

State Level Health Information Exchange: Roles in Ensuring Governance and Advancing Interoperability

**Preliminary 2007 Findings from the
State-level HIE Consensus Project**

**HIMSS Chapter RHIO Liaison Roundtable
October 18, 2007**

State Level HIE Consensus Project

- **Background:**

- Launched in 2006 by Office of the National Coordinator for Health Information Technology (ONCHIT)
- Contract with Foundation of Research and Education/American Health Information Management Association

- **Context:**

- Proliferation of RHIOs evolving to Health Information Exchange (HIE)
- Emergence of distinct state level HIE initiatives
- Interest in advancing a sustainable nationwide HIE infrastructure

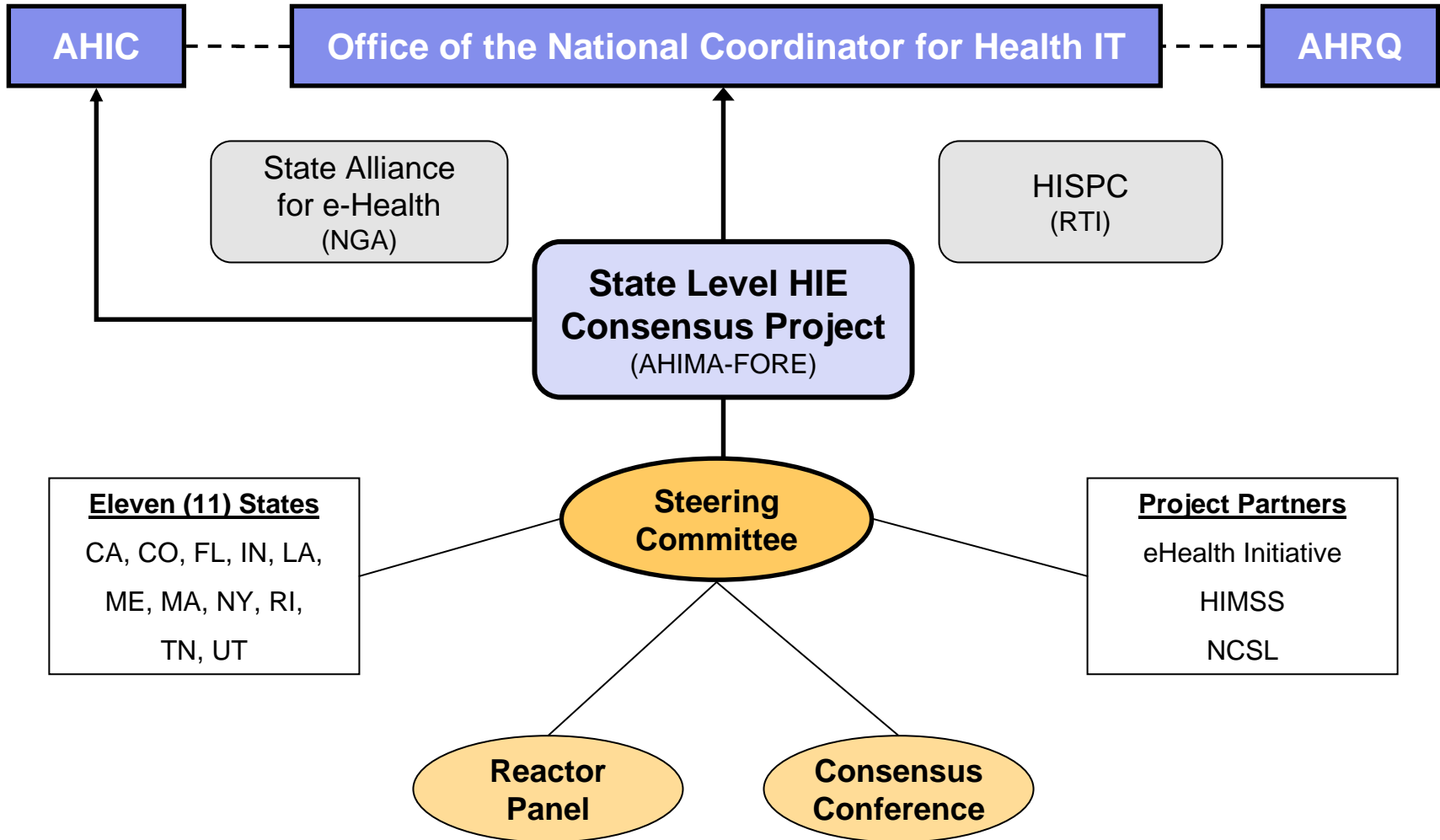
- **Scope:**

- Formative field research and analysis
- Inform HIE development and strategy
- Steering Committee of state HIE leaders

