | Lead MD | Reason |
|---|---|---|---|---|---|---|
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