

# Certified Health IT Product List (CHPL)

# **PUBLIC USER GUIDE**



#### **Table of Contents**

# Contents

| INTRODUCTION  | 4  |
|---|----|
| HOW TO SEARCH FOR CERTIFIED PRODUCTS  | 5  |
| Searching by Certified Product, Developer Name, or ID                                 | .5 |
| Refining Search (Filter)  | .6 |
| Downloading Search Results  | .7 |
| Understanding the Developer Pages   | .7 |
| HOW TO COMPARE CERTIFIED PRODUCTS   | 8  |
| UNDERSTANDING CERTIFICATION EDITION IN THE CHPL                                       | 9  |
| UNDERSTANDING COMPLIANCE ACTIVITIES INFORMATION INTHE CHPL                            | 2  |
| Surveillance  | 2  |
| Non-Conformity1   | 2  |
| Direct Review1  | 4  |
| UNDERSTANDING CERTIFICATION STATUS IN THE CHPL1                                       | 5  |
| Product Status1   | 5  |
| UNDERSTANDING THE SAFETY-ENHANCED DESIGN (SED)CRITERION (§170.315 (G)(3))1            | 7  |
| Full Usability Report1  | 7  |
| Description of Intended Users1  | 7  |
| SED Tested Certification Criteria & Associated User-Centered Design (UCD) Processes 1 | 7  |
| SED Testing Tasks   | 7  |
| UNDERSTANDING CHPL SHORTCUT PAGES1  | 8  |
| API Information for 2015 Edition Products Page1                                       | 8  |
| Banned Developers Page1   | 9  |
| Charts Page1  | 9  |
| Decertified Products Page1  | 9  |
| Real World Testing Page2  | 20 |
| Inactive Certificates Page  | 20 |
| Products: Corrective Action Page  | !1 |
| SED Information for 2015 Edition Products Page2                                       | 22 |



#### CHPL Public User Guide

ONC

| SVAP Information Page                     |    |
|---|----|
| HOW TO REGISTER FOR AN API KEY            | 23 |
| CMS EHR CERTIFICATION ID CREATION         | 23 |
| How to Create a CMS EHR Certification ID  | 23 |
| How to Look Up a CMS EHR Certification ID | 27 |



#### INTRODUCTION

The ONC Certified Health IT Product List (CHPL) is the authoritative, comprehensive listing of health IT products that have been tested and certified under the Health IT Certification Program administered by the Office of the National Coordinator for Health IT (ONC). ONC compiles information submitted from ONC-Authorized Certification Bodies (ONC-ACBs) to generate a public, centralized, and comprehensive list of certified health IT products: the CHPL. The CHPL also allows health care providers and hospitals to generate Centers for Medicare & Medicaid Services (CMS) Electronic Health Record (EHR) Certification IDs for use in CMS programs, such as the Quality Payment Program and Promoting Interoperability (PI) Programs. The CHPL is designed to provide a streamlined user interface experience and to provide structured data in an open format for the reporting of granular data. In addition, this data is more accessible through the use of application programming interfaces (APIs).

#### HOW TO SEARCH FOR CERTIFIED PRODUCTS

#### Searching by Certified Product, Developer Name, or ID

- 1) Navigate to the CHPL website: <a href="https://chpl.healthit.gov">https://chpl.healthit.gov</a>
- 2) Enter the name of the developer, product, ONC-ACB ID, or CHPL ID into the search bar, or you can click the "Browse all" button to search without any specific search terms.
  - a. CHPL IDs are unique to each certified product listing. There are two types of CHPL IDs depending on the certified product listing.
    - i. Products certified before March 28, 2016, have CHPL IDs in the following format:
      - CHP-XXXXXX
      - 2. Ex: CHP-022987 will return "axiUm CE"
  - b. Products certified for the first time after March 28, 2016, have CHPL IDs in the following format:
    - Edition.ATL.ACB.Developer.Product.Version.ICS.AdditionalSoftware.Date
      - 1. Edition = certification edition
      - 2. ATL = two-digit code for the ONC-Authorized Testing Laboratory (ATL)
      - 3. ACB = two-digit code for the ONC-ACB
      - 4. Developer = four-digit code for the health IT product developer
      - 5. Product = four-character alphanumeric reference to the certified product
      - 6. Version = two-character alphanumeric reference to the version of the certified product
      - 7. ICS = two-digit code indicating Inherited Certified Status (increments for each listing that certifies through ICS for that product)
      - 8. Relied Upon Software = binary code indicating the requirement for additional software to meeting certification requirements (1= yes, 0 = no)
      - 9. Date = Date of certification (format = YYMMDD)
    - ii. Example: 15.04.04.2891.Sunr.AM.02.1.170929 will return "Sunrise Ambulatory Care"
  - c. ONC-ACB IDs may be different from CHPL IDs. They are generated by each ONC-ACB and may not have a consistent structure. In addition, a single ONC-ACB ID may refer to more than one certified product listing.

*Note*: By default, the CHPL search excludes products without active certificates. To include these products in your search, you should use the filters as described below.



#### **Refining Search (Filter)**

- The CHPL provides several options for filtering through certified or formerly certified health IT products. Select the "Advanced Filter" link next to the search bar to select values in the following filter categories:
  - a. Certification Status
    - i. Active
    - ii. Retired (off by default)
    - iii. Suspended by ONC
    - iv. Suspended by ONC-ACB
    - v. Terminated by ONC (off by default)
    - vi. Withdrawn by Developer
    - vii. Withdrawn by Developer Under Surveillance/Review (off by default)
    - viii. Withdrawn by ONC-ACB (off by default)
  - b. Certification Edition
    - i. 2011 (off by default as this Edition was retired by ONC as of March 1, 2015)
    - ii. 2014 (off by default as this Edition was retired by ONC as of June 30, 2020)
    - iii. 2015
    - iv. 2015 Cures Update (part of 2015 Edition)
  - c. Certification Criteria
    - i. Active criteria
    - ii. Retired/Removed criteria
  - d. Non-Conformities
    - i. Closed Non-Conformity
    - ii. Has had a Non-conformity
    - iii. Has no closed Non-conformities
    - iv. Has no open Non-conformities
    - v. Never had a Non-conformity
    - vi. Open Non-conformity
  - e. Compliance Activity
    - i. Has had Compliance Activity
    - ii. Has not had Compliance Activity
  - f. Certification Date
  - g. Clinical Quality Measures
    - i. Active CQMs
    - ii. Retired CQMs
- 2) Once a filter option has been selected, the CHPL will automatically adjust the search results.
- 3) Remove filters by clicking on the "x" within the chip for the selected filter.

