

Third Annual eHealth Initiative Connecting Communities Learning Forum: Track Two

**An Overview of Alternate Financing
Strategies: Nuts and Bolts and
Overview of Tools in eHI's
Connecting Communities
Toolkit**

Doug Emery
Director, Reimbursement Policy
eHealth Initiative and Foundation

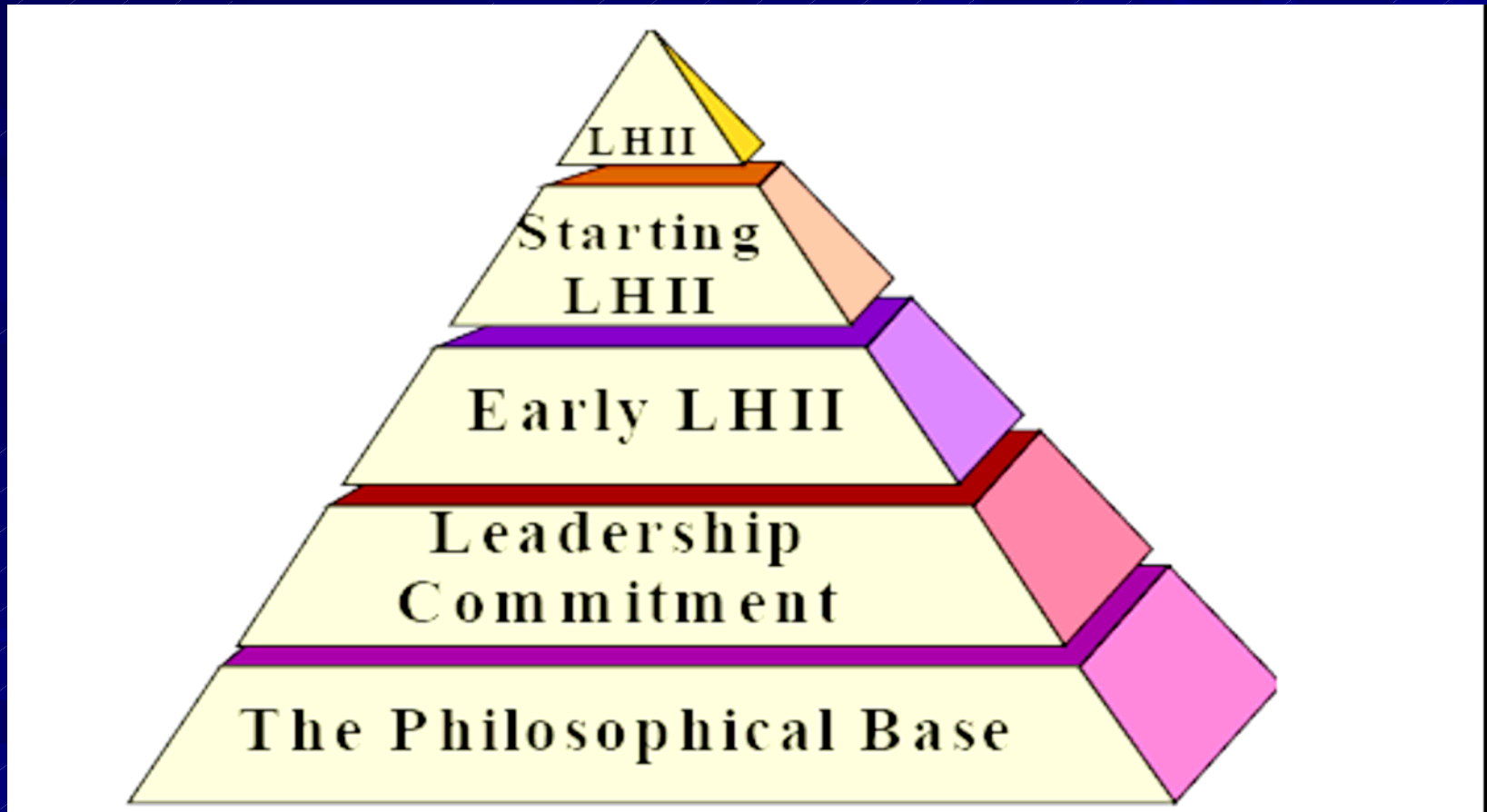
Robert C. McDonald, MD, MBA
President, Aledo Consulting

Context

- **The eHealth movement will move faster the more we lower the time and resources necessary for a community to form a functional health information exchange (HIE).**
- **We have developed three tools to accelerate the development of HIEs locally:**
 - **Idealized Project Management Plan Template**
 - **Local Assessment Tool**
 - **Cost Model**

Idealized Project Management Plan Template

Specific Stage of Development



Lorenzi Nancy M. Strategies for Creating Successful Local Health Information Infrastructures Initiatives, December, 2003.

