Updox Certified Health IT 2022 Real World Testing Plan Results

Updox, the leading healthcare communication platform for in-person and virtual care, is elated to provide software that is certified under the Office of the National Coordinator (ONC) for Health Information Technology to the public.

Within the 2022 RWT results report each Certified Health IT Module is organized the way the criteria are listed on ONC's Certified Health IT Product List (CHPL). In some cases, testing plans have been combined for efficiency to account for multiple Certified Health IT Modules where a criterion is certified under more than one certified Health IT module.

RWT plans involve the use of production activity data from actively using the Certified Health IT Modules. This production activity data is aggregated across clients and no protected health information (as defined by HIPAA) or client-specific identifiable information is used or contained in the information provided in our RWT results.

Updox affirms that the Real-World Testing plan results is complete with all required elements, including measures that address all certification criteria and care settings. All information in this plan is up to date and fully addresses Updox's Real World Testing requirements.

Kathy Howard, Director of Compliance
khoward@updox.com

Kathy Howard

Signature

1/31/2023

Date

Justin Mason, President
jmason@updox.com

Justrin Mason
Justrin Mason (Jan 31, 2023 14:48 EST)

Signature

Jan 31, 2023

Date

Developer Name:	**Updox LLC**
Product Name(s):	**Updox LLC**
Version Number(s):	**2022.0**
	2022.1
Certified Health IT:	**December 30,2022**
Product List (CHPL) ID(s):	**(v2022.0)15.04.04.2484.Updo.20.01.1.21230**
Product List (CHPL) ID(s):	**(v2022.1)15.04.04.2484.Updo.21.02.1.221230**
Public URL:	**https://www.updox.com/company/certifications/**

Real World Testing (RWT) was created so Certified Health IT developers could demonstrate conformance with the ONC Cure's Act Final Rule. As a Condition of Certification and Ongoing Maintenance of Certification developers must successfully test the "real-world" use of their certified products by using settings and scenarios in a production environment to demonstrate functionality and interoperability.

Per our 2022 RWT plan Updox was to test our Direct Secure Messaging send and receive capabilities with a minimum of 3 HISPs per quarter. The second and fourth quarter of each year were to be tested with all HISPs that are part of the DT Interop bundle. The DirectTrust "greenlight" testing that was performed in April and October of each year is now only performed in April of each year therefore my plan for testing in Quarter 3 was altered/changed to include only 3 other HISPs.

Evidence including screen shots of messages sent and received including MDN's were taken each quarter to verify Direct Secure messages were sent and received as standards specify (not all but several screenshots have been included at the end of this report). There were no issues or problems found with the Updox send/receive functionality for DSM across the year during our DirectTrust greenlight nor interoperability testing. On occasion we would get notified of a problem but each time it was due to the sending party not having our 2.0 certificate uploaded in their system and once that was done all send/receive functionalities worked as designed.

An additional proof of compliance and testing was done when we received certification for the Cure's update of Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party for both Patient Portals in December of 2022 performed by our ONC-ATL Drummond Group.

Justification for Real World Approach

Updox will be demonstrating compliance and interoperability within two certification criteria The first is the Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party and the second is Electronic Exchange §170.315 (h) (2) Direct Project, Edge Protocol, and XDR/XDM.

Measurement/Metric	Associated Certification Criteria
Conformance to this criterion by using the DT (DirectTrust) interoperability testing between HISPS performed annually in April.	Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party
Conformance to this criterion by using Direct Secure Messaging for sending "Transitions of Care" documents via secure messaging to a 3rd party.	Electronic Exchange §170.315 (h) (2) Direct Project, Edge Protocol, and XDR/XDM.

Updox primarily markets to EHR vendors (not end users) in order to integrate our products into their EHR. We market our secure messaging products to our partners, which is a valuable tool that aligns with ONC's push for interoperability. Secure messaging allows providers to communicate securely with patients and other providers. This promotes interoperability, gives consumers/patients more control of their own health and follows Privacy and Security rules for keeping patient health information within a secure environment.