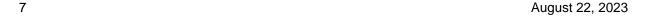


#### **Downloading Search Results**

- 1) Once the search results display what the user wants to view, the user has the ability to download those search results (100 listings maximum each time) using the "Download <n> Results" button above the search results section on the right-hand side of the page.
- 2) Under the Download Results dropdown (down arrow next to the button), the following data categories can be included in the export for each listing:
  - a. CHPL ID
  - b. Certification Edition
  - c. Product data
  - d. Certification Date
  - e. Certification Status
  - f. Details
  - g. API Documentation
  - h. Certification Criteria
  - Clinical Quality Measures
  - j. Compliance
  - k. Decertification Date
  - I. ONC-ACB
  - m. Practice Type
  - n. Real World Testing

#### **Understanding the Developer Pages**

- 1) Navigate to the CHPL website: https://chpl.healthit.gov
- 2) Enter the name of the developer, product, ONC-ACB ID, or CHPL ID into the search bar, or you can click the "Browse all" button to search without any specific search terms.
- 3) To find more information on a developer of a specific product, use one of the following methods:
  - a. Select the hyperlinked name of the developer on the Search Results page
  - Select the blue "Details" button on the right-hand side of the listing on the Search Results page, and then select the hyperlink of the Developer name under the "Developer" section of the listing
- 4) The Developer page displays a comprehensive description of developer details. These fields include:
  - a. Developer Code
  - b. Self-Developer Designation
  - c. Status
  - d. Contact
  - e. Address
  - f. Website
- 5) Each developer page displays all certified or formerly certified Health IT products for a respective developer.
- 6) Select a product name on the right-hand side panel of the developer page to expand the details for that product. Each product will display details related to the following:
  - a. Version Number
  - b. CHPL IDs for each certified product listing





- c. Certification Status
- d. Edition
- e. # of Non-Conformities
- f. Certification Date
- 7) There are also filters within the Products section of the developer page that allow a user to filter by Surveillance and Certification Status.
- 8) The developer page also includes a section for Direct Review Activities. Any Direct Reviews related to that developer will be listed in this section, and if there are none, that section will indicate that no Direct Reviews have been conducted.

#### **HOW TO COMPARE CERTIFIED PRODUCTS**

- 1) Navigate to the CHPL website: <a href="https://chpl.healthit.gov">https://chpl.healthit.gov</a>
- 2) Search for the product listings to be compared.
- 3) To compare products, click the green "+Compare" button to the right of each product listing to be compared.
  - a. As each "+Compare" button is selected, the corresponding product listing will be added to the "Compare Products" widget that will automatically appear in the top menu bar in the upper right-hand corner.
  - b. Product listings can be removed by either clicking their name in the 'Compare Products' widget or by clicking the "+Compare" button next to the product listing again to de-select it

*Note*: While this feature has no technical limit to the number of listings to be compared, comparing five or **Essat** a time is recommended for ease of reading and comparing.

- 4) To maximize or minimize the 'Compare Products' widget, click on the "Compare Products" menu on the top menu bar in the top right-hand corner. When the 'Compare Products' widget minimizes, it does not remove product listings that have already been selected to be compared.
- 5) Once all product listings to be compared are selected, click the blue "Compare products" button at the bottom of the list of product listings to compare in the 'Compare Products' widget.
- 6) Once on the Compare Products screen, to view the comparison of product listings by Certification Criteria, click the blue text "Certification Criteria" link in the left-hand side navigation to expand the Certification Criteria list. Click the "Certification Criteria" link again to collapse the section again.
- 7) Once on the Compare Products screen, to view the comparison of product listings by Clinical Quality Measures, click the blue text "Clinical Quality Measures" link in the left-hand side navigation to expand the Clinical Quality Measures list. Click the "Clinical Quality Measures" link again to collapse the section again.
- 8) To view additional details about a specific product, click the blue "details" link at the bottom of the product's listing.
- 9) To return to the search results, either click the "Return to search results" link at the top of the Compare Products screen or your browser's back button.



#### UNDERSTANDING CERTIFICATION EDITION IN THE CHPL

The CHPL indicates the Certification Edition for each product listed. To date, ONC has issued 3 editions of health IT certification criteria:

- 2011 Edition (retired)
- 2014 Edition (retired)
- 2015 Edition

The 21st Century Cures Act: Interoperability, Information Blocking, and the ONC Health IT Certification Program Final Rule (ONC Cures Act Final Rule) made several changes to the existing 2015 Edition health IT certification criteria and adopted new Program requirements. It introduced a small number of new certification criteria, revised several existing certification criteria, and removed several certification criteria.

While all of the new and revised certification criteria are part of the 2015 Edition, ONC distinguishes them from the original 2015 Edition criteria by collectively referring to them as the "2015 Edition Cures Update" on the CHPL and in Program resources. In addition, for product listings that have met the requirements of the ONC Cures Act Final Rule, they are listed as "2015 Edition Cures Update" on the CHPL.

#### UNDERSTANDING THE FIELDS RELATED TO CERTIFICATION CRITERIA

Accessibility Standard – Applies to 2015 Edition certification only. This refers to design that expands access to health IT for people who experience disabilities. When a single accessibility-centered design standard is used, the standard only needs to be identified once. Otherwise, the accessibility-centered design standards need to be identified for every capability to which they were applied, or the developer must state that no accessibility-centered design was used. A non-exhaustive list of such standards can be found here: <a href="https://www.healthit.gov/test-method/accessibility-centered-design#ccg">https://www.healthit.gov/test-method/accessibility-centered-design#ccg</a>. An allowable value for this attribute would be, for example, "WCAG 2.0 Level AA," or if the product does not meet any accessibility-centered design standard/law, the value should be "none."