- **Deliverables:**

- Series of reports and commentary as guidance for states and to inform federal strategy (www.staterhio.org)
- Learning community of state level HIE organizations

Project organization

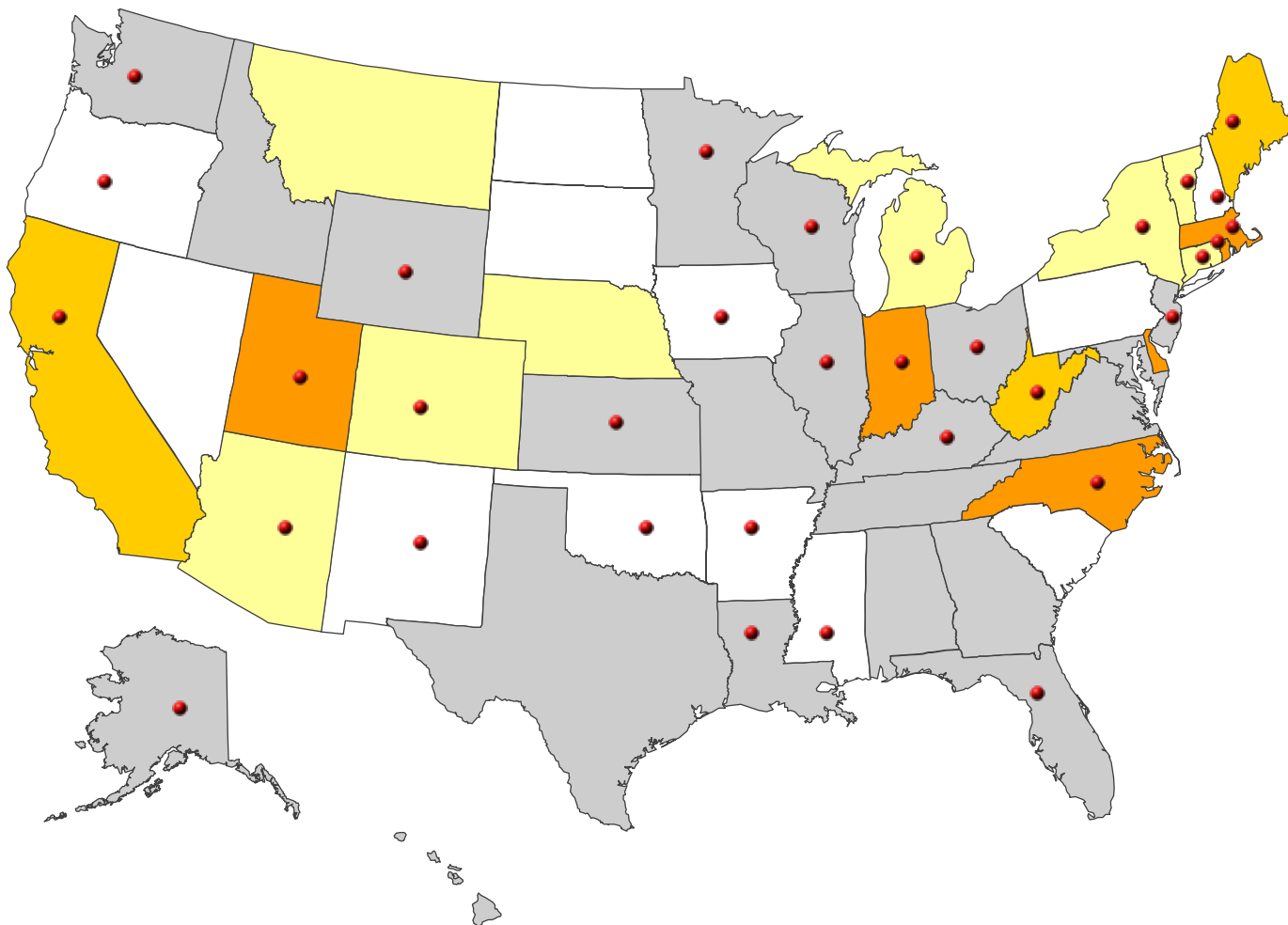


Toward an effective network of networks: Overarching Questions

1. What essential HIE roles and responsibilities should be defined for different types and levels of HIE organizations?
2. How can resources be channeled to build and sustain these levels of organizational HIE capacity and achieve necessary levels of scale?
3. How should the HIE policy environment be aligned to create positive financial and nonfinancial incentives and facilitate local, state, regional, and national interoperability?
4. What business model will support multilevel HIE functions?
5. How should appropriately defined HIE entity qualifications, accountabilities, and oversight mechanisms be established?

State level HIE

Current trends across states



Independent private/public partnership incorporated (before Aug 2005)

Independent private/public partnership incorporated (Aug 2005 - Aug 2006)

Independent private/public partnership incorporated (after August 2006)

Advisory council created by legislation or Exec Order

HIE Privacy and Security (HISPC) Initiatives



Observations

- Most state level HIEs, like other HIEs, are early in their development.
- Even established state level HIE entities face sustainability challenges
 - Financing/business model
 - Lack of consensus about roles across regions/sectors
 - Lack of strategic alignment between states/federal HIE efforts
- Privacy and security concerns and health care reform interest from states are focusing attention on HIE infrastructure and accountability.

Observations

- Emerging state-level HIE initiatives aspire to become independent public-private organizations...but progress is slow.
- Most state-level HIEs aspire to support technical components of exchange...but approaches vary significantly and business models unproven.

State level HIE project tasks

Task 1: Clarify the distinct and necessary functions of state-level HIE initiatives

- Relationship to other types of HIE entities (e.g., local, regional, and national levels)
- Core governance functions especially related to privacy and security

Task 2: Assess institutional and financial implications for state level HIE functions

- Business models for supporting state level functions within multilayered HIE infrastructure
- Issues and challenges across HIE environments
- Appropriate functions, qualifications, and support needed for state level HIE entities in the context of a multilayered HIE infrastructure.

Task 3: Assess the current landscape of operational HIE policies and practices across various HIE environments to inform NHIN development

- Current issues and challenges in establishing policies and practices for data access, use and control
- Gaps and priorities for strengthening HIE governance/coordination functions to build capacity needed for NHIN core services

Task 4: Begin to define a consistent framework for HIE organizational roles and accountability

- Organizational criteria for roles and functions of state-level and other types of HIE entities
- Implications of potential accreditation/certification scheme for advancing sustainable HIE
- Models for government recognition of and support for state level HIE governance and implications for various HIE environments