Care Setting	Justification
DirectTrust	*Promotes interoperability *Is a trusted and reliable source for exchange and reporting of Direct Secure Messaging *Continues to improve and work with regulating authorities to promote interoperability and reducing SDOH
EHR Vendors	*Demonstrates interoperability between HISPS and top EHR vendors *Primary target market for Updox *Proves interoperability between providers exchanging PHI/PII in secure environments

RWT Multiple Criteria

Updox has developed a system to ensure providers can share ePHI (electronic personal health information) of their patients in a secure environment in which messages and documents can be shared by using Direct Secure Messaging via our API, UI, Edge protocol or XDR/XDM. Through our patient portal, which is integrated into our Partners EHR systems, patients have the ability to view, download, and transmit. ePHI/PII is always encrypted and hashed to prevent unauthorized access or tampering. Encryption standard is AES 256. The hashing standard is SHA-2. TLS 1.2 is used when transmitting information over the internet. Updox is currently Web Content Accessibility supported by the Health IT Module: Web Content Accessibility Guideline (WCAG) 2.0, Level A Conformance as specified in § 170.204(a)(1).

Certification Criteria	Requirement
Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party	*(I)(B)(2) Download ambulatory summary or inpatient summary using CCD Template

	*(I)(C)(1) Transmit to third party
Electronic Exchange §170.315 (h) (2) Direct Project, Edge Protocol, and XDR/XDM.	*Applicability Statement for Secure Health Transport, Version 1.2 (the "Direct Project" specification). *The ONC XDR and XDM for Direct Messaging Specification, Version 1, including support for both limited and full XDS metadata profiles. *And both protocols in the ONC Implementation Guide for Direct Edge Protocols, Version 1.1

The Updox system includes these functionalities of interest: (A) Send Direct Secure message summaries (B) receive Direct Secure message summaries (C) Edge Protocol used for processing or if EHI was shared through the patient portal using downloads, encrypted and unencrypted transmissions.

Testing Procedure/Process between Accredited HISPs:

HISP to HISP testing with the Accredited Trust Bundle is used to assess potential interoperability issues and as a Condition of Certification with Direct Trust (DT). This testing is done once a year in the month of April. Results must be sent to DT. HISP to HISP Direct Secure Messaging includes both criteria, §170.314(e)(1), View/Download/Transmit and Electronic Exchange §170.315 (h) (2) Direct Project, Edge Protocol, and XDR/XDM. This testing is performed in "real-world" settings and promotes interoperability.

To initiate interoperability testing, Updox will send a wrapped, DT compliant message from our Updox Accredited Trust Bundle address to each HISP's interop testing address which will be in a production environment using a "test" account so that no ePHI is involved. Within the message and out of band, we will indicate that we are performing RWT and request a received & readable confirmation. When a message is received from another testing participant, we will reply to the message indicating whether the message was received and readable and (if receiving into an EMR system and a C-CDA was included in the message) whether the attached C-CDA could be incorporated into our system).

RESULTS OF SENDING FROM MY ADDRESS TO THE COUNTERPARTY ADDRESS:

•Message was sent to this counterparty (left my system without immediate fail) AND

•Processed MDN was Received and Usable by my system

ONLY IF DISPATCHED REQUESTED (Updox always requests Dispatched MDN):

Dispatched MDN was received and usable by my system.

Testing Process for testing with Partners/EHR vendors-

Testing is done on a daily basis by partner/customer use of our products. I receive a monthly log report categorized by each partner and broken down by inbound DSM, outbound DSM, and total DSM. I also receive a quarterly report that shows use of all VDT functionalities performed in both portals. As an added measure to show evidence that Updox "does what we say we do" I have also made test accounts in both portals which were used during our Cure's testing for Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party to show compliance with these measures and functionality of our product.

The Updox system includes these functionalities of interest:

(A) Send Direct Secure message summaries

(B) receive Direct Secure message summaries

(C) Edge Protocol used for processing or if EHI was shared through the patient portal using downloads and encrypted or unencrypted transmissions.

