Disclosures

Kate Kiefert, Contractor/Consultant ONC Health IT Resource Center has no real or apparent conflicts of interest to report.

Chris Underwood, Colorado Health Care Policy and Financing, Director Health Information Office and Interim Director of Office of eHealth Innovation has no real or apparent conflicts of interest to report.
Agenda

• Introductions and Agenda
• Learning Event Objectives
• Context
• Foundational Components to Govern Health IT
• Emerging Trends
  » Increasing Health IT Use Case Complexity
  » Drivers, Barriers, and Perceptions
• Critical Components to Broaden Governing for Health IT
• State Example – Colorado
• Additional Resources
Accountable Oversight and Rules of Engagement for APM Data Infrastructure Learning Event Objectives

• To discuss state’s needs and barriers for governing Health IT modular functions

• To discuss approaches for addressing and strengthening the accountable oversight of Health IT modular functions

• To discuss how to leverage the Health IT modular foundational components as tools for
  » clarity of stakeholders roles and responsibilities,
  » accountability among public and private partners, and
  » creating a model for public transparency for Health IT and information sharing supporting payment and delivery system reform efforts.
Context: Connecting Health and Care for the Nation - A Shared Nationwide Interoperability Roadmap

- Shared Decision-Making, Rules of Engagement, and Accountability

  “Establishing a common set of standards, services, policies and practices [for health information technology interoperability] is best accomplished through an inclusive and transparent process that sets priorities, makes decisions, establishes authorities and rules of engagement and ensures accountability. This activity is often referred to as ‘governance.’ Governance processes also help establish trust between disparate data trading partners and build confidence in the practices of the other people or organizations with whom electronic health information is shared.”

States Advancing How Health IT is Governed

- States are transitioning to new payment and delivery system models
  - Increasing the needs for a broader trust network to include new data sources and users
  - Supporting additional patient populations and community settings
  - Creating a flexible and adaptable Health IT framework
  - Accelerating the need for extended and shared Health IT ecosystem of functions and infrastructure
  - Cultivating the Health IT community’s vested interest in participation to gain value from the common resources
Advancing the Foundational Components for Governing Health IT to Support APMs

### Importance of Foundational Components for Governing Health IT

- **To enable use of Health IT Modular Functions**
  - Supporting multi-payer endeavors, such as value-based payment and service delivery model reform
  - Increasing the value proposition for more complex Health IT use cases

- **To advance interoperability of health and non-health information**
  - Advancing use of certified technology and standards-based information
  - Accelerating exchange of information across the health care and care that impacts health

- **To ensure the appropriate stakeholder involvement**

### Foundational Components Table

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<thead>
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<th>Reporting Services</th>
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<td><strong>Identity Management</strong></td>
<td><strong>Provider Directories</strong></td>
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<td><strong>Security Mechanisms</strong></td>
<td><strong>Consent Management</strong></td>
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<th>Accountable Oversight &amp; Rules of Engagement</th>
<th>Policy/Legal</th>
<th>Financing</th>
<th>Business Operations</th>
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Foundational Components for Governing Health IT

Cooperative Decision Making Processes
Oversight Mechanisms
Transparency of Rules
Appropriate Enforcement

Clarity on Engagement Rules
Qualifications Requirements
Roles and Responsibilities
Technical Specifications

Common Objectives
Business and Data Use Agreements
Privacy & Security Requirements
Performance Metrics and Targets

Data Sharing Policies
Legal Framework
Policy Levers
Contractual Requirements

Shared HIT Investments
Funding Distribution
Fiscal Oversight
Sustainability

Accountability
Increasing Complexity When Governing HIT Use Cases

- Care Coordination and Delivery Across Organizations
  - HIE Services for Care Coordination across clinical care delivery network (Directed exchange, Direct secure messaging, longitudinal record)

- Care Coordination Across Systems
  - Behavioral health information exchange for integrated care

- Measurement Across Payers, Organizations, and Systems
  - Multiple measurement needs for reporting and analytics across multi-payer & providers supporting value-based payment models