Functionality Tested – Applies to 2015 Edition certification only. Includes any optional, alternative, ambulatory, or inpatient capabilities within a certification criterion to which the product was tested and certified. The corresponding paragraph number should be used for the functionality within the regulation. Allowable values for this attribute would be, for example, "Ambulatory: § 170.315(a)(6)(i) Over multiple encounters in accordance with, at a minimum, the version of the standard specified in § 170.207(a)(4)"; or "Alternative: § 170.315(a)(10)(i) Drug formulary checks."

GAP – Gap certification allowed ONC-Authorized Certification Bodies (ONC-ACBs) to reuse prior test results for a new certification request on a product that was certified to a previous Edition's certification criterion, so long as the criterion did not change between Editions. For example, a product could have been eligible for gap certification for a criterion in the 2015 Edition if previously certified to the 2014 Edition, as long as that criterion did not change. GAP should not be confused with inherited certification, which allows recertification for a newer version of a previously certified product within the same Edition, if that product did not change significantly. More information can be found here:

https://www.healthit.gov/sites/default/files/policy/Gap\_and\_ICS\_Guidance\_Cures\_Update\_23\_04.pdf . Allowable values for the Gap Certification attribute are "True" or "False." Please note: After the

December 31, 2023 Cures deadline, GAP can only be utilized if a listing utilizes ICS.

Measures Successfully Tested for G1 (Available in the G1/G2 Measures panel) – This refers to the Automated Numerator Recording certification criterion. For 2015 Edition certification, measures can be found in the "Test Procedure" link to the right of §170.315 (g)(1) located on the 2015 Edition Cures Update Test Method home page at <a href="https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method">https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method</a>. An allowable value for this attribute for 2015 Edition certification would be, for example, "Electronic Prescribing: Eligible Clinician."

Measures Successfully Tested for G2 (Available in the G1/G2 Measures panel) – This refers to the Automated Measure Recording certification criterion. For 2015 Edition certification, measures can be found in the "Test Procedure" link to the right of §170.315 (g)(2) located on the 2015 Edition Test Method home page at <a href="https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method">https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method</a>. An allowable value for this attribute for 2015 Edition certification would be, for example, "Verify Opioid Treatment Agreement: Eligible Clinician."

Optional Standard – This refers to the standard used to meet a certification criterion where additional, optional standards are permitted. For the 2015 Edition, a list of optional standards can be found at <a href="https://www.healthit.gov/topic/certification/2015-standards-hub">https://www.healthit.gov/topic/certification/2015-standards-hub</a>. An allowable value for this attribute would be, for example, "ICD-10-CM," or in the case of no additional, optional standard, "None."

Privacy and Security Framework – Applies to 2015 Edition certification only. Health IT products presented for certification under the Privacy and Security (P & S) framework must be tested to a mandatory minimum set of identified criteria. P & S criteria includes § 170.315(d)(1) through (d)(13), and developers can use one of two approaches to demonstrate conformance: Approach 1 – functional demonstration or Approach 2 – documentation of integration. For additional guidance, please reference the P & S Certification Companion Guide (CCG) at <a href="https://www.healthit.gov/sites/default/files/2015Ed\_CCG\_Privacy\_and\_Security.pdf">https://www.healthit.gov/sites/default/files/2015Ed\_CCG\_Privacy\_and\_Security.pdf</a>. Allowable values for this attribute or "Approach 1" or "Approach 2."

Quality Management System – All 2015 Edition health IT products must be certified to the Quality Management System criterion ("QMS") § 170.315(g)(4). The QMS used is either (1) one that has been established by the Federal Government or a standards developing organization (SDO), including, but not limited to: FDA's quality system regulation in 21 CFR part 820, ISO 9001, ISO 14971, ISO 13485, and IEC 62304; or (2) mapped to one or more of the standards established by the Federal Government or an SDO. The tester must verify that any identified gaps have been documented and explained. The specific QMS that was used for each criteria or capability must be identified. For additional guidance, please reference the QMS Certification Companion Guide (CCG) at https://www.healthit.gov/test-method/quality-management-system#ccg. An allowable value for this attribute would be, for example, "Standard: ISO 9001; Description: N/A, Applicable Criteria: All."

**Relied Upon Software** – Relied upon software is that which was relied upon for testing and certification. It is typically, though not always, third-party software that was not developed by the health IT developer. Relied upon software may be used to demonstrate compliance with a portion of an adopted certification criterion or an entire criterion.