Upox demonstrated these functionalities during our testing with Drummond for the Cure's update of Patient Engagement §170.315 (e)(1) view, download and transmit to 3rd party for both Patient Portals in December of 2022.

Justification for Selected Measurement/Metric

The measurements selected demonstrate that chart summaries can successfully be viewed and downloaded by patients and exhibits the patient was successful in the process of transmitting to external parties.

Test Methodology

We will utilize a Patient portal 1 and 2 to access data related to the ability of clients to view, download, and transmit their data to external parties. Patient portal 1 and 2 utilizes log files to capture the relevant data points. If there's no record of client usage, we will utilize internal testing systems to demonstrate functionality and compliance.

	Updox Sent DSM	Updox Recv'd Response	Updox Recv'd DSM
Qtr. 1 2022	*Trinity Health *Indian Health Services *Intermountain Health	*Trinity Health *HIXNY *Intermountain Health	*The Health Collaborative *Indian Health
Qtr. 2 2022	All 27 HISPs	26 HISPs	26 HISPs
Qtr. 3 2022	*Trinity Health *HIXNY *The Health Collaborative	*Trinity Health *HIXNY *The Health Collaborative	*The Health Collaborative *Indian Health
Qtr. 4 2022	*MedAllies *Surescripts *GSI Power	*MedAllies *Surescripts *GSI Power	*The Health Collaborative *Indian Health

Below, I have included the DirectTrust Interoperability Matrix from the testing done in April of 2022.

Messages sent to:

Trinity Health

Audit Trail For Trintiy Health Direct Trust 2.0 cert testing ✕

Interop Tester [Created]	Status	Date
Interop Tester	completed	3/11/22 11:48 AM

Direct dtinterop@direct.myhealthprovider.org	Status	Date
System	Trintiy Health Direct Trust 2.0 cert testing successfully sent to dtinterop@direct.myhealthprovider.org	3/11/22 11:48 AM
System	MDN/DSN: processed: dtinterop@direct.myhealthprovider.org	3/11/22 11:49 AM
System	MDN/DSN: dispatched: dtinterop@direct.myhealthprovider.org	3/11/22 11:49 AM

Intermountain Health

Audit Trail For DocSubmissionTitle ✕

Interop Tester [Created]	Status	Date
Interop Tester	completed	2/14/22 5:25 PM

Direct directmail@direct.intermountainhealthcare.org	Status	Date
System	DocSubmissionTitle successfully sent to directmail@direct.intermountainhealthcare.org	2/14/22 5:25 PM
System	MDN/DSN: processed: directmail@direct.intermountainhealthcare.org	2/14/22 5:25 PM
System	MDN/DSN: dispatched: directmail@direct.intermountainhealthcare.org	2/14/22 5:26 PM
Interop Tester	viewed	1/30/23 3:38 PM

Indian Health Services

Audit Trail For An Important Message from your Healthcare Team

Interop Tester [Created]	Status	Date
Interop Tester	completed	2/8/22 1:01 PM

Direct ihs.interop@directihs.net	Status	Date
System	An Important Message from your Healthcare Team successfully sent to ihs.interop@directihs.net	2/8/22 1:01 PM
System	MDN/DSN: dispatched: ihs.interop@directihs.net	2/8/22 1:02 PM
System	MDN/DSN: processed: ihs.interop@directihs.net	2/8/22 1:02 PM
Interop Tester	viewed	1/30/23 3:37 PM

Receipt of Updox Received Response: Isharemedical

Audit Trail For Re: Interoperability Test Message for April 2022 Round of Testing ✕

Updox system [Created]	Status	Date
Updox system	completed	4/6/22 3:41 PM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: testing@direct.isharemedicalrecords.com	4/6/22 3:41 PM
Interop Tester	Dispatched MDN not sent to: testing@direct.isharemedicalrecords.com	4/6/22 3:41 PM

Audit Trail For DirectTrust Interop Testing SecureHIT - April 2022.