- Service, Care, and Data Across Sectors
  - Exchange of information across health and non-health data sources and community partners supporting social and environmental determinants of health

Coordination among siloed structures (Human Services, Medicaid, Providers, Payers)
Emerging Trends Accentuating Needs for Advanced Governing of Health IT to Support Value-based Payment Models

**Drivers**
- Delivery system reform
- Increasing data needs and sources
- Increasing use case complexity
- Expanding health IT community
- Advancing technical needs
- Sustainability planning

**Barriers**
- Blocking of information
- Competing technical and business priorities
- Emerging siloed solutions
- Underdeveloped technical solutions
- Multiple data organizations & functions

**Perceptions**
- Turf
- History
- Ego
- Money

**Coordination of Governing Functions**
- Decision Making Processes
- Accountable Oversight
- Rules of engagement
- Common, aligned objectives
- Policy Levers
- Measurement
- Business Operations
- Financing
- Adaptability for new models and uses
Critical Key Components for Advancing the Foundational Components

- Leadership
- Neutral convening
- Decision points and processes
- Trusted partners
- Common goals
- Strategy alignment
- Mechanisms to afford flexibility
## Benefits – Advancing the Foundational Components to Govern Health IT

### Modular Functions

#### Organizational
- Coordinated Health IT Community
- Clarified roles and responsibilities
- Transparency by formalizing relationships
- Aligned investments and priorities
- Common policies
- Advise policy/regulations

#### Functional
- Defining health IT functions and infrastructure
- Communication of best practices
- Privacy/security requirements
- Program oversight and measurement
- Common data policies

#### Implementation
- Movement towards standards use and certified technology
- Reuse technical infrastructure and functionality
- Data governing policies and procedures
- Testing, monitoring, and improving data quality
- Expanded technology and information use cases
**Organizational**
- Standard Operating Procedures
- Policy levers/Legal Framework/Contractual obligations
- Systematic approach health IT strategy/priority
- Process for policy/regulatory/legal recommendations
- Designation/participation requirements

**Functional**
- Shared objectives and metrics
- Required common business and DUAs
- Coordinated fiscal administration for funding assistance, distribution, and paying for services
- Align health IT workgroups

**Implementation**
- Articulate standards and certification requirements
- Identify shared HIT functions
- Recommend or require technology
- Performance and data quality assessment and measurement
HEALTH IT GOVERNANCE NEEDS

To support the long-term vision for “enhancing value and strengthening sustainability through the use of health IT to improve health in Colorado” stakeholders and state leaders identified the following needs:

- A transparent and accountable structure supporting shifts in health IT funding, health reform priorities, and sustainability
- Additional technical capabilities and data sources
- Coordination of expanding health IT stakeholder community
- Clarity for recommended “rules of the road” for secure, effective sharing and use of health information and technology
- Reduce or remove of barriers for effective information sharing
- Build and strengthen technical infrastructure in Colorado
## HEALTH IT GOVERNANCE FUNCTIONAL GAPS

### Advisory
- No clear, central entity advising the stakeholders on health IT information beyond HIE
- Multiple technical organizations with **no clearly defined common policies, standards**
- No common health IT roadmap based on use cases
- No central entity advising emerging technologies to compliment the health IT infrastructure ecosystem

### Administrative
- No independent program oversight for cross-organization statewide projects advancing HIT
- No **independent** entity advising on funding proposal, funding distribution, organizational criteria for participation, or performance oversight
- No widespread, statewide communication of **best practices**

### Technical
- No statewide enabling infrastructure tying organizations and the state agencies together
- No common, gateway to state data systems
- No statewide **interoperability** of health information
- No **coordinated plan** to meet increasing needs for data from non-clinical/health sources
GOVERNANCE RECOMMENDATION PROCESS

- **Representation** - Geographic, constituencies, and state agencies represented

