

**Integrating the Healthcare Enterprise**



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**IHE Quality, Research and Public Health  
(QRPH)  
Technical Framework**

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**Volume 2  
IHE QRPH TF-2  
Transactions**

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135 **1 Introduction**

This document, Volume 2 of the IHE Quality, Research and Public Health (QRPH) Technical Framework, defines transactions used in IHE Quality, Research and Public Health profiles.

**1.1 Introduction to IHE**

140 Integrating the Healthcare Enterprise (IHE) is an international initiative to promote the use of standards to achieve interoperability among health information technology (HIT) systems and effective use of electronic health records (EHRs). IHE provides a forum for care providers, HIT experts and other stakeholders in several clinical and operational domains to reach consensus on standards-based solutions to critical interoperability issues.

145 The primary output of IHE is system implementation guides, called IHE Profiles. IHE publishes each profile through a well-defined process of public review and trial implementation and gathers profiles that have reached final text status into an IHE Technical Framework, of which this volume is a part.

150 For more general information regarding IHE, refer to [www.ihe.net](http://www.ihe.net). It is strongly recommended that, prior to reading this volume, the reader familiarizes themselves with the concepts defined in the *IHE Technical Frameworks General Introduction*.

**1.2 Intended Audience**

The intended audience of IHE Technical Frameworks Volume 2 is:

- IT departments of healthcare institutions
- Technical staff of vendors participating in the IHE initiative
- Experts involved in standards development

**1.3 Overview of Technical Framework Volume 2**

Volume 2 is comprised of several distinct sections:

- Section 1 provides background and reference material.
- Section 2 presents the conventions used in this volume to define the transactions.
- Section 3 defines Quality, Research and Public Health transactions in detail, specifying the roles for each actor, the standards employed, the information exchanged, and in some cases, implementation options for the transaction.

160 The appendices in Volume 2 provide clarification of technical details of the IHE data model and transactions. A glossary of terms and acronyms used in the IHE Technical Framework, including those from relevant standards, is provided in [Appendix D](#) to the *IHE Technical Frameworks General Introduction*. Due to the length of the document, some domains may divide Volume 2 into smaller volumes labeled 2a, 2b, etc. In this case, the Volume 2 appendices are gathered in

170 Volume 2x. Code and message samples may also be stored on the IHE ftp server at [ftp://ftp.ihe.net/TF\\_Implementation\\_Material](ftp://ftp.ihe.net/TF_Implementation_Material). In this case, explicit links to the ftp server will be provided in the transaction text.

## 1.4 Comment Process

175 IHE International welcomes comments on this document and the IHE initiative. Comments on the IHE initiative can be submitted by sending an email to the co-chairs and secretary of the Quality, Research and Public Health domain committees at [qrph@ihe.net](mailto:qrph@ihe.net). Comments on this document can be submitted at [https://www.ihe.net/QRPH\\_Public\\_Comments/](https://www.ihe.net/QRPH_Public_Comments/).

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### 1.5.1 Copyright of Base Standards

190 IHE technical documents refer to and make use of a number of standards developed and published by several standards development organizations. All rights for their respective base standards are reserved by these organizations. This agreement does not supersede any copyright provisions applicable to such base standards.

195 Health Level Seven, Inc. has granted permission to IHE to reproduce tables from the HL7®<sup>1</sup> standard. The HL7 tables in this document are copyrighted by Health Level Seven, Inc. All rights reserved. Material drawn from these documents is credited where used.

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<sup>1</sup> HL7 is the registered trademark of Health Level Seven International.

## 1.7 Disclaimer Regarding Patent Rights

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## 1.8 History of Document Changes

This section provides a brief summary of changes and additions to this document.

Date	Document Revision	Change Summary
2011-09-02	0.1	Trial Implementation Version
2018-10-19	1.0	Initial Final Text version including CRD and DSC Profiles

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## 2 Conventions

This document has adopted the following conventions for representing the framework concepts and specifying how the standards upon which the IHE Technical Framework is based shall be applied.

### 2.1 Transaction Modeling and Profiling Conventions

In order to maintain consistent documentation methods, modeling methods for IHE transactions and profiling conventions for frequently used standards are maintained as [Appendix E](#) to the *IHE Technical Frameworks General Introduction*. Methods described include the Unified Modeling Language (UML) and standards conventions include DICOM<sup>®2</sup>, HL7 v2.x, HL7 Clinical Document Architecture (CDA<sup>®3</sup>) Documents, etc. These conventions are critical to understanding this volume and should be reviewed prior to reading this text.

### 2.2 Additional Standards Profiling Conventions

This section defines profiling conventions for standards which are not described in the *IHE Technical Frameworks General Introduction*.