- SED SED is an acronym for safety-enhanced design, which refers to ONC's certification requirements that make user-centered design focused on functionalities central to patient safety, a key part of the design of health IT. The goal of SED is to increase patient safety by correcting for human errors. User- centered design processes must be applied to each capability the health IT product includes from the following certification criteria For the 2015 Edition § 170.315(a)(1) through (a)(5), (a)(9) and (a)(14), and § 170.315(b)(2) and (b)(3).
- Standards Version Advancement Process This refers to a newer version of a standard approved under the Standards Version Advancement Process (SVAP), which permits health IT developers to voluntarily use a newer approved version of a standard than is adopted in regulation. Currently, this flexibility is limited to standards adopted in the certification criteria required to meet the "Real World Testing" Condition of Certification, which include § 170.315(b), (c)(1) through (c)(3), (e)(1), (f), (g)(7) through (g)(10), and (h).
- **Test data used** Test data provides a given set of input to verify that expected results are produced from defined functions during the test and accompanies the associated Edition Test Tools for related certification criteria. This attribute is only relevant for the Automated Numerator Recording criterion [§ 170.315 (g)(1)] and the Automated Measure Calculation criterion [§ 170.315 (g)(2)]. For the 2015 Edition certification, an allowable value for this attribute would be, for example, "EH/CAH; Version 1.3."
- **Test procedure version** This refers to the version of the test procedure used for testing of the health IT product. The test procedure offers objective guidance to ONC-Authorized Testing Laboratories (ONC-ATLs) and health IT developers as they conduct testing to provide traceability from the certification criteria requirements to testing activities, and to ensure consistency throughout the certification process. Test procedures for the 2015 Edition criteria can be found at the bottom of ONC's Testing and Test Methods webpage at <a href="https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method">https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method</a>. An allowable value for this attribute would be, for example, "1.1."
- **Test tool** Test tools are designed to be used by health IT developers and implementers during the development of software to ensure the software conforms to certification criteria used in the ONC Health IT Certification Program. Test tools will also be used to evaluate conformance to the referenced standards and criteria requirements during testing. The 2015 Edition certification test tools can be found at <a href="https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method">https://www.healthit.gov/topic/certification-ehrs/2015-edition-cures-update-test-method</a>. An allowable valuefor this attribute would be, for example, "Edge Testing Tool" for the ONC Transport Testing Tool.
- **API Documentation** The publicly accessible hyperlink that has the documentation used to meet the applicable API certification criteria (§ 170.315 (g)(7) or (§ 170.315 (g)(9) or (§ 170.315 (g)(10)).
- **Export Documentation** The publicly accessible hyperlink of the export's format used to support the EHI export criterion (§ 170.315 (g)(10)).
- **Service Base URL List** The publicly accessible hyperlink to the list of service base URLs for a Health IT Module certified to § 170.315 (g)(10) that can be used by patients to access their electronic health information.

# UNDERSTANDING COMPLIANCE ACTIVITIES INFORMATION IN THE CHPL

Each listing for a certified product contains details on Compliance Activities related to the certified product or the developer for the respective product. The Compliance Activities tab includes information on Surveillance and Direct Review.

#### **Surveillance**

In accordance with 170.523(f)(1)(xxii), ONC-ACBs must update CHPL listings no less than weekly when a Certified Health IT Module has failed to conform to its certification, and in accordance with 170.523(i)(2), ONC-ACBs must report, at a minimum, the results of their surveillance on a quarterly basis. These results are reported to the CHPL and will include the following fields for each certified product that was surveilled:

| Surveillance Description Fields    | Description   |
|------------------------------------|---|
| Date Surveillance Began            | The date surveillance was initiated.                                |
| Date Surveillance Ended            | If applicable, the date surveillance was completed.                 |
| Surveillance Type                  | The type of surveillance conducted (either randomized or reactive). |
| Certification Criteria and Program | The ONC Health IT Certification Program requirement that was        |
| Requirements Surveilled            | surveilled. For example, this may be a specific certification       |
|                                    | criterion(e.g., 170.315(a)(1)), a disclosure requirement (e.g.,     |
|                                    | 170.523(k)(1)), another requirement with a regulatory reference     |
|                                    | (e.g., 170.523(I)), or a brief description of the surveilled        |
|                                    | requirement.  |
| Surveillance Result                | Whether or not a non-conformity was found for the conducted         |
|                                    | surveillance.   |

Surveillance does not necessarily mean that there is a problem with the product. ONC-ACBs are required to follow-up on any complaints or potential issues that they are made aware of. ONC-ACBs may also elect to conduct randomized surveillance.

*Note*: Surveillance activities in progress are only reported when a determination is made. If there is a finding of non-conformity, the CHPL records are updated weekly. Otherwise, surveillance activities that result in a conformant finding will be reported quarterly.

#### **Non-Conformity**

The CHPL lists any discovered non-conformities for each certified product. When an ONC-ACB determines that a certified product does not comply with certification requirements and/or regulations, the certified product is considered non-conforming. A certified product that has been found to be non-conforming does not necessarily indicate that a certified product is "defective." Even when a non-conformity or deficiency has been identified, a developer's proposed corrective action plan (CAP), its efforts to remedy any problems, and notification to affected customers and users can demonstrate commitment to the quality of technology, the user experience, and patient safety. Many non-conformities or deficiencies are resolved quickly.

Developers submit a CAP in response to requests from an ONC-ACB upon the discovery of a non-



conformity. In order to be approved by an ONC-ACB, a CAP must include:

- 1) A description of the identified non-conformities or deficiencies;
- An assessment of how widespread or isolated the identified non-conformities or deficiencies may be across all of the developer's customers and users of the certified Complete EHR or certified Health IT Module;
- 3) How the developer will address the identified non-conformities or deficiencies, both at the locations under which surveillance occurred and for all other potentially affected customers and users;
- 4) How the developer will ensure that all affected and potentially affected customers and users are alerted to the identified non-conformities or deficiencies, including a detailed description of how the developer will assess the scope and impact of the problem, including identifying all potentially affected customers; how the developer will promptly ensure that all potentially affected customers are notified of the problem and plan for resolution; how and when the developer will resolve the issues for individual affected customers; and how the developer will ensure that all issues are in fact resolved;
- 5) The timeframe under which corrective action will be completed; and
- 6) An attestation by the developer that it has completed all elements of the approved corrective action plan.

