The State Level Health Information Exchange Consensus Project

Advancing State-level Efforts to Transform Healthcare with Health IT

NCSL Legislative Summit
July 24, 2008

Lynn Dierker, RN
Project Overview

• Launched in 2006
• Targeting organized state-level HIE efforts (not to be confused with state government)
• Field research and analysis (statewide initiatives)
  • Governance
  • Financial and operational characteristics,
  • Health information exchange policies and practices, and
  • Short and long-term priorities for implementation and sustainability
• Annual consensus conference to refine guidance
• State-level resources: State Level Health Information Exchange Initiative Development Workbook, programs, presentations
• Input to national HIE strategies, projects
• Series of reports, www.Staterhio.org
State Level HIE Consensus Project
Scope - Collaboration

Office of the National Coordinator for Health IT

State Alliance for e-Health (NGA)

State Level HIE Consensus Project (AHIMA-FORE)

HISPC (RTI)

Leadership Forum
50 states
SLHIE leaders

Project Steering Committee
13 States

SLHIE Implementation Guidance

Consensus Building

Research Emerging Models & Practices

Project Partners
eHealth Initiative
HIMSS
NCSL
## Steering Committee

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<thead>
<tr>
<th>State</th>
<th>Name</th>
<th>Position/Role</th>
<th>Organization/Company</th>
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<tbody>
<tr>
<td>California</td>
<td>Don Holmquest, MD, PhD, JD, CEO</td>
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<td>CalRHIO</td>
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<td>Colorado</td>
<td>Lynn Dierker, RN, Senior Advisor/Board</td>
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<td>Delaware</td>
<td>Gina Perez, Executive Director</td>
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<td>DHIN</td>
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<td>Florida</td>
<td>Christopher Sullivan, PhD</td>
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<td>FHIN</td>
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<td>Marc Overhage, MD, PhD, CEO</td>
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<td>Roxane Townsend, MD, Asst. VP</td>
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<td>LSU Health Systems, LA</td>
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<td>Maine</td>
<td>Devore Culver, Executive Director</td>
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<td>HealthInfoNet</td>
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<td>Massachusetts</td>
<td>Ray Campbell, Esq., MPA</td>
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<td>MA Health Data Consortium</td>
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<td>Beth Nagel, Health Information Manager</td>
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<td>New York</td>
<td>Rachel Block, Executive Director</td>
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<td>New York eHealth Collaborative</td>
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<td>Rhode Island</td>
<td>Laura L. Adams, President and CEO</td>
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<td>RI Quality Institute</td>
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<td>Tennessee</td>
<td>Antoine Agassi, Director and Chair</td>
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<td>TN eHealth Council</td>
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<td>Utah</td>
<td>Jan Root, PhD</td>
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“States”- commonly refers to state government roles and responsibilities (health care policy, regulation and oversight, public health, public insurance programs i.e. Medicaid, public employees)

“State-level health information exchange” - refers to organized state-level efforts ranging in structure and development but with common features related to advancing interoperability

• **Key dimensions:**
  • Serving statewide public policy goals for improving health care quality and cost-effectiveness
  • Entity with a statewide scope for advancing HIE
  • A multi-stakeholder public-private partnership as a governance structure
Significant State-level Efforts
Project Findings 2008

• Continuing expansion and evolution in state-level HIE efforts
  • Almost all states have established state-level HIE initiatives/governance entities
  • Advanced state-level efforts poised to begin data exchange
  • Health care reform, privacy rights and confidentiality protections are drivers
December 2005
An Evolving Landscape

State/Regional Contracts (6)

1. Early Planning
2. Foundational
3. Early Implementation
4. Operating
December 2007
State Level HIE Landscape

State/Regional Contracts (6)
Medicaid Transformation Grants – HIE/EHR focus (15)
NHIN Trial Implementation (9)
Summer 2008
Continued Development

State/Regional Contracts (6)
Medicaid Transformation Grants – HIE/EHR focus (15)
NHIN Trial Implementation (9)

1. Early Planning
2. Foundational
3. Early Implementation
4. Operating
Infrastructure to Transform Health Care

Necessary Components

Conceptual Framework for HIE Sustainability

**Requisites**
- Leadership
- Strategic Directional Vision
- Social Capital
- Human Capital
- Business Case
- Accountability

**Components**
- Governance and Accountability Structures
- Internal Organizational Policy
- Business Plan including Start-up Capital
- Technical Infrastructure
- Information Assets Necessary for Services
- HIE Services
- Public Policy to Support Business Case and Consumer Protections