235 Not Applicable.

### 2.3 Use of Coded Entities and Coding Schemes

Where applicable, coding schemes required by the DICOM, HL7, LOINC, and SNOMED standards are used in IHE Profiles. In the cases where such resources are not explicitly identified by standards, implementations may utilize any resource (including proprietary or local) provided any licensing/copyright requirements are satisfied.

IHE does produce and maintain certain terminology. OIDs and URNs have been assigned for specific uses. The IHE process for managing OIDs and URNs is described at [http://wiki.ihe.net/index.php/OID\\_Registration](http://wiki.ihe.net/index.php/OID_Registration).

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<sup>2</sup> DICOM is the registered trademark of the National Electrical Manufacturers Association for its standards publications relating to digital communications of medical information.

<sup>3</sup> CDA is the registered trademark of Health Level Seven International.

245    **3 IHE Transactions**

This section defines each IHE Quality, Research and Public Health transaction in detail, specifying the standards used and the information transferred.

**3.1 Reserved [QRPH-1]**

**3.2 Reserved [QRPH-2]**

250    **3.3 Reserved [QRPH-3]**

**3.4 Reserved [QRPH-4]**

**3.5 Reserved [QRPH-5]**

**3.6 Reserved [QRPH-6]**

**3.7 Reserved [QRPH-7]**

255    **3.8 Reserved [QRPH-8]**

**3.9 Reserved [QRPH-9]**

**3.10 Reserved for Retrieve Protocol Def (Retired) [QRPH-10]**

**3.11 Reserved for Enter Patient Request (Retired) [QRPH-11]**

260    **3.12 Reserved for Patient Screening Visits Scheduled (Retired) [QRPH-12]**

**3.13 Reserved for Record Patient Screening Visit (Retired) [QRPH-13]**

**3.14 Reserved for Enroll Patient Request (Retired) [QRPH-14]**

**3.15 Reserved for Patient Study Visits Scheduled (Retired) [QRPH-15]**

**3.16 Reserved for Record Patient Study Visit (Retired) [QRPH-16]**

265    **3.17 Reserved for Amend Protocol Def (Retired) [QRPH-17]**

**3.18 Reserved for Alert Protocol State (Retired) [QRPH-18]**

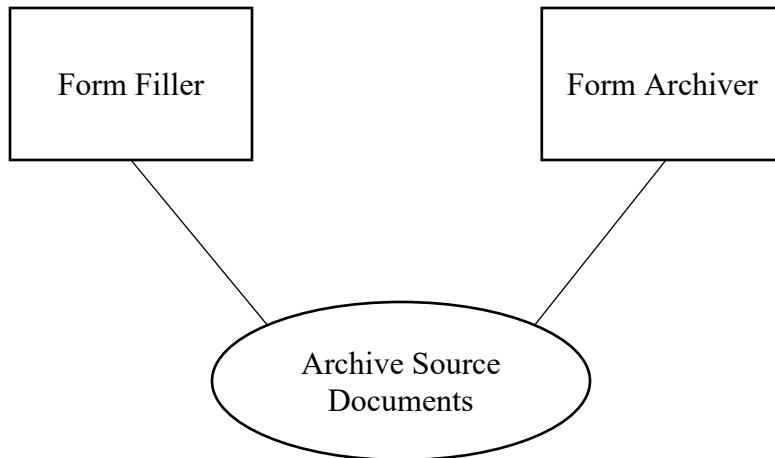
- 3.19 Reserved for Archive Data [QRPH-19]**
- 3.20 Reserved for Retrieve Process Definitions [QRPH-20]**
- 3.21 Reserved for Subscribe [QRPH-21]**
- 270   **3.22 Reserved for Publish Process Definitions [QRPH-22]**
- 3.23 Reserved for Initiate Activity (Retired) [QRPH-23]**
- 3.24 Retired [QRPH-24]**
- 3.25 Reserved for Initiate Process [QRPH-25]**
- 3.26 Reserved for Retrieve Activities [QRPH-26]**
- 275   **3.27 Reserved for Update Activity [QRPH-27]**
- 3.28 Reserved for Send Process State Alert [QRPH-28]**
- 3.29 Reserved for Request Medical Knowledge [QRPH-29]**
- 3.30 Reserved for Send Distribution Message [QRPH-30]**
- 3.31 Reserved for Send Export Document [QRPH-31]**
- 280   **3.32 Reserved for Return Redacted Document [QRPH-32]**
- 3.33 Reserved for Retrieve Extraction Specification [QRPH-33]**
- 3.34 Reserved for NANI Feed [QRPH-34]**
- 3.35 Reserved for NANI Publish [QRPH-35]**
- 3.36 Archive Source Documents [QRPH-36]**

285 This section corresponds to transaction [QRPH-36] of the IHE QRPH Technical Framework.  
Transaction [QRPH-36] is used by the Form Filler and Form Archiver Actors.

