



# Addressing Key Issues

## Effective Strategic & Operational Planning

## Establishing Governance

*Part of the 2010 State HIE Leadership Forum Webinar Series  
Presented by the State Level HIE Consensus Project  
Under the Auspices of the ONC State HIE Program*

March 5, 2010

# Agenda

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- Introduction - Objectives, Agenda
- Statewide HIE Planning
- Governance of Statewide HIE
- Discussion, Resources and Next Steps



# Introductions

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- **Technical Assistance Webinars**

- Create a 'seminar culture'
- Target pressing challenges and issues
- Developed and led by subject matter experts

- **SLHIE Project Technical Assistance Team**

- Shaun Alfreds
- Tim Andrews
- Noam Arzt
- Lamot du Pont
- Lynn Dierker
- Erica Galvez
- Greg Farnum (ONC liaison)

- **Today's Objectives**

- Guidance to advance your state's Strategic and Operational Planning
- Guidance to address Governance considerations
- Opportunity to share perspectives, questions, information needs



# Introduction

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## States, State HIE Program Goals, Success

### HITECH – ONC

- HIE occurring across states to support MU
- Adoption levels support MU ( linked to REC Program)

### State HIE Cooperative Agreement Program

- Successful implementation of grantee Strategic/Operating Plans
- 2 yr – 4 yr targets met for HIE supporting MU as predicted by State HIE grantee Strategic & Operating Plans

### States

- Effective Strategic & Operating Plans developed (& approved)
- Leadership, coordination, collaboration, consensus to enact plans
- Sustainable statewide HIE achieved supporting widespread M.U.
- States' vision, goals for health care reform advanced by HIE



# Introduction

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## States Face Common, Ongoing Planning Challenges

- **Effective Planning for Sustainable HIE Infrastructure**
  - Short and long term issues; responsiveness to economic, marketplace conditions, HIE advances, nationwide HIE infrastructure development
- **Human Capital**
  - Access to adequate staffing, expertise, and effective procurements (consultants, vendors, help on the ground)
- **Social Capital**
  - Achieving and sustaining effective leadership, sufficient stakeholder buy-in to incubate from disruptive political changes, manage competing financial priorities and ensure maintenance of effort
- **Credible, reliable collaborative governance and oversight functions**
  - Ability to achieve and sustain credible participation, decision making and investments by both public and private stakeholders



# Planning for Statewide HIE

## Strategic & Operational Plans – Content Distinctions

### Strategic Plan

- Outline vision, mission, goals and objectives to drive **statewide** HIE activities and accomplishments
- Explain **collaborative processes**
- Show **alignment** with other strategic plans as appropriate
- **Define** roles and decision-making process
- **Establish baseline** of existing HIT and HIE assets and activities

### Operational Plan

- Provide implementation **details** across all five domains
- For the technical infrastructure, determine **implementation sequence** through a process that: (1) identifies common needs, (2) assesses options, (3) determines value and costs
- For financing, ensure that there are **“master” budgets** and plans that incorporate State HIE Award, State Medicaid, and REC(s) efforts.



# Planning for Statewide HIE

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## Acknowledge Timing and Evolution

- **Incorporate provisions to track progress**
  - Identify what data will be collected
  - Determine who will collect and who will analyze data
  - Decide how often and in what format data will be reported
  - Create feedback into process for updating strategic & operational plans



# Planning for Statewide HIE

## Leveraging Collaborative Project Management

- **Process Considerations**

- Establish **responsibilities** for drafting, review and approval
- Create clear **expectations and timelines** for Workgroups
- Determine **participation rules**, particularly for vendors
- Define the process for **public input** and feedback

- **Key (Ongoing)Activities**

- **Educate and acclimate** participants
- Publicly **disseminate** updates at regular intervals
- **Define and vet process and criteria** for selecting and sequencing investments



# Planning for Statewide HIE

## Leveraging Human Capital - Getting **Assistance**

- **Federal Resources**

- ONC Staff
- Technical Assistance Team
- Listserv – your peers in the Leadership Forum

- **Internal Resources**

- State, SDE, stakeholder staff/key organizations and partners
- Carefully consider trade-offs between paid staff and volunteers
- Assess availability, facilitation skills and subject matter expertise

- **External Resources**

- Identify needs...facilitation and/or subject matter experts
- Consider timeframe...finite vs. ongoing support for processes
- Distinguish between planning and implementation support
- Learn from those that have used consultants



# Statewide HIE Governance

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## The Foundation for a State's Success

- **A Governance Framework - key for establishing and “going the distance” to implement a statewide HIE plan**
  - **Collaborative mechanism** to align, represent the interests of all stakeholders essential to statewide HIE.
- **Organizing statewide HIE efforts around shared purpose, negotiated solutions that achieve those goals.**
  - **Shared vision:** How specifically do stakeholders want to see their state's health care delivery system improved i.e. quality, access, cost containment
  - **Specific goals and use cases for HIE in your state?**
    - Meaningful Use – Critical, however not enough
    - Population Health Improvement
    - Care Coordination
    - Value-based delivery