Tactical Steps in Specific Stages

- Philosophical Base/Knowledge Stage (5 Tactical Steps)
- Leadership Commitment/Persuasion Stage (16 Tactical Steps)
- Starting HIE/Decision Stage (12 Tactical Steps)
- Early HIE/Implementation Stage (6 Tactical Steps)
- HIE-Ongoing/Confirmation Stage (5 Tactical Steps)

Key Functions of Specific Stages

- Philosophical Base/Knowledge Stage- What is the Vision that We Are Pursuing?
- Leadership Commitment/Persuasion Stage- Pick a Convener and Form Sub-Committees
- Starting HIE/Decision Stage- Sub-Committee Work Converted to Adopted Business Plan
- Early HIE/Implementation Stage- Begin Operations
- HIE-Ongoing/Confirmation Stage- Confirm that Benefits Promised Are Delivered

Philosophical Base/Knowledge Stage

What Vision Are We Pursuing? There are Several Possible Visions for an HIE around Which to Align:

- Can Improve Health Care Efficiency and Lower Cost.
- Can Improve Quality of Care
- Can Improve Processes of Care and Improve Patient Safety
- Can be a Focus of Community-Wide Innovation and Differentiate the Community from an Economic Development Perspective.

Project Plan for Philosophical Base/ Knowledge Stage

		Accountable Party	Timeline Months
			Timeline Weeks
		Ref	

Philosophical Base/Knowledge Stage

Tactical Steps: Philosophical Base/Knowledge Stage

1	Agree on need for and vision of HIE among a small group of instigators representing several community stakeholders	<u>1.2</u>		
2	Place explicit priority on collaboration within and across organizations.	<u>2</u>		
3	This group schedules a public meeting calling out the physician/hospital/public health stakeholders in the community to engage them in creating the vision of community benefit and understanding community needs.	<u>3</u>		
4	During this public meeting, commit to building a collective culture of trust, participatory democracy, empowerment, transparency, and interdependence.	<u>5</u>		
5	Get this broader group to commit to acknowledge that a smaller group is necessary to move this effort forward and that individuals may be represented in that smaller group or may interact with members of that smaller group to assure ongoing input.			

References for Philosophical Base/ Knowledge Stage

References

URL

1.	1 Rogers, Everett. Diffusion of Innovations, 5th ed. Free Press: New York. 2003.	
2.	2 Lorenzi, Nancy. Strategies for Creating Successful Local 2 Health Information Infrastructures	http://ccbh.ehealthinitiative.org/communities/community.aspx?Section=102&Category=349&Document=631
3.	3 Engaging Employers: A Report from the CCBH 2004 Annual 3 Meeting	http://ccbh.ehealthinitiative.org/communities/community.aspx?Section=108&Category=184&Document=435
4.	4 CareSpark Vision Statement	http://ccbh.ehealthinitiative.org/communities/community.aspx?Section=102&Category=146&Document=742
5.	5 Sample Focus Group Process	http://ccbh.ehealthinitiative.org/communities/community.aspx?Section=102&Category=146&Document=743

Strategic Considerations for Philosophical Base/Knowledge Stage

		Accountable Party	Timeline Months
			Timeline Weeks
		Ref	

Philosophical Base/Knowledge Stage

Strategic Considerations: Philosophical Base/Knowledge Stage

1	Building HIE is more a political process than a technological one.			
2	Collaboration across and between organizations is achieved through consensus built on sharing and trusting relationships.			
3	HIE must be structured so that participation does not mean the loss of power, control, or status by participating individuals and organizations.			
4	Being the champion for HIE requires risk-taking behavior.			
5	Participant acceptance comes in phases and requires knowledge of participants' needs.			
6	Creating HIE will take time, both in the initial phases and during time it takes to evolve to the "new" way of working and doing business.			