### **3.36.1 Scope**

This transaction involves a Form Filler archiving content to a Form Archiver. The content of this transaction is similar to that of Retrieve Form [ITI-34].

290 **3.36.2 Actor Roles**



**Actor:** Form Filler

295 **Role:** A forms display and editing system capable of allowing form fields to be completed. This system has information that will be used to complete a form and needs to save a current copy of that information to the Archiver.

**Actor:** Form Archiver

**Role:** A system that receives submitted content for archival purposes.

### **3.36.3 Referenced Standards**

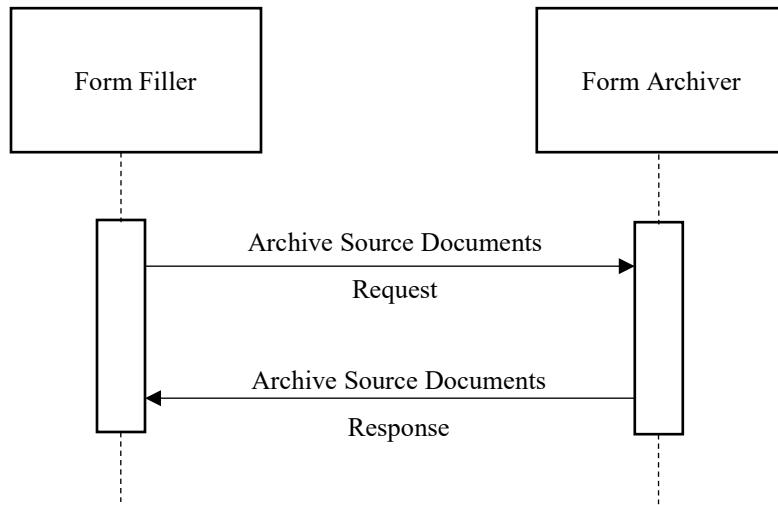
300 Implementors of this transaction shall comply with all requirements described in ITI TF-2x:  
Appendix V: Web Services for IHE Transactions.

IETF RFC1738, Uniform Resource Locators (URL), December 1994,  
<http://www.faqs.org/rfcs/rfc1738.html>

IETF RFC2616 HyperText Transfer Protocol HTTP/1.1

305 Extensible Markup Language (XML) 1.0 (Second Edition). W3C Recommendation 6 October  
2000. <http://www.w3.org/TR/REC-xml>.

### **3.36.4 Interaction Diagram**



310

### **3.36.4.1 Archive Source Documents Request**

Archive Source Documents involves a Form Filler archiving some content to a Form Archiver.

#### **3.36.4.1.1 Trigger Events**

The Form Filler possesses some documents which it wants to archive.

315 **3.36.4.1.2 Message Semantics**

The Form Filler SHALL transmit both the prepData and the workflowData as defined in ITI TF-2b: 3.34 Retrieve Form [ITI-34].

The Form Filler and Form Archiver SHOULD comply with all requirements described in ITI TF-2x: Appendix V: Web Services for IHE Transactions when applicable.

320 The following parameters are specified for this transaction.

Parameter Name	REQ	Description	Value
archiveContent	R	XML containing both prepData and workflowData that is being used to complete a form in the related [ITI-34] transaction.	Any XML further defined by a content profile.

### **3.36.4.1.3    Expected Actions**

325      The Form Archiver SHALL parse the Archive Source Documents Request and SHALL return either a responseCode value of “OK” to indicate success, or a SOAP Fault.

The Form Archiver SHALL use the SOAP Faults defined in Table 3.36.4.1.3-1 when appropriate.

**Table 3.36.4.1.3-1: SOAP Faults**

Description of error	Code	Reason Text
There is missing information, such as no formID	Sender	Required Information Missing

330      An example of a SOAP Fault is:

```
<env:Envelope xmlns:env="http://www.w3.org/2003/05/soap-envelope"  
              xmlns:xml="http://www.w3.org/XML/1998/namespace">  
  <env:Body>  
    <env:Fault>  
      <env:Code>  
        <env:Value>env:Sender</env:Value>  
      </env:Code>  
      <env:Reason>  
        <env:Text xml:lang="en">Required Information Missing</env:Text>  
      </env:Reason>  
    </env:Fault>  
  </env:Body>  
</env:Envelope>
```

345      **3.36.4.1.4    Security Considerations**

The Archive Source Documents is a PHI-Export event, as defined in ITI TF-2a: Table 3.20.4.1.1.1-1.