The CHPL provides the following information about any non-conformity that a certified product may have:

| Non-Conformity Fields       | Description   |
|-----------------------------|---|
| Date of Determination of    | The date that the ONC-ACB determined that a non-conformity was  |
| Non-Conformity              | present.  |
| Corrective Action Plan      | The date that the ONC-ACB approved the CAP proposed by the  |
| Approval Date               | developer.  |
| Date Corrective Action      | The date that the corrective action was started.  |
| Began                       |   |
| Date Corrective Action      | The date that the corrective action must be completed in order to avoid   |
| Must be Completed           | termination of the certified product's certification status.  |
| Date Corrective Action Plan | The date that the corrective action was completed.  |
| was Completed               |   |
| Non-Conformity Close Date   | The date the non-conformity was closed. Please note that the value in this field generates the Non-Conformity Status field. If there is a value in this field, the status of the non-conformity will be "Closed"; if there is no value in this field, the non-conformity status will be "Open". |
| Non-Conformity Type         | For non-conformities related to specific regulatory references (e.g.,   |
|                             | certified capabilities, disclosure requirements, or use of the Certification  |
|                             | Mark), the regulation reference is used (e.g., 170.315(a)(2) or 170.523(l).   |
|                             | If the non-conformity type is designated as 'Other Non-Conformity', then  |
|                             | the associated non-conformity does not have a relevant regulatory   |
|                             | reference.  |
| Non-Conformity Status       | Whether the non-conformity is open or closed (has been resolved).   |
| Non-Conformity Summary      | A brief summary describing why the certified product was found to be non-   |
|                             | conformant.   |

| Findings               | A detailed description of the ONC-ACB's findings related to the non-conformity. This provides a full picture of the potential non-conformities of other deficiencies the ONC-ACB identified, how they were evaluated, and how the ONC-ACB reached its non-conformity determination.  |
|------------------------|--|
| Developer Explanation  | If available, the developer's explanation of why it agrees or disagrees with the ONC-ACB's assessment of the non-conformity and an explanation of why the non-conformity occurred.   |
| Number of sites passed | Number of sites passed only applies to non-conformities found as a result of randomized surveillance. The number of sites passed is the number of sites for each criterion that passed randomized surveillance for the Health IT module being evaluated. The denominator is the total number of sites for which randomized surveillance was conducted on the Health IT module. |
| Total Sites            | Total Sites only applies to non-conformities found as a result of randomized surveillance. The total sites count is the total number of sites for which randomized surveillance was conducted on the Health IT module.   |
| Resolution             | A detailed description of how the non-conformity was resolved.   |

#### **Direct Review**

ONC Direct Review was established in the ONC Health IT Certification Program: Enhanced Oversight and Accountability Final Rule and further expanded in the 21st Century Cures Act: Interoperability, Information Blocking, and the ONC Health IT Certification Program Final Rule. These final rules establish the regulatory frameworkthrough which ONC may directly review certified health IT or a health IT developer's actions or practices to determine whether either conform to the requirements of the ONC Health IT Certification Program.

ONC may choose to initiate Direct Review in three distinct circumstances:

- 1. When there is a reasonable belief that certified health IT may cause or contribute to unsafe conditions that present a serious risk to public healthor safety;
- 2. When a review of certified health IT could present practical challenges for ACBs; or
- When there is reasonable belief that the health IT developer has not complied with a Condition or Maintenance of Certification requirement.

Direct Review information will be displayed on a certified product listing if a Direct Review has been opened by ONC that either affects that listing directly or applies in relation to the developer of the listing. The CHPL provides the following information about any open or closed Direct Review activity that a certified product or its developer may have:

| Direct Review Fields          | Description  |
|-------------------------------|--|
| Non-Conformity Type           | The type of non-conformity found during review.  |
| Developer-Associated Listings | A listing of other certified products associated with the non-conformity, as applicable. |
| Corrective Action Plan        | The date that ONC approved the corrective action plan proposed by the                    |

| Approval Date                               | developer.  |
|---|---|
| Date Corrective Action<br>Must Be Completed | The date that the corrective action must be completed in order to avoid termination of the certified product's certification status and/or a certification ban of the developer, as applicable. |
| Date Corrective Action Was Completed        | The date the corrective action was completed.   |

#### UNDERSTANDING CERTIFICATION STATUS IN THE CHPL

#### **Product Status**

The CHPL indicates the certification status for each product listed. Not all product listings may have an active certification status. In addition, a product listing without an active certification status may still be eligible for the CMS Quality Payment Program or Promoting Interoperability (PI) Programs. If your product has lost its certification status and you are uncertain as to whether it can be used for the CMS PI Programs, please go to

https://www.cms.gov/Regulations-and-Guidance/Legislation/EHRIncentivePrograms/PaymentAdj\_Hardship.

A health IT product listing on the CHPL may have one of the following certification statuses:

| Certification<br>Status Type | Certification Status | Description  |
|------------------------------|----------------------|--|
|                              | Active               | The product remains certified and in good standing.  |
| Active<br>Certificate        | Suspended by ONC     | The certification of the product has been suspended by ONC because ONC believes the product poses a serious risk to public health or safety. While the product remains certified, the developer will be unable to update or certify new products for the duration of the suspension and must cease and desist from any marketing, licensing, and sale of the suspended Health IT Module as "certified" under the ONC Health IT Certification Program from that point forward until such time ONC cancels the suspension. |
|                              | Suspended by ONC-ACB | The certification of the product has been suspended by the ONC-ACB due to failure to submit or complete a CAPin time. The product is still considered certified, but it is atrisk of having its certification withdrawn.   |
|                              | Terminated by ONC    | The certification of the product has been terminated by ONC. It is no longer considered certified.   |

| Decertified<br>Certificate | Withdrawn by Developer<br>Under<br>Surveillance/Review | The certification of the product has been withdrawn by the product's developer while the product was under ONC-ACB surveillance or ONC direct review. It is no longer considered certified. <i>Note:</i> A certified product withdrawn this way may trigger a certification ban.           |
|----------------------------|--|--|
|                            | Withdrawn by ONC-ACB                                   | The certification of the product has been withdrawn by the ONC-ACB. It is no longer considered certified.  |
| Inactive<br>Certificate    | Withdrawn by Developer                                 | The certification of the product has been withdrawn by the product's developer because the developer no longer supports the product or for other reasons not in response to ONC-ACB surveillance, ONC direct review, or a finding of non-conformity. It is no longer considered certified. |
|                            | Retired  | The product's certification has been retired as part of HHS policy. It is no longer certified. Note: Retired products cannot be used to generate a CMS EHR Certification ID and will not be visible on the CHPL unless searched for under the "Certification Status= Retired" filter.      |