<table>
<thead>
<tr>
<th>HIT SDE Action Committee</th>
<th>Representing</th>
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<tbody>
<tr>
<td>Governor’s Office</td>
<td>State Designee</td>
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<td>Department of Health Care Policy and</td>
<td>State Designee, Medicaid</td>
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<td>Financing</td>
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<td>Department of Public Health and</td>
<td>State Designee, Public Health</td>
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<td>Environment</td>
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<td>Western Slope, Provider/business</td>
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<td>Foresight Family Physicians</td>
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<td>Rocky Mountain Health Plans</td>
<td>Western Slope, Payer</td>
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<td>Front Range, Hospitals</td>
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<td>Colorado Community Managed Care Network (CCMCN)</td>
<td>Front Range, FQHCs</td>
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<td>Front Range, CORHIO-HIE</td>
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RECOMMENDATION

ORGANIZATIONAL FUNCTIONS AND AUTHORITY

**Advisory Resource**
- Create guidelines for engagement
- Policy levers and/or regulatory requirements to accelerate HIT adoption and interoperability
- Create central advisory resource support future health information technology

**Administrative and Operations**
- Provide neutral convening across governing bodies
- Communicate the state HIT strategic initiatives
- Program performance metrics
- Financial oversight of public HIT funds
- Program oversight and coordination
- Workgroup coordination

**Technical Infrastructure**
- Central governing entity will not maintain or build technical services
- Support “network of networks”
- Use current investments
- Assess and expand Colorado’s health IT ecosystem to support state health transformation goals
- Do no harm
EXECUTIVE ORDER B 2015-008

▪ Executive Order B 2015-008 - created the Governor’s Office of eHealth Innovation and eHealth Commission with fiscal administrative support from the Department of Health Care Policy and Financing (Medicaid)

▪ Establish an open and transparent statewide collaborative effort to develop common policies, procedures, and technical approaches that will enhance the state’s Health IT network;

▪ Promote and advance data sharing by reducing or removing barriers to effective information sharing;

▪ Support health innovation and transformation by enhancing Colorado’s information infrastructure; and

▪ Improve health in Colorado by promoting meaningful use of Health IT.
Available Funding
Medicaid 90-10
SIM
Future Grants

Grant Awards to Qualified Entities who submit proposals with sustainability plans to eHealth Commission

Qualified Entities
Vendors/Applications
National Models

- Nationwide Health Information Exchange –
  
  » The Sequoia Project - [http://sequoiaproject.org/](http://sequoiaproject.org/)
  
  » Carequality - [http://sequoiaproject.org/carequality/](http://sequoiaproject.org/carequality/)
  
  » DirectTrust - [http://www.directtrust.org/](http://www.directtrust.org/)
  
  » SHIEC - [http://strategichie.com/](http://strategichie.com/)
  
  » NATE - [http://nate-trust.org/](http://nate-trust.org/)
ONC Assistance and Resources

• ONC has significant experience and resources in all aspects of Health IT, including standards and testing, policy development, privacy and data sharing, and implementation guidance.

• The ONC Resource Center can provide specific TA as requested by SIM states

• **Supporting Materials:**
  » ONC Health Information Exchange Governance - [https://www.healthit.gov/policy-researchers-implementers/health-information-exchange-governance](https://www.healthit.gov/policy-researchers-implementers/health-information-exchange-governance)
  » SIM_TA Partner Webinar - Manatt - Org Governance Requirements in Value Based Payments - SIM Connect
  » Information Blocking Complaints - [https://www.healthit.gov/healthitcomplaints](https://www.healthit.gov/healthitcomplaints)
Next Steps

• **Listening Session** –
  
  » *Wednesday*, April 27, 2016 – 4:00 pm ET
  
  » **Conference Line**: 1–877-928-8611
  
  » **Participant Code**: 43294870

• **Questions** –
  
  » Kate Kiefert ([kate.kiefert@hhs.gov](mailto:kate.kiefert@hhs.gov))
  
  » Chris Underwood ([chris.underwood@state.co.us](mailto:chris.underwood@state.co.us))
  
  » Carrie Paycok ([carrie.paycok@state.co.us](mailto:carrie.paycok@state.co.us))