### **3.36.4.2    Archive Source Documents Response**

350      Archive Source Documents Response involves a Form Archiver responding to an Archive Source Documents Request from a Form Filler.

#### **3.36.4.2.1    Trigger Events**

This message is triggered by a Form Archiver responding to an Archive Source Documents request.

### **3.36.4.2.2 Message Semantics**

- 355 If the Archive Source Documents Request was received by and will be processed by the Form Archiver, the Form Archiver SHALL respond with a SOAP responseCode of OK in the Archive Source Documents Response.
- If the Archive Source Documents Request was received by but will not be processed by the Form Archiver, the Form Archiver SHALL respond with a SOAP Fault in the Archive Source Documents Response.
- 360

### **3.36.4.2.3 Expected Actions**

Form Fillers SHALL be capable of accepting well-formed SOAP faults.

- <http://schemas.xmlsoap.org/wsdl/soap12/>

365 The Form Filler SHOULD be capable of stopping the workflow upon receipt of a SOAP Fault indicating missing data from this transaction.

### **3.36.4.2.4 Security Considerations**

No Patient Health Information is transferred as part of the Archive Source Documents Response transaction. HTTPS SHOULD be used as a method to secure the connection.

## **3.36.5 Protocol Requirements**

- 370 The Archive Source Documents request and response shall be transmitted using Synchronous Web Services Exchange, according to the requirements specified in ITI TF-2x: Appendix V.  
The Archive Source Documents transaction shall use SOAP 12.

### **WSDL Namespace Definitions**

ihei	urn:ihe:qrph:crd:2012
soap12	<a href="http://schemas.xmlsoap.org/wsdl/soap12/">http://schemas.xmlsoap.org/wsdl/soap12/</a>
wsaw	<a href="http://www.w3.org/2005/08/addressing">http://www.w3.org/2005/08/addressing</a>
xsd	<a href="http://www.w3.org/2001/XMLSchema">http://www.w3.org/2001/XMLSchema</a>

- 375 These are the requirements for the Archive Source Documents transaction presented in the order in which they would appear in the WSDL definition:
- The following types shall be imported (xds:import) in the /definitions/types section:
    - Namespace="urn:ihe:qrph:crd:2012", schema="CRD.xsd"
  - The /definitions/message/part/@element attribute of the Archive Source Documents Request message shall be defined as: "ihe:ArchiveSourceDocumentsRequest"
- 380

- The /definitions/message/part/@element attribute of the Archive Source Documents Response message shall be defined as: “ihe:ArchiveSourceDocumentsResponse”
- The /definitions/portType/operation/input/@wsaw:Action attribute for the Archive Source Documents Request message shall be defined as  
“urn:ihe:qrph:2012:ArchiveSourceDocuments”
- The /definitions/portType/operation/output/@wsaw:Action attribute for the Archive Source Documents Response message shall be defined as:  
“urn:ihe:qrph:2012:ArchiveSourceDocumentsResponse”
- The /definitions/binding/operation/soap12:operation/@soapAction attribute shall be defined as “urn:ihe:qrph:2012:ArchiveSourceDocuments”

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These are the requirements that affect the wire format of the SOAP message. The other WSDL properties are only used within the WSDL definition and do not affect interoperability. Sample informative request and response messages are below in 3.36.5.1.1 and 3.36.5.1.2 respectively.

### 3.36.5.1 Sample SOAP Messages

395

The samples in the following two sections show a typical SOAP request and its relative SOAP response. The sample messages also show the WS-Addressing headers <Action/>,  
<MessageID/>, .; these WS-Addressing headers are populated according to the  
ITI TF-2x: Appendix V: Web Services for IHE Transactions. Some of the body of the SOAP  
message is omitted for brevity.

400

#### 3.36.5.1.1 Sample Archive Source Documents SOAP Request

405

```
<soap:Envelope xmlns:soap="http://www.w3.org/2003/05/soap-envelope"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xmlns:xsd="http://www.w3.org/2001/XMLSchema">
  <soap:Header>
    <wsa:To>http://localhost:4040/axis2/services/someservice</wsa:To>
    <wsa:MessageID>urn:uuid:76A2C3D9BCD3AECFF31217932910053</wsa:MessageID>
    <wsa:Action soap:mustUnderstand="1">urn:ihe:qrphi:
2012:RetrieveForm</wsa:Action>
  </soap:Header>
  <soap:Body>
    <ArchiveSourceDocumentsRequest xmlns="urn:ihe:qrph:crd:2012">
      <archiveContent>
        </ArchiveSourceDocumentsRequest >
    </soap:Body>
  </soap:Envelope>
```