### **Developer Status**

The available 'Developer Status' values are defined as follows:

| Developer Status               | Description  |  |  |
|--------------------------------|--|--|--|
| Active                         | Developer has no certified products that are suspended or terminated by ONC. The developer's certificates are in good standing.  |  |  |
| Suspended by ONC               | A developer has had one or more of its certified products suspended by ONC per 170.580(d). When a developer has been suspended by ONC, no changes to any of the developer's details, products, versions, or certified products may be made on the CHPL until ONC has lifted the suspension.  |  |  |
| Under Certification Ban by ONC | The health IT developer is precluded from certifying any health IT products under the ONC Health IT Certification Program. A developer may fall under a certification ban if any of the following occurs with their certified products:  |  |  |
|                                | <ol> <li>Terminated by ONC under the ONC Health IT Certification Program;</li> <li>Withdrawn from the ONC Health IT Certification Program by an ONC-ACB because the health IT developer requested it to be withdrawn when the health IT developer's health IT was the subject of a potential non-conformity or non-conformity as determined by ONC;</li> </ol> |  |  |
|                                | 3) Withdrawn by an ONC-ACB because of a non-conformity with any of the certification criteria adopted by the Secretary under subpart C of part 170 (i.e., Certification Criteria for Health Information Technology); or  |  |  |
|                                | 4) Withdrawn by an ONC-ACB because the health IT developer requested it to be withdrawn when the health IT developer's health IT was the   |  |  |

subject of surveillance for a certification criterion or criteria adopted by the Secretary under subpart C of part 170, including notice of pending surveillance (e.g., the health IT developer received notice of pending randomized surveillance).

A developer may also be subject to a certification ban when ONC determines a certification ban is appropriate per Direct Review for non-compliance to the Conditions and Maintenance of Certification requirements.

# UNDERSTANDING THE SAFETY-ENHANCED DESIGN (SED) CRITERION (§170.315 (G)(3))

For products certified to the criterion §170.315 (g)(3), this section on the CHPL contains detailed information about how required certification criteria were tested for user-centered design processes. Further information about the regulatory information and test procedures for SED can be found here: <a href="https://www.healthit.gov/test-method/safety-enhanced-design">https://www.healthit.gov/test-method/safety-enhanced-design</a>.

#### **Full Usability Report**

Contains a link to the complete usability testing report submitted by the developer to the ONC-ACB.

#### **Description of Intended Users**

This is a free text section that allows the developer to describe the types of users/health care providers that the product's user-centered design is intended for.

#### SED Tested Certification Criteria & Associated User-Centered Design (UCD) Processes

Contains a list of the certification criteria that were tested for SED and which UCD processes were implemented for those criteria. Unless otherwise stated, the UCD process is the same for all criteria listed. This section includes the following:

- Certification Criteria the certification criteria under which the UCD process(es) was applied and tested.
- UCD Process the UCD process(es) applied to the certification criteria.
- UCD Process Details details about the UCD process(es). If a non-standard UCD process
  was used in development, the health IT developer must report the process(es), provide an
  outline of the process(es), a short description of the process(es), and an explanation ofthe
  reason(s) why use of any of the existing UCD standards was impractical for each
  required/applicable capability presented for certification.

#### **SED Testing Tasks**

Contains a list of tasks upon with UCD processes were tested.

- Description a description of the task tested.
- Task Rating and Scale Type the score the task received from testing and the scoring methods used to evaluate it.
- Details [button] Further details about how the task was scored. Includes the

#### following: Task Description

- Associated Certification Criteria
- Rating Scale
- Task Rating
- Task Rating Standard Deviation
- Task Time Mean (s)
- Task Time Standard Deviation (s)
- Task Time Deviation Observed/Optimal (s)
- Task Success Mean (%)
- Task Success Standard Deviation (%)
- Task Errors Mean (%)
- Task Errors Standard Deviation (%)
- Task Path Deviation Observed/Optimal (# of Steps)
- Total Number of Participants
- o [Participants] Occupation Breakdown
- [Participants] Product Experience Mean (Months)
- [Participants] Details

#### UNDERSTANDING CHPL SHORTCUT PAGES

#### **API Information for 2015 Edition Products Page**

This page is found by clicking the button called "API Info for 2015 Ed. Products" on the homepage of the CHPL site or the link under the "Shortcuts" menu on the top menu bar in the top right-hand corner. This page includes all listings on the CHPL that have certified to one of the API criteria ( $\S170.315$  (g)(7), (g)(8), (g)(9) or (g)(10)). It also includes links to a listing's API documentation and mandatory disclosures.

In the upper right-hand side of the page is the API Documentation Data document that contains the API syntax and authorization standard used for all 2015 Edition certified APIs based on a manual review of a developer's API documentation by ONC. The "Download API Documentation Data" button allows the user the ability to download the API Documentation Data. The document's last updated date is displayed under the download button.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (i.e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- API Documentation = Application access criteria certified to and link to API documentation
- Service Base URL List = The publicly accessible hyperlink to the list of service base URLs for a Health IT Module
- Mandatory Disclosures URL = Link to product's mandatory disclosure required under §170.523 (k)(1)





#### **Banned Developers Page**

The Banned Developers page is found by clicking the button called "Banned Developers" on the homepage of the CHPL site or the link under the "Shortcuts" menu on the top menu bar in the top right- hand corner. This page includes a list of developers precluded from certifying any health IT products under the ONC Health IT Certification Program – including new products as well as upgraded versions of current products. In addition, when a developer has been banned, no changes to any of the developer's details or certified products may be made on the CHPL unless ONC has rescinded the termination determination.

A developer may fall under a certification ban if any of the following occurs with their certified products:

- 1) Terminated by ONC under the ONC Health IT Certification Program (Program);
- Withdrawn from the Program by an ONC-ACB because the health IT developer requested it to be withdrawn when the health IT developer's health IT was the subject of a potential non-conformity or non-conformity as determined by ONC;
- Withdrawn by an ONC-ACB because of a non-conformity with any of the certification criteria adopted by the Secretary under subpart C of part 170 (i.e., Certification Criteria for Health Information Technology); or
- 4) Withdrawn by an ONC-ACB because the health IT developer requested it to be withdrawn when the health IT developer's health IT was the subject of surveillance for a certification criterion or criteria adopted by the Secretary under subpart C of part 170, including notice of pending surveillance (e.g., the health IT developer received notice of pending randomized surveillance).