Task 1

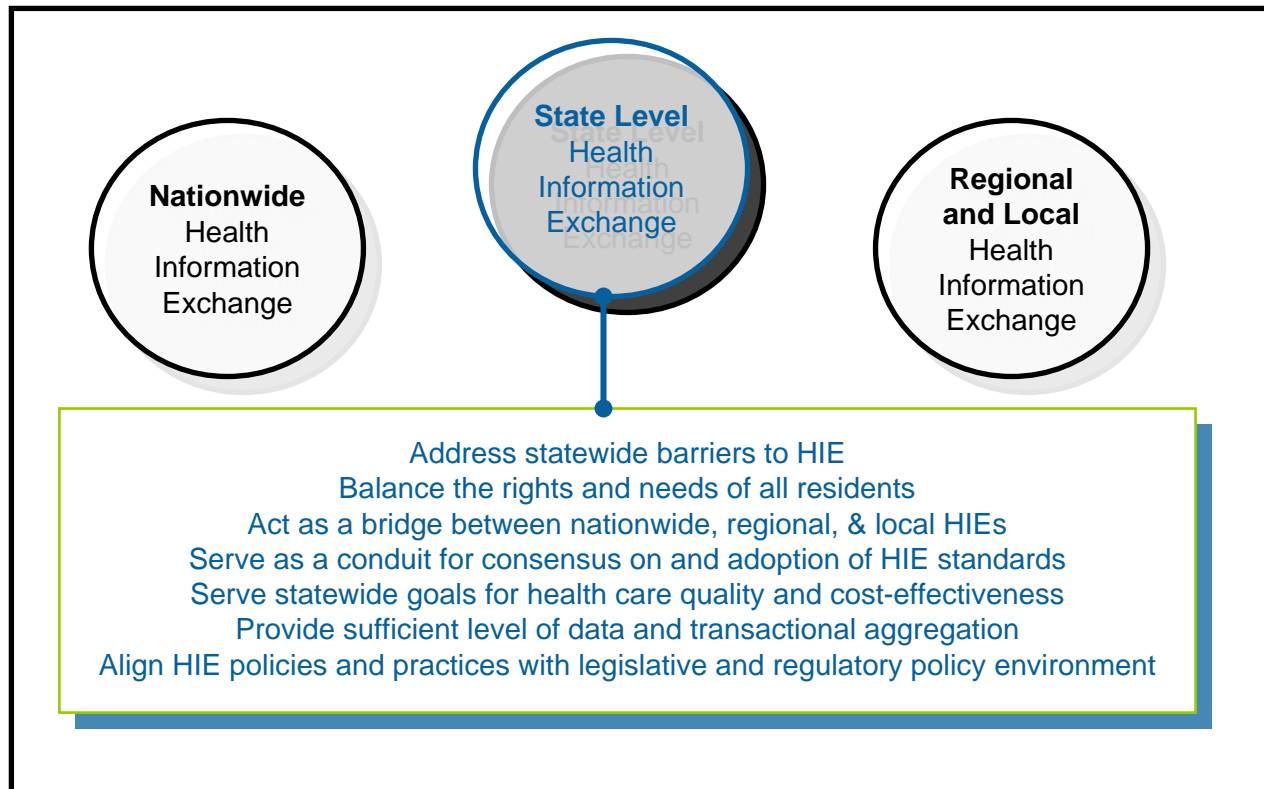
Preliminary findings for discussion



Building from 2006 Project findings

- State level is an important logical organizational level for HIE efforts.
- There are identifiable HIE functions related to convening, coordinating and (optionally) technical operations that need to be performed at the state level.
- The structure most appropriate for carrying out these functions is a public-private collaboration.

Relevance of the state serving as an organizational unit for HIE



Emerging lessons: Key Ingredients to Success

- Organization of state leadership
- Creation of public private leadership vehicle
- Multi-stakeholder
- Governance and relationship with exchanges within a state

Emerging lessons: Key Issues as market evolves

- How states participate in emerging national processes
- Definition and management of vendor relationships...
- Evolution of early stage to sustainable models....

Realizing a transformational agenda

Distinct roles and functions

- Priorities for state-level HIE organizational roles
 - Consistent application of HIE policies, practices and interoperability standards
 - Redefining relationships and degrees of collaboration vs competition to achieve HIE social benefit
 - Accountability for appropriate controls over data access, use and control
 - Mobilization of data from diverse sources (with a long range goal of being able to understand and manage clinical and population health risks)

Distinct state level HIE functions

- State-level HIEs functions coalesce around two roles:
 - governance
 - technical operations
- The core functions of *governance* include:
 - convening
 - coordinating

Considering HIE governance

Governance

- Leadership processes, decisions that define expectations, grant power, or verify performance.
- Developing/managing consistent, cohesive policies, processes and decision rights for a given area of responsibility.

HIE governance:

“the infrastructure and processes used to develop, implement, and enforce policies, procedures and practices including those policies, procedures, and practices that are specifically related to privacy and security, enabling health information exchange between organizations.” (L.Dimitropoulos, RTI for HHS, July 2007)

Elements of Governance:

- Source of authority
- Legal entity
- Participants and stakeholders
- Decision-making processes

State level HIE functions and roles

SLHIE role	Governance		Technical Operations (Optional)
Function	Convening	Coordination	Operating
Tasks	<ul style="list-style-type: none"> • Organizational leadership and structure <ul style="list-style-type: none"> – Neutral venue for diverse stakeholder collaboration – Support board/business operations for non-profit org • Information resource for stakeholders and HIE development • Advocacy for HIE adoption 	<ul style="list-style-type: none"> • Facilitate statewide HIE implementation • Facilitate alignment with local, interstate, regional, and national strategies • Promote consistent application of effective statewide HIE policies and practices • Facilitate collaborative development of public policy options and ongoing health care reform efforts 	<ul style="list-style-type: none"> • Owning or contracting for hardware, software necessary for statewide technical capacity • Manage technical operations to facilitate health data exchange <ul style="list-style-type: none"> – Technologically link local HIE efforts – Serve as central hub for data sources/services