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### **3.36.5.1.2 Sample Archive Source Documents SOAP Response**

```
420 <soap:Envelope xmlns:soap="http://www.w3.org/2003/05/soap-envelope"  
      xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"  
      xmlns:xsd="http://www.w3.org/2001/XMLSchema">  
    <soap:Header>  
      <wsa:To>http://localhost:4040/axis2/services/someservice</wsa:To>  
    <wsa:MessageID>urn:uuid:76A2C3D9BCD3AECFF31217932910053</wsa:MessageID>  
    <wsa:Action soap:mustUnderstand="1">urn:ihe:qrph:  
2012:ArchiveSourceDocumentsResponse</wsa:Action>  
    </soap:Header>  
    <soap:Body>  
      <ArchiveSourceDocumentsResponse xmlns="urn:ihe:qrph:crd:2012">  
        <responseCode>OK</responseCode>  
      </ArchiveSourceDocumentsResponse>  
    </soap:Body>  
  </soap:Envelope>
```

435

### **3.37 Reserved for BFDR Feed [QRPH-37]**

### **3.38 Reserved for VRDR Feed [QRPH-38]**

### **3.39 Reserved for HW Feed [QRPH-39]**

### **3.40 Reserved for Retrieve Research Study List [QRPH-40]**

440 **3.41 Reserved for Research Information Subscribe [QRPH-41]**

### **3.42 Reserved for Research Information Notify [QRPH-42]**

### **3.43 Reserved for Retrieve Data Element List [QRPH-43]**

### **3.44 Reserved for Retrieve Metadata [QRPH-44]**

### **3.45 Reserved for Communicate Hearing Screening Data [QRPH-45]**

445 **3.46 Reserved for BFDR Query [QRPH-46]**

### **3.47 Reserved for VRDR Query [QRPH-47]**

**3.48 Reserved for Mobile Retrieve Form [QRPH-48]**

**3.49 Reserved for Mobile Retrieve Capability [QRPH-49]**

450    **3.50 Reserved for Mobile Authorize Form [QRPH-50]**

**3.51 Reserved for Mobile Retrieve Access Token [QRPH-51]**

**3.52 Reserved for Mobile Populate Form [QRPH-52]**

**3.53 Reserved for ADX POST Content [QRPH-53]**

**3.54 Reserved for ADX POST Response [QRPH-54]**

455

# Appendices

## Appendix A – QRPH Audit Record Considerations

- 460 Many profiles defined by the IHE Quality, Research and Public Health domain share and reuse transactions defined in the QRPH domain and other domains (e.g., ITI). This appendix defines audit record content and requirements when an actor in a QRPH profile implements the ATNA Profile and sends audit record events.

### A.1 Retrieve Form [ITI-34] audit messages

- 465 The Retrieve Form transaction MAY be a PHI-Export event as defined in ITI TF-2a: Table 3.20.4.1.1.1-1. Actors that audit this transaction SHALL create audit data in conformance with DICOM “Data Export”/”Data Import”, with the following exceptions.

#### A.1.1 Form Filler audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> AuditMessage/ EventIdentificati on	EventID	M	EV(110106, DCM, “Export”)
	EventActionCode	M	“R” (Read)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-34”, “IHE Transactions”, “Retrieve Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Manager or Form Processor) (1)			
Audit Source (Form Filler) (1)			
Subject (1)			
prepopData (1)			

Where:

<b>Source</b> AuditMessage/ ActiveParticipant	UserID	M	Host system name
	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

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<b>Human Requestor (if known)</b> AuditMessage/ ActiveParticipant	UserID	M	Identity of the human that initiated the transaction.
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	

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	NetworkAccessPointID	NA	
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<b>Destination</b>	UserID	M	SOAP endpoint URI.
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentifi cation	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b> (AuditMessage/ ParticipantObjectI dentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>prepopData</b> (AuditMessage/ ParticipantObjectI dentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Document ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The prepopData Document unique ID
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

### A.1.2 Form Manager audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> <i>AuditMessage/ EventIdentifica tion</i>	EventID	M	EV(110107, DCM, “Import”)
	EventActionCode	M	“C” (Create)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-34”, “IHE Transactions”, “Retrieve Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Manager) (1)			
Audit Source (Form Manager) (1)			
Subject (1)			
prepopData (1)			

Where:

<b>Source</b> <i>AuditMessage/ ActiveParticipant</i>	UserID	M	Host system name
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b> <i>AuditMessage/ ActiveParticipant</i>	UserID	M	Identity of the human that initiated the transaction.
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b>	UserID	M	SOAP endpoint URI
AuditMessage/ ActiveParticipant	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