A developer may also be subject to a certification ban when ONC determines a certification ban is appropriate per Direct Review for non-compliance to the Conditions and Maintenance of Certification requirements.

This page includes the following information:

- Developer = Name of the product's developer
- Decertification Date = Date of the Ban
- ONC-ACB = Name of the ONC-ACB that issued the certificate for the product

#### **Charts Page**

The *Charts* page is found by clicking the button called "Charts" on the homepage of the CHPL site or the link under the "Shortcuts" menu on the top menu bar in the top right-hand corner. This page has several sections of charts that each have their own set of different types of charts that display the data from several areas of the listings on CHPL. A few examples of the types of sections are Unique Products, Developers, SED Participant, and Nonconformities. Under each section, there are types of graphs such as a bar graph displaying the total number of unique products per criteria, pie charts to display the percentages of new developers for 2015 Edition compared to incumbent developers from 2014 Edition, and a bar graph showing the total number of non-conformities per certification criteria and program requirements.

#### **Decertified Products Page**

The *Decertified Products* page is found by clicking the button called "Decertified Products" on the homepage of the CHPL site or the link under the "Shortcuts" menu on the top menu bar in the top right- hand corner.

This page includes all listings on the CHPL that have had their status changed to a "decertified" status. This page includes listings with any of the following certification statuses:

- **Withdrawn by ONC-ACB:** The listing's certification was withdrawn by the developer's ONC-ACB. These listings are no longer considered a certified product.
- Withdrawn by Developer Under Surveillance/Review: The listing's certification was withdrawn
  by the developer while the product was under ONC-ACB surveillance or ONC direct review. These
  listings are no longer considered a certified product.
- **Terminated by ONC:** The listing's certification has been terminated by ONC under the ONC Health IT Certification Program. These listings are no longer considered a certified product.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (i.e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- Decertification Date = Date the product was no longer certified

#### **Real World Testing Page**

This page is found by clicking the button called "Real World Testing" on the homepage of the CHPL site or under the "Shortcuts" link on the top menu bar in the top right-hand corner. This page includes Health IT Module(s) eligible for Real World Testing.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- Real World Testing Plans URL = URL of the developer's Real World Testing Plan for the listing
- Real World Testing Results URL = URL of the developer's Real World Testing Results for the listing

#### **Inactive Certificates Page**

The *Inactive Certificates* page is found by clicking the button called "Inactive Certificates" on the homepage of the CHPL site or the link under the "Shortcuts" menu on the top menu bar in the top right- hand corner. This page includes all listings on the CHPL that have had their status changed to an "inactive" status (excluding Retired products). This page includes listings with the following certification status:

Withdrawn by Developer: The listing's certification was withdrawn by the developer. This may be simply because the developer no longer supports the product or for other reasons that are <u>not</u> in response to ONC-ACB surveillance, ONC direct review, or a finding of non-conformity. These listings are no longer considered a certified product.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (i.e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- Decertification Date = Date the product was no longer certified

#### **Products: Corrective Action Page**

This *Corrective Action* page is a list of all health IT products for which a non-conformity has been recorded. It is found by clicking the button called "Products: Corrective Action" on the homepage of the CHPL site or under the "Shortcuts" link on the top menu bar in the top right-hand corner. This page includes all listings on the CHPL that have had at least one non-conformity ever recorded. It also includes the number of open and closed non-conformities for the listing.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- # Open Surveillance NCs = Number of surveillance non-conformities still under review by ONC or an ONC-ACB for the listing
- # Closed Surveillance NCs = Number of surveillance non-conformities resolved through corrective action or removal ofcertification status for failure of correction action for the listing
- # Open Direct Review NCs = Number of Direct Review non-conformities still under review by ONC or an ONC-ACB for the listing
- # Closed Direct Review NCs = Number of Direct Review non-conformities resolved through corrective action or removal ofcertification status for failure of correction action for the listing

#### **SED Information for 2015 Edition Products Page**

This page is found by clicking the button called "SED Info for 2015 Ed. Products" on the homepage of the CHPL site or under the "Shortcuts" link on the top menu bar in the top right-hand corner. This page includes all listings on the CHPL that have certified to the Safety-Enhanced Design criterion (§170.315 (g)(3)). It provides a link to view all of a particular listing's SED information in one screen.

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product

#### **SVAP Information Page**

This page is found by clicking the button called "SVAP Information" on the homepage of the CHPL site or under the "Shortcuts" link on the top menu bar in the top right-hand corner. This page features Health IT Module(s) that have successfully adopted advanced interoperability standards through the Standards Version Advancement Process (SVAP).

This page includes the following information:

- CHPL ID hyperlink = The product's unique CHPL ID and link to view the listing details page
- Certification Edition = Certification Edition of the product (e., 2015, 2015 Cures Update)
- Developer = Name of the product's developer
- Product = Name of the product
- Version = Version of the product
- Status = Certification status of the product
- SVAP Information = the SVAP value the listing has certified to
- SVAP Notice = the hyperlink to the Developer's notice to its customers regarding updating its Certified Health IT Module/s to the latest approved SVAP value

#### **HOW TO REGISTER FOR AN API KEY**

The CHPL allows users to access CHPL data through application program interfaces (API). In order to use the CHPL APIs, a user must first register for them on the CHPL website.