Rationale

State level governance role

- The value of organizational leadership and the distinct work of convening and coordination
 - A neutral venue for diverse stakeholder collaboration or RHIO 2.0 is the default
 - The path of least resistance is to a new configuration of disconnected silos—the silos are may be larger, but they're still silos
 - The patient/consumer loses again
 - Those who pay for health care (all of us) lose again
 - Security and privacy issues: The boon or the bust
 - The boon: well coordinated and co-developed
 - » Alignment between government and consistent policy implementation and organizational practices
 - » Confidence and progress toward widespread interoperability
 - The bust: uncoordinated
 - » prolong the development phase
 - » derail efforts almost completely
 - » alienate once-committed stakeholders
 - » invite uninformed intervention

Rationale

State level governance role

- The value of a dedicated resource for collaborative HIE development (promoting adoption, sustaining HIE)
 - No social capital, no sustainability
 - Trust is created through a LOCAL vision, structure and set of bylaws that results in a willingness to supply data, solve problems and support the exchange (governance can't be outsourced)
 - Inclusiveness matters: people support what they create (Meg Wheatley)
 - No market knowledge, no sustainability
 - Understand local motivations, perceived impact, and value of HIE products and services
 - Understand and respond to the unique features of the market and value of proposed functionalities
 - » Quantifiable returns for stakeholders (individual and aggregate)
 - » Who wins and who loses (requires sophisticated assessment e.g. net present values, internal rates of return)

Considering the emerging HIE landscape

Conclusions

1. A more defined formal structure for HIE roles and functions of the organizations performing them is necessary for effective interoperability within and across states.
2. Steps to further define and formalize HIE roles and functions must accommodate the realities of a still-developing and fragile HIE infrastructure.
3. The nationwide HIE landscape will likely consist of interconnected HIE entities particularly qualified to perform certain key functions.
 - Governance at the state level
 - Combined with one or more HIE technical HIE operations
 - Configurations to serve particular locales and/or constituents.

Current strategic guidance

Preliminary recommendations

1. Defining and verifying HIE organizational capacity

- Objective criteria and methods by which to verify organizational capacity
- Two primary organizational roles – governance and technical operations.

2. Explicit support from state government for one distinct state level HIE governance entity constituted as an independent public-private partnership

- Provide formal recognition, empowerment, authority as appropriate
- Facilitate sustainability by enabling an HIE governance entity to receive financial and nonfinancial benefits
- Prevent fragmentation and provide for streamlined leadership and functions related to convening and coordination.
- Vehicle for support and participation from state agencies, offices etc.

3. Define how responsibilities of the state level HIE governance entity relate to privacy and security

- Consensus-based implementation of HIE policies and practices consistent with state and federal laws.

4. Designated formal point of leadership and coordination within state government

- facilitate HIE participation, investments, and strategies across the executive branch and agencies.

5. State government and state level HIE collaboration to advance HIE

- Develop mechanisms for the increased adoption of certified technology and other standards.

Tasks 2 and 3 research and analysis

Findings expected

- Further definitions of governance vs operator roles
- Application of roles and functions within different HIE environments
- Categorization of current operational issues and challenges in putting HIE policies into place related to data access, use and control
- Understanding issues relative to a potential designation-accreditation scheme and establishing criteria for HIE roles and functions

Opportunity for input

Consensus Conference Nov 5-6

- **Building Sustainable Health Information Exchange: Roles for State Level Public-Private Partnerships**
 - November 5-6, 2007
 - Open and free of charge to all interested
 - Washington Marriott
1221 22nd Street, NW
Washington, DC 20037
- **Conference Objectives**
 - Listen to leading states
 - Learn from the latest research on the evolution of state level HIE and governance
 - Consider HIE organizational functions and roles
 - Provide input and help to develop points of consensus for strengthening and expanding HIE at national, state and local levels.

Further information

- www.staterhio.org for the series of Project reports, workbook and commentary including the recently released report:

“State-Level Health Information Exchange:

Roles in Ensuring governance and Advancing Interoperability”

A Report of Preliminary Findings and Recommendations from the State – Level Health Information Exchange Consensus Project

- Contact information:

Lynn Dierker, RN, Director

State Level Health Information Exchange Consensus Project

Foundation of Research and Education,

American Health Information Management Association

Lynn.dierker@ahima.org