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<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b> (AuditMessage/ ParticipantObject Identification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>prepopData</b> (AuditMessage/ ParticipantObjectI dentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Document ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The prepopData Document unique ID
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

### A.1.3 Form Processor audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> <i>AuditMessage/ EventIdentifica tion</i>	EventID	M	EV(110107, DCM, “Import”)
	EventActionCode	M	“C” (Create)
	<i>EventDateTime</i>	<i>M</i>	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	<i>M</i>	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-34”, “IHE Transactions”, “Retrieve Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Processor) (1)			
Audit Source (Form Processor) (1)			
Subject (1)			
prepopData (1)			

Where:

<b>Source</b> <i>AuditMessage/ ActiveParticipant</i>	UserID	M	Host system name
	<i>AlternativeUserID</i>	<i>U</i>	<i>not specialized</i>
	<i>UserName</i>	<i>U</i>	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b> <i>AuditMessage/ ActiveParticipant</i>	UserID	M	Identity of the human that initiated the transaction.
	<i>AlternativeUserID</i>	<i>U</i>	<i>not specialized</i>
	<i>UserName</i>	<i>U</i>	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

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<b>Destination</b>	UserID	M	SOAP endpoint URI
AuditMessage/ ActiveParticipant	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	UserName	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address,

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<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>prepopData</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Document ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The prepopData Document unique ID
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

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## A.2 Submit Form [ITI-35] audit messages

500 The Submit Form transaction MAY be a PHI-Export event as defined in ITI TF-2a: Table 3.20.  
4.1.1.1-1. Actors that audit this transaction SHALL create audit data in conformance with DICOM “Data Export”/”Data Import”, with the following exceptions.

### A.2.1 Form Filler audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> AuditMessage/ EventIdentificati on	EventID	M	EV(110106, DCM, “Export”)
	EventActionCode	M	“R” (Read)
	EventDateTime	M	<i>not specialized</i>
	EventOutcomeIndicator	M	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-35”, “IHE Transactions”, “Submit Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Receiver or Form Processor) (1)			
Audit Source (Form Filler) (1)			
Subject (1)			
FormData (1)			

Where:

<b>Source</b> AuditMessage/ ActiveParticipant	UserID	M	Host system name
	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	UserName	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b> AuditMessage/ ActiveParticipant	UserID	M	Identity of the human that initiated the transaction.
	AlternativeUserID	U	<i>not specialized</i>
	UserName	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

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<b>Destination</b>	UserID	M	SOAP endpoint URI.
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>FormData</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Form ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	A form identifier
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

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### A.2.2 Form Receiver audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> AuditMessage/ EventIdentificati on	EventID	M	EV(110107, DCM, "Import")
	EventActionCode	M	"C" (Create)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV("ITI-35", "IHE Transactions", "Submit Form")
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Receiver) (1)			
Audit Source (Form Receiver) (1)			
Subject (1)			
FormData (1)			

Where:

<b>Source</b> AuditMessage/ ActiveParticipant	UserID	M	Host system name
	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	"false"
	RoleIDCode	M	EV(110153, DCM, "Source")
	NetworkAccessPointTypeCode	M	"1" for machine (DNS) name, "2" for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b> AuditMessage/ ActiveParticipant	UserID	M	Identity of the human that initiated the transaction.
	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	"true"
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b> AuditMessage/ ActiveParticipant	UserID	M	SOAP endpoint URI
	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	"false"
	RoleIDCode	M	EV(110152, DCM, "Destination")
	NetworkAccessPointTypeCode	M	"1" for machine (DNS) name, "2" for IP address
	NetworkAccessPointID	M	The machine name or IP address

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<b>Audit Source</b>  AuditMessage/ AuditSourceIdentification	<i>AuditSourceID</i>	<i>U</i>	<i>not specialized</i>
	<i>AuditEnterpriseSiteID</i>	<i>U</i>	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	<i>U</i>	<i>not specialized</i>

<b>Subject</b>  (AuditMessage/ ParticipantObjectIdentification)	<i>ParticipantObjectTypeCode</i>	<i>M</i>	“1” (Person)
	<i>ParticipantObjectTypeCodeRole</i>	<i>M</i>	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectIDTypeCode</i>	<i>M</i>	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	<i>M</i>	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	<i>U</i>	<i>not specialized</i>