# Statewide HIE Governance

## Developing a Successful Framework

- **Organizational development is necessary – blueprinting business processes**
  - Successful statewide HIE governance requires day to day relationships and responsibilities – operational activities to support functional public and private collaboration and participation.
- **Finding the balance between government – non-government roles and responsibilities**
  - Many states are pursuing frameworks that are **public-utility- “like”** as a construct
  - State **HIT Coordinators** are being appointed - some as an “Office”
  - Private initiatives are reviewing **“shared’ service models**
  - Relationships are being developed through **EOs and legislation**



# Statewide HIE Governance Challenges

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- **Defining roles and responsibilities** remain a challenge and are unique in every state depending on:
  - Trust and “social capital” in both the public and private sectors
  - Access to staff (human capital) at the appropriate level
  - Level of government regulation in health care (VT vs TX)
  - Current legal and policy environment
  - Financing and business modeling
  - Statewide HIE services being planned



# Statewide HIE Governance

## Evolution is Expected

- **HIE Governance structure will continue to **change and evolve** due to state characteristics, strategy, and stage of development .**
  - **Technical architecture is an influence**
    - Scope of governance role impacted by scope of state level technical operations, requirements for staff/expertise, marketplace complexities
  - **Financing**
    - Funding streams influence control and involvement of stakeholders
  - **State Policy, Regulatory Requirements, and Trust**
    - Accountabilities will be determined locally based on state law, regulatory structures, and stakeholder trust
- **State Plans should consider **timeline, milestones** for re-assessment, incorporate **iterative governance strategies****



# Statewide HIE Governance

## Becoming Operational

### Oversight and accountability framework

1. Set **public policy** vision, goals (HIE targets, part of state's plan for health/healthcare)
2. Set **HIE-related requirements** (e.g. use of standards, privacy protections, milestones)
3. Clearly **define responsibilities** (HIT Coordinator, AG, SDE & HIOs, providers, pts)
4. Identify **authority and oversight mechanisms** for all parties (communication, reporting, audit, etc)

### Governance body

1. Choose a **legal entity** (plan incrementally)
2. Install **leader**, develop **organizational leadership** via "board" (vision/expertise)
3. Engage range of **stakeholders** (structured input and consensus building)
4. Develop **organizational policies, structures, and processes** (e.g. transparency)
5. Agree on **data sharing policies**
6. Enable **business operations** in an appropriate timeframe



# Statewide HIE Governance

## Key Threshold Considerations

- **Staging** activities appropriately based on an accurate current state assessment
- Securing access to adequate **workforce** / expertise (at all levels)
- Ability to achieve credible participation and buy-in by public and private stakeholders (**governance functions** and **social capital**)
- Appropriate approaches for defining and ensuring **accountability for privacy, security, and financial** aspects of HIE applicable across the spectrum of public-private HIE infrastructure
  - Oversight **AND** Enforcement of the “rules of the road”
  - Procurement processes
  - Sustainable operations with public **AND** private sector resources
- Awareness and planning to navigate the **impact of political changes** (50% Governor turnover in 2010)
- **Flexibility** to respond to the evolving HIE landscape both internally and externally



# Statewide HIE Governance

## Key to Successful Integration across Domains

- **Addressing funding priorities**
  - Linking **Finance & Technical Infrastructure** efforts
- **Aligning security, consent, audit policies with sequence of implementations, operations**
  - **Legal-Policy** but linked to **Business-Technical Operations & Technical Infrastructure**
- **Creating Organizational Locus to Address Clinical Priorities for HIE Development**
  - Could be aspect of Business-Technical Operations, but needs to be **coordinated with Technical Infrastructure** efforts
- **Membership, compliance, enforcement, monitoring**
  - **Governance integrates across** Legal, Technical Infrastructure, Business/Technical Operations



# Discussion

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## Your Comments and Questions

- **Recap - Topics Covered**

- **Common ongoing challenges:** planning cycles, human capital, social capital, governance for collaborative decision making
- **Completing Strategic and Operational Plans** – content, data tracking progress
- **Leveraging collaborative project management** – key considerations
- **Leveraging human capital** – relying on internal vs external resources
- **Establishing foundational governance structure** – planning for evolution, addressing mechanisms for oversight & compliance, who sets & who implements HIE policy, role of certification/accreditation, relationship to federal authority/NHIN.
- **Governance challenges and threshold issues:** defining roles, responsibilities, becoming operational, integrating multi-domain planning and implementation



# Discussion

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## Resources and Next Steps

- **Resources**

- Your Listserv [leadershipforum@slhie.org](mailto:leadershipforum@slhie.org)
- Linking peers, work in progress <http://www.slhie.org>
- Toolkit <http://www.statehierresources.org>
- Help from ONC [statehiegrants@hhs.gov](mailto:statehiegrants@hhs.gov)

- **Next Steps**

- Launching Call-in Sessions - **T.A. “Office Hours”** every 2wks
- Next Webinar **March 15** “Key Issues - Technical Architecture”

- **Your Feedback**

- Take a few minutes to **evaluate this webinar**



# **Thank You for Participating!**

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