**Environmental Influences:**
- Government Policy, Rules and Regulation
- Public & Private Payment Policy
- Competition
- Stakeholder Interests
- Health System Challenges

**Outcomes**
- Health Information Access and Use for Higher Quality and More Efficient Health Care including Individual and Population Health

**Results**
- Value of HIE Demonstrated as a Public Good
- Stakeholder Trust
- Effective and Appropriate Data Use for Patient Care, Population Health, Health System Improvement, Clinical Research, Treatment Design, etc.
- Full Interoperability of Health Information Across All Stakeholders
- Sound Data Management Established with Proper Safeguards
Considering Statewide HIE
Key Questions

• What is the distinct value for state-level HIE activity?
• Is there a state level “approach” or model for implementing HIE?
• How do state-level efforts relate to achieving the benefits of widespread interoperability (i.e. state – region - nationwide)?
Major State-Level Issues
HIE Implementation

- **Stakeholder engagement**
  - Building trust for HIE among data sources and beneficiaries
  - Moving beyond competition, HIE as shared investment for public good
  - Engaging sectors, payers, leveraging Medicaid and Medicare

- **Organizational infrastructure**
  - Organized functions, roles to lead and maintain statewide HIE

- **HIE roles for state governments**
  - Clarity about effective state government HIE roles, organization

- **Resources – Financing strategies**
  - Sources of start-up capital
  - Financial models for long term sustainability including support for state-level HIE roles

- **Federal/state-level coordination**
  - Roadmap for how state-level HIE relates to federal programs
  - Advancing state-level interests and perspectives

- **Accelerating HIE development**
  - Collaboration within and among states
  - Finding easily replicable early wins
Trends and Models Across States

- **Migration to two distinct & key organizational roles**
  - *Governance*: convening, coordination
  - *Technical operations*: owned and/or managed

- **State-level HIE governance role is primary**
  - Statewide technical approaches can vary and will likely evolve
  - Some state-level entities provide governance alone, others both governance and technical operations

- **State level HIE governance entity is a public-private partnership entity**
  - Role *between* state government and the health sector and industry
  - Involves state government, but independent of state government

- **State governments play important roles**
  - Designating authority to a state level HIE governance entity
  - Providing resources: start up and ongoing
  - Leveraging public programs, policy levers to create incentives for HIE
“Governance” vs Government

- **State-level HIE “governance”**
  - Convene and build *trust* for data sharing among diverse statewide stakeholders (“Switzerland”)
  - Lead and coordinate *consensus-based* efforts
    - The *statewide roadmap* for interoperability (strategies, relationships, timelines for the particular characteristics of a statewide landscape)
    - *Shared investments* in HIE infrastructure
    - *Consistent policies, procedures and practices* related to data use, access, and control to ensure privacy and confidentiality provisions.

- **State-level HIE governance entity**
  - Sits between state government and the health care sector
  - Incorporates and serves any configuration of HIE networks or local RHIOs, agencies, and relevant medical trading areas
  - Mission to facilitate health care quality and cost-effectiveness and compliance with prevailing laws and regulations and sound data management practices
  - Neutral and skilled resource serving all stakeholders
Roadmaps to Interoperability

• **State governments play important roles**
  - Designating authority to a state level HIE governance entity
  - Providing resources: start up and ongoing
  - Leveraging participation by public programs,
  - Structuring policy levers to create incentives for HIE adoption
  - Clarifying legal/regulatory parameters for HIE e.g. liability

• **Statewide technical approaches vary and evolve**
  - Size, market characteristics and resources impact priorities for start up, phased development
## Organizational Models Developmental Pathways

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<tr>
<th>State</th>
<th>State Government-Led Collaboration (Focused on governance or technical operations)</th>
<th>Independent Public-Private Partnership (Focused on governance)</th>
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**Legend** ● indicates state-level HIE is currently operating as designed  
○ indicates state-level HIE is at a "foundational stage" or in "early implementation"  
→ indicates state-level HIE plans to migrate to a different organizational model
# Sources of Authority
## Examples

<table>
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<tr>
<th>State Level HIE Initiatives</th>
<th>Authority to Serve as Governance Entity</th>
<th>Authority to Provide Technical Operations</th>
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<tr>
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<td>Executive Order</td>
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<td>AZ</td>
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<td>MA</td>
<td>MHDC</td>
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<td>RI</td>
<td>Rhode Island Quality Institute</td>
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Increasing State Investments