<b>Form Data</b>  (AuditMessage/ ParticipantObjectIdentification)	<i>ParticipantObjectTypeCode</i>	<i>M</i>	“2” (System)
	<i>ParticipantObjectTypeCodeRole</i>	<i>M</i>	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectIDTypeCode</i>	<i>M</i>	EV(2, RFC-3881, “Form ID”)
	<i>ParticipantObjectSensitivity</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	<i>M</i>	An identifier for the form
	<i>ParticipantObjectName</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	<i>U</i>	<i>not specialized</i>

## A.2.1 Form Processor audit message:

	<b>Field Name</b>	<b>Opt</b>	<b>Value Constraints</b>
<b>Event</b>  AuditMessage/ EventIdentification	<i>EventID</i>	<i>M</i>	EV(110107, DCM, “Import”)
	<i>EventActionCode</i>	<i>M</i>	“C” (Create)
	<i>EventDateTime</i>	<i>M</i>	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	<i>M</i>	<i>not specialized</i>
	<i>EventTypeCode</i>	<i>M</i>	EV(“ITI-35”, “IHE Transactions”, “Submit Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Processor) (1)			
Audit Source (Form Processor) (1)			
Subject (1)			
FormData (1)			

Where:

<b>Source</b>	UserID	M	Host system name
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b>	UserID	M	Identity of the human that initiated the transaction.
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b>	UserID	M	SOAP endpoint URI
AuditMessage/ ActiveParticipant	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

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<b>Subject</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>Form Data</b> (AuditMessage/ ParticipantObjectI dentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Form ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	An identifier for the form
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

## A.3 Archive Form [ITI-36] audit messages

The Archive Form transaction MAY be a PHI-Export event as defined in ITI TF-2a: Table 3.20.  
530 4.1.1.1-1. Actors that audit this transaction SHALL create audit data in conformance with DICOM “Data Export”/”Data Import”, with the following exceptions:

### A.3.1 Form Filler audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> AuditMessage/ EventIdentificati on	EventID	M	EV(110106, DCM, “Export”)
	EventActionCode	M	“R” (Read)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-36”, “IHE Transactions”, “Archive Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Archiver) (1)			
Audit Source (Form Filler) (1)			
Subject (1)			
FormData (1)			

<b>Source</b> AuditMessage/ ActiveParticipant	UserID	M	Host system name
	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

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<b>Human Requestor</b> (if known)  AuditMessage/ ActiveParticipant	UserID	M	Identity of the human that initiated the transaction.
	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b>  AuditMessage/ ActiveParticipant	UserID	M	SOAP endpoint URI.
	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>  AuditMessage/ AuditSourceIdentification	<i>AuditSourceID</i>	U	<i>not specialized</i>
	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b>  (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>FormData</b>  (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Form ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	A form identifier
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

### A.3.2 Form Archiver audit message:

	<b>Field Name</b>	<b>Opt</b>	<b>Value Constraints</b>
<b>Event</b> AuditMessage/ EventIdentificati on	EventID	M	EV(110106, DCM, “Import”)
	EventActionCode	M	“R” (Read)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV(“ITI-36”, “IHE Transactions”, “Archive Form”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Archiver) (1)			
Audit Source (Form Archiver) (1)			
Subject (1)			
FormData (1)			

Where:

<b>Source</b> AuditMessage/ ActiveParticipant	UserID	M	Host system name
	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b> AuditMessage/ ActiveParticipant	UserID	M	Identity of the human that initiated the transaction.
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b> AuditMessage/ ActiveParticipant	UserID	M	SOAP endpoint URI.
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	<i>U</i>	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	<i>U</i>	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	<i>U</i>	<i>not specialized</i>

<b>Subject</b> (AuditMessage/ ParticipantObjectIdentification)	<i>ParticipantObjectTypeCode</i>	<i>M</i>	“1” (Person)
	<i>ParticipantObjectTypeCodeRole</i>	<i>M</i>	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectIDTypeCode</i>	<i>M</i>	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	<i>M</i>	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	<i>U</i>	<i>not specialized</i>

<b>FormData</b> (AuditMessage/ ParticipantObjectIdentification)	<i>ParticipantObjectTypeCode</i>	<i>M</i>	“2” (System)
	<i>ParticipantObjectTypeCodeRole</i>	<i>M</i>	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectIDTypeCode</i>	<i>M</i>	EV(2, RFC-3881, “Form ID”)
	<i>ParticipantObjectSensitivity</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	<i>M</i>	A form identifier
	<i>ParticipantObjectName</i>	<i>U</i>	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	<i>U</i>	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	<i>U</i>	<i>not specialized</i>

## 550 A.4 Archive Source Documents [QRPH-36] audit messages

The Retrieve Form transaction MAY be a PHI-Export event as defined in ITI TF-2a: Table 3.20.4.1.1.1-1. Actors that audit this transaction SHALL create audit data in conformance with DICOM “Data Export”/”Data Import”, with the following exceptions.