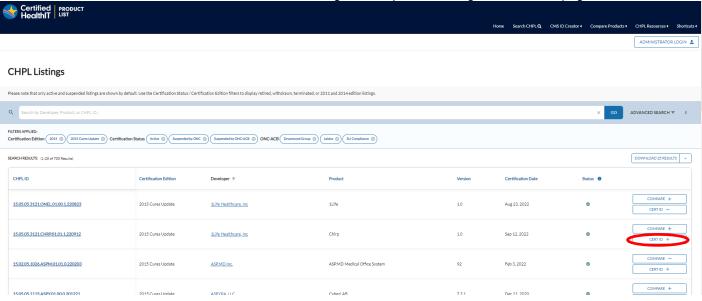
- 1) Navigate to the CHPL website: https://chpl.healthit.gov
- 2) Click the "CHPL Resources" menu on the top menu bar in the top right-hand corner.
- 3) Under the CHPL Resources menu, select "CHPL API."
- 4) Under the Registration box, enter the name or organization and provide an email address.
- 5) Click the green "Register" button.
- 6) The website will display an API key. An email with the unique key assigned to the user will be sent to the email address provided.

Note: Additional documentation for the APIs is provided on the CHPL API page.

#### **CMS EHR CERTIFICATION ID CREATION**

#### How to Create a CMS EHR Certification ID

- 1) Navigate to the CHPL website: <a href="https://chpl.healthit.gov">https://chpl.healthit.gov</a>
- 2) Filter the search results for the product(s) that will be used to create the CMS EHR Certification ID
- 3) To add the product(s) that are in the search results, there are two options:
  - a. Click the "CertID +" button to the right of the product listing on the search page;

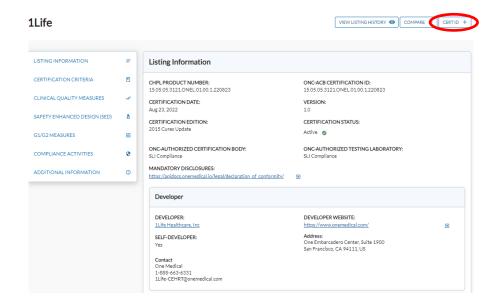


OR

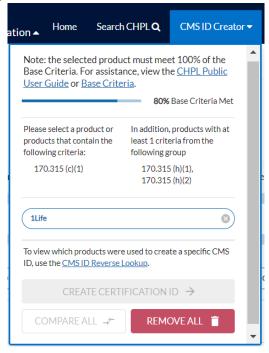
b. Click the CHPL ID hyperlink to see the product details page of the listing and then click the "CertID +" button in the right-hand side of the screen.



ONC



4) Once the product is added, the 'CMS ID Creator' widget, between the "CHPL Search" and "Compare Products" tabs at the top menu bar in the top right-hand corner of the site, will expand showing the product name and current status. Note: This widget can be minimized or maximized by clicking 'CMS ID Creator'. Additionally, the 'CMS ID Creator' widget will provide information about what is needed in a product to meet the Base EHR requirement and allow for the CMS EHR Certification ID to be generated.



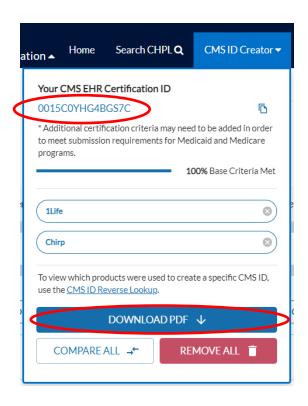
5) As additional products are added to the collection, the percentage for the Base Criteria and the information related to what information in a product is still needed will update accordingly.



- 6) Once all of the desired products have been entered and meet 100% of the Base Criteria, a CMS 2015 Cures Update EHR Certification ID can be generated.
- 7) Click the blue "CREATE CERTIFICATION ID" to generate the CMS EHR Certification ID which corresponds to the selected products. *Note:* If you are unable to click the blue button, the Base Criteria has not been met yet.

Note: Some withdrawn or terminated certified products may still be used to generate CMS EHR Certification IDs: <a href="https://www.cms.gov/Regulations-and-Guidance/Legislation/EHRIncentivePrograms/FAQ">https://www.cms.gov/Regulations-and-Guidance/Legislation/EHRIncentivePrograms/FAQ</a>. In these cases, you may need to search for your product using the "Certification Status" filter. Please contact CMS (<a href="https://www.cms.gov/apps/contacts/">https://www.cms.gov/apps/contacts/</a>) for any questions or concerns regarding whether your product with a withdrawn or terminated certification status is still eligible for the program.

8) Once the CMS EHR Certification ID is generated, it will be displayed in the CHPL widget. Additionally, an option to download the ID in a PDF which can be saved or printed as required will be presented as well.

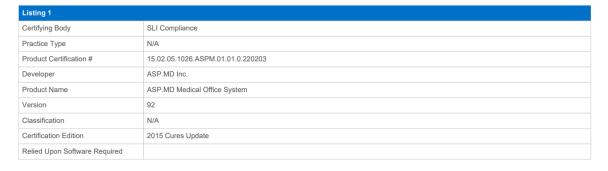


9) Once the PDF is downloaded, it will be saved to the default download location. Once opened, the PDF will display the details of the products added into your selection, and the CMS EHR Certification ID will be prominently displayed at the top.

## **Certified Health IT Product List**

The CMS EHR Certification ID shown corresponds to the collection of products listed below. Submit this ID as part of the attestation process for the CMS EHR Incentive Programs.

CMS EHR ID: 0015CPV4ZTB4WBU



<sup>\*</sup> Additional certification criteria may need to be added in order to meet submission requirements for Medicaid and Medicare programs.

#### How to Look Up a CMS EHR Certification ID

- 1) Navigate to the CHPL website: https://chpl.healthit.gov
- 2) Click the "CHPL Resources" menu on the top menu bar in the top right-hand corner.
- 3) Under the CHPL Resources menu, select "CMS ID Reverse Lookup."
- 4) Enter the CMS EHR Certification ID(s) to be pulled up under "Lookup CMS EHR Certification IDs" and click the search (magnifying glass icon) button.
- 5) IDs can be separated by spaces, commas, or semi-colons.
- 6) Click the "Download Results" button at the top of the list to download the full list of certified products as a comma delimited (csv) file.

#### CMS ID Reverse Lookup