- California: CalPERS endorses CalRHIO (April 08)
- Maine: HealthInfoNet secures $4 million (Jan 08)
- New York: NYSDOH announces $105 million for HIE (March 08)
- Tennessee: eHealth Council and AT&T partnership (Feb 08)
- Colorado: Gov Ritter Building Blocks to Reform (Spring 2008) Matching funds for CORHIO
Health Care Reform and Health IT
State-level Interests

• Impacting health care costs and rising uninsured
• Increasing value for health expenditures
  • Ability to measure, monitor, reward provider and system performance for quality
  • Improve risk management – targeting interventions, investments via policy, programs (especially bio-surveillance, public health)
  • Upstream prevention, care coordination, optimizing chronic care management
• Impacting state budget expenditures for Medicaid, state employees
• Implementing consumer protections appropriate for electronic information environment
Distinct Value for State-level HIE

- Governance and accountability
  - Policy implications for *public-private* state-level and national level HIE governance
  - A common framework needed for HIE roles and accountabilities

- Coordinated HIE policies and practices
  - Effectiveness of privacy and confidential protections linked to *consistent* operational/technical data sharing policies and practices
  - State-level HIE governance entity provides key coordination role

- Value for stakeholders and sustainability
  - A distinct state-level value proposition for HIE
    - Ensuring that HEI develops beyond siloed corporate interests to serve all statewide stakeholders and their data needs
    - Facilitating new levels of collaboration vs competition to realize data sharing
    - Serving public policy interest and consumer protection concerns by facilitating consistent reliable HIE practices
• Achieving HIE capacity and sustainability requires synergy between state and national efforts.
  • Recognize where and how value accrues across levels
  • Recognize realistic phases of development
  • Start-up capital investments to achieve capacity beyond limited provider markets, support multiple HIE services
  • Channel initial and ongoing state and federal funding
  • Structure state and national incentives (e.g. reimbursement, participation in NHIN, federal programs) to drive stakeholder participation

• Urgency
  • Mounting pressure from corporate health IT interests
  • Resistance to full participation from key players

• Growing consensus for blended public-private financing strategy
  • Continued investments at local provider level
  • Define contributions from public programs
  • Define contributions from public beneficiaries
  • Links to national initiatives: AHIC use cases/NHIN core services
Strategic Priorities
Support for State HIE Efforts

• **Leadership:** HIE development as part of health care reform
  – Set goals for HIE adoption
  – Require HIE roadmap to guide strategies and investments

• **Policy:** Establish framework for accountability
  – Consumer protections in electronic environment e.g. streamline existing statutes pertaining to health records, privacy and confidentiality
  – Create liability protection appropriate to encourage HIE
  – Other e.g. clarify licensing provisions enabling electronic/interstate practice

• **Governance:** Empower neutral and sustainable public-private collaborative governance
  – Recognize state-level HIE organization to lead, provide governance
  – Enable participation by public programs, agencies

• **Fostering statewide interoperability with HIE adoption and implementation to scale**
  – Create incentives
  – Require use of HIE standards
  – Provide/leverage resources and create financing mechanisms
  – Channel investments to support key aspects of infrastructure development
Additional Strategies

• **Leverage public programs**
  – Medicaid, state employee plan state-level HIE participation
  – Structure incentives for HIE adoption

• **Create market demand for health information and participation in HIE**
  – Integrating quality/safety, transparency and reporting initiatives with HIE

• **Support for Health IT workforce development**
1. **Further develop an implementation framework**
   - Governance functions, accountability criteria/mechanisms
   - Coordinated policies and practices for effective data sharing and information use
   - Financing strategies, business models and developmental pathways

2. **Support state-level HIE implementation efforts**
   - Consensus for best practices
   - Information/resources

3. **Influence nationwide HIE implementation**
   - Voice for state-level HIE perspectives in policy development
   - Representation in AHIC design and implementation, NHIN development
2008 Scope of Work

- **Ongoing research**
  - Models, guidance for consistent HIE policies and practices
  - State-level value propositions and sustainability models
    - Inventory emerging resources to inform HIE financial sustainability research and development
    - Map and monitor state-level HIE development trajectories
    - Identify state level HIE value models, development and evolution, impact

- **Consensus development**
  - Potential criteria for accreditation of HIE organizations

- **State-level HIE Leadership Forum**
  - Participation from all state-level HIEs
  - Facilitate development of state-level HIE governance, accountability mechanisms
  - Organize state-level interests, prototype for representation as part of permanent AHIC
www.staterhio.org
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