Interop Tester [Created]	Status	Date
Interop Tester	completed	4/6/22 9:01 AM

Direct miranda@direct.securehit.net	Status	Date
System	DirectTrust Interop Testing SecureHIT - April 2022. successfully sent to miranda@direct.securehit.net	4/6/22 9:01 AM
System	MDN/DSN: processed: miranda@direct.securehit.net	4/6/22 9:01 AM
System	MDN/DSN: dispatched: miranda@direct.securehit.net	4/6/22 9:01 AM
Interop Tester	viewed	1/30/23 4:05 PM

Indian Health Services

Audit Trail For Read: An Important Message from your Healthcare Team

Updox system [Created]	Status	Date
Updox system	completed	2/8/22 3:29 PM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: ihs.interop@directihs.net	2/8/22 3:29 PM
Interop Tester	Dispatched MDN not sent to: ihs.interop@directihs.net	2/8/22 3:29 PM

![updox - Simplifying the business of healthcare™]

Updox Received DSM from:
Health Collaborative

Audit Trail For 3rd Attempt DirectTrust Interop Test Message from The Health Collaborative - 2022-9-22 ☓

Updox system [Created]	Status	Date
Updox system	completed	9/22/22 4:02 PM

CCD Processed	Status	Date
Interop Tester	completed	9/22/22 4:02 PM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: interop.testing@healthcollab.hbdirect.org	9/22/22 4:02 PM
Interop Tester	Dispatched MDN not sent to: interop.testing@healthcollab.hbdirect.org	9/22/22 4:02 PM

MaxMD

Audit Trail For Re: Updox to MaxMD

Updox system [Created]	Status	Date
Updox system	completed	4/6/22 9:19 AM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: ywang@direct.max.md	4/6/22 9:19 AM
Interop Tester	Dispatched MDN sent to: ywang@direct.max.md	4/6/22 9:19 AM

Audit Trail For 3rd Attempt DirectTrust Interop Test Message from The Health Collaborative - 2022-10-13 ☓

Updox system [Created]	Status	Date
Updox system	completed	10/13/22 7:55 AM

CCD Processed	Status	Date
Interop Tester	completed	10/13/22 7:55 AM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: interop.testing@healthcollab.hbdirect.org	10/13/22 7:55 AM
Interop Tester	Dispatched MDN not sent to: interop.testing@healthcollab.hbdirect.org	10/13/22 7:55 AM

Audit Trail For RE: Updox to Surescripts

Updox system [Created]	Status	Date
Updox system	completed	4/7/22 2:53 PM

Received DIRECT	Status	Date
Interop Tester	Processed MDN sent to: christina.brown@ssdmp.direct-ci.com	4/7/22 2:53 PM
Interop Tester	Dispatched MDN sent to:	4/7/22 2:53 PM

Conclusion

Updox has included all documentation and results in our Real-World Testing Results Report due in February of 2023. The results submitted are based on and directly related to the 2022 plan and address each required element in the plan. The results report reflects what we stated in the plan. Updox Developers did not discover any issues during Real World Testing. The methods, measurements/metrics, and other approaches selected did produce the expected outcome and no issues arose during the collection of data that would require a developer to adjust their strategies. Updox is submitting the data derived from its original approaches other than the change made due to interop testing being scheduled annually vs semi-annual.

RWT Plan Results 2022

Final Audit Report   2023-01-31

Created:	2023-01-31
By:	Kathy Howard (khoward@updox.com)
Status:	Signed
Transaction ID:	CBJCHBCAABAACcIvNQjJEz4HB-rnJCv_5ZpOYzt825qL

"RWT Plan Results 2022" History

Document created by Kathy Howard (khoward@updox.com)
2023-01-31 - 6:28:39 PM GMT

Document emailed to jmason@updox.com for signature
2023-01-31 - 6:29:08 PM GMT

Email viewed by jmason@updox.com
2023-01-31 - 6:50:46 PM GMT

Signer jmason@updox.com entered name at signing as Justrin Mason
2023-01-31 - 7:48:47 PM GMT

Document e-signed by Justrin Mason (jmason@updox.com)
Signature Date: 2023-01-31 - 7:48:49 PM GMT - Time Source: server

Agreement completed.
2023-01-31 - 7:48:49 PM GMT