### A.4.1 Form Filler audit message:

	Field Name	Opt	Value Constraints
<b>Event</b> AuditMessage/ EventIdentification	<i>EventID</i>	<i>M</i>	EV(110106, DCM, “Export”)
	<i>EventActionCode</i>	<i>M</i>	“R” (Read)
	<i>EventDateTime</i>	<i>M</i>	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	<i>M</i>	<i>not specialized</i>
	<i>EventTypeCode</i>	<i>M</i>	EV(“QRPH-36”, “IHE Transactions”, “Archive Source Documents”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Archiver) (1)			

Audit Source (Form Filler) (1)
Subject (1)
prepData (1)

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Where:

<b>Source</b>	UserID	M	Host system name
AuditMessage/ ActiveParticipant	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Human Requestor (if known)</b>	UserID	M	Identity of the human that initiated the transaction.
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b>	UserID	M	SOAP endpoint URI.
AuditMessage/ ActiveParticipant	<i>AlternativeUserID</i>	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

<b>Subject</b>	ParticipantObjectTypeCode	M	“1” (Person)
(AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>

	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

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<b>prepData</b>  (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Document ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The prepData Document unique ID
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

#### A.4.2 Form Archiver audit message:

	Field Name	Opt	Value Constraints
<b>Event</b>  AuditMessage/ EventIdentification	EventID	M	EV(110107, DCM, “Import”)
	EventActionCode	M	“C” (Create)
	<i>EventDateTime</i>	M	<i>not specialized</i>
	<i>EventOutcomeIndicator</i>	M	<i>not specialized</i>
	EventTypeCode	M	EV(“QRPH-36”, “IHE Transactions”, “Archive Source Documents”)
Source (Form Filler) (1)			
Human Requestor (0..n)			
Destination (Form Archiver) (1)			
Audit Source (Form Archiver) (1)			
Subject (1)			
prepData (1)			

Where:

<b>Source</b>  AuditMessage/ ActiveParticipant	UserID	M	Host system name
	AlternativeUserID	U	<i>not specialized</i>
	<i>UserName</i>	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110153, DCM, “Source”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

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<b>Human Requestor (if known)</b>	UserID	M	Identity of the human that initiated the transaction.
AuditMessage/ ActiveParticipant	AlternativeUserID	U	<i>not specialized</i>
	UserName	U	<i>not specialized</i>
	UserIsRequestor	M	“true”
	RoleIDCode	U	Access Control role(s) the user holds that allows this transaction.
	NetworkAccessPointTypeCode	NA	
	NetworkAccessPointID	NA	

<b>Destination</b>	UserID	M	SOAP endpoint URI
AuditMessage/ ActiveParticipant	AlternativeUserID	M	The process ID as used within the local operating system in the local system logs.
	UserName	U	<i>not specialized</i>
	UserIsRequestor	M	“false”
	RoleIDCode	M	EV(110152, DCM, “Destination”)
	NetworkAccessPointTypeCode	M	“1” for machine (DNS) name, “2” for IP address
	NetworkAccessPointID	M	The machine name or IP address

<b>Audit Source</b>	<i>AuditSourceID</i>	U	<i>not specialized</i>
AuditMessage/ AuditSourceIdentification	<i>AuditEnterpriseSiteID</i>	U	<i>not specialized</i>
	<i>AuditSourceTypeCode</i>	U	<i>not specialized</i>

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<b>Subject</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“1” (Person)
	ParticipantObjectTypeCodeRole	M	“1” (Patient)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV(2, RFC-3881, “Subject Number”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The subject ID in HL7 CX format.
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

<b>prepData</b> (AuditMessage/ ParticipantObjectIdentification)	ParticipantObjectTypeCode	M	“2” (System)
	ParticipantObjectTypeCodeRole	M	“20” (job)
	<i>ParticipantObjectDataLifeCycle</i>	U	<i>not specialized</i>
	ParticipantObjectIDTypeCode	M	EV2, RFC-3881, “Document ID”)
	<i>ParticipantObjectSensitivity</i>	U	<i>not specialized</i>
	<b>PARTICIPANTOBJECTID</b>	M	The prepData Document unique ID
	<i>ParticipantObjectName</i>	U	<i>not specialized</i>

	<b>PARTICIPANTOBJECTQUERY</b>	U	<i>not specialized</i>
	<i>ParticipantObjectDetail</i>	U	<i>not specialized</i>

## Glossary

The IHE Glossary, an appendix to the *IHE Technical Frameworks General Introduction*, can be found [here](#).  
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