Leadership Commitment/ Persuasion Stage

Leadership Commitment/Persuasion Stage

Tactical Steps: Leadership Commitment/Persuasion Stage

1	Develop a concrete, clear, and energizing vision of the HIE for the community. This vision should be mindful of incentives for participation.	<u>4,6,7</u>	
2	Provide for inclusive participation in collaboration through meetings, memos, and other types of contact and involvement.	<u>2</u>	
3	Select a convener. Communities require a source of activation to catalyze or enforce mobilization of the community, and focus the group on the activities and requirements of organized and systematic data sharing. A convener could be a major provider or payer, business coalition, state government, or objective third party.	<u>2</u>	
4	Convene a selected group of community-wide stakeholders to review and validate concrete, clear and energizing vision of HIE in the community.	<u>8</u>	
5	Based on the vision, outline the strategic goals and tactical objectives for the collaboration, as well as milestones for measuring progress going forward.	<u>9</u>	
6	Present tactical objectives and milestones to group to review and validate. Accomplishment of tactical objectives probably requires the establishment of subcommittees/working groups to complete the analyses mentioned in the remainder of this Stage.	<u>8</u>	
7	Confirm validation in the previous step with key organizations privately		
8	CREATE READINESS ASSESSMENT: Conduct a rigorous readiness assessment to clearly identify the strengths and weaknesses for the local effort.	<u>10</u>	

Leadership Commitment/Persuasion Stage

Leadership Commitment/Persuasion Stage

Tactical Steps: Leadership Commitment/Persuasion Stage

9	Present this readiness assessment including "gap analysis" and resource plan to community-wide leadership group.	<u>12</u>	
10	CREATE GOVERNANCE PLAN: Define the structure of the collaboration, including roles and responsibilities of leaders and members.	<u>11</u>	
10a	Create a multi-stakeholder governance subcommittee	<u>11</u>	
10b	Convene governance subcommittee with software consultant to analyze impact of anticipated operations on governance and to establish guiding principles for governance structure	<u>11</u>	
10c	Identify/Develop stakeholder questionnaire for governance issues and arrange interviews	<u>11</u>	
10d	Conduct interviews, analyze data, and summarize results	<u>11</u>	
10e	Develop proposed RHIO governance mission, principles, goals and objectives	<u>13</u>	
10f	Develop assessment template of governance options	<u>13</u>	
10g	Review findings from steps 10a-10f in subcommittee and present governance alternatives	<u>13</u>	
10h	Prepare written report for Board with summary of work in steps 10a-10g	<u>13</u>	
10i	Present report to Board, including interviews and data results, for approval of governance mission, principles, goals and objectives, and overall governance approach.	<u>13</u>	

Leadership Commitment/ Persuasion Stage

Leadership Commitment/Persuasion Stage

Tactical Steps: Leadership Commitment/Persuasion Stage

11	Present this collaborative structure to the group for review and validation	<u>13</u>	
12	Define convening functions and responsibilities of the group, as well as key financing and related strategies and requirements for support and ongoing maintenance.	<u>13</u>	
13	Present analysis of convening functions and responsibilities to group for review and validation		
14	Develop a legal and organizational framework and contractual agreements to define obligations, rights, remedies, and sanctions.	<u>8</u>	
15	Develop a strategy and plan for external and internal communications and contingencies.		
16	Inform public and local government officials of the HIE vision and work plan, and assess the need to include them as participants or ex-officio members.		

Strategic Considerations: Leadership Commitment/Persuasion Stage

1	There is a community consensus on the need for HIE.		
2	There is a clear agreement on what participation in HIE means. There is a shared vision and mission for HIE, and there are shared benefits from participation in HIE.		
3	There is a strong sense of excitement and commitment by community leaders.		
4	A coordinator is selected who functions as an independent, neutral, trusted party.		
5	There is a strong sense of ownership and participation in the process.		
6	Appropriate attention is paid to financing the HIE system—both initially and into the future—to ensure continuity and success.		
7	There is local government support and/or involvement.		
8	Appropriate champions are identified in each participating organization.		
9	Comprehensive and effective communication strategies are in place.		

Early HIE/Decision Stage

Early HIE/Decision Stage

Tactical Steps: Early HIE/Decision Stage

1	Integrate development of organizational structure, processes, tools, and core competencies, including implementation and project management, education, communications, financing, legal issues, and the political process.	<u>14</u>	
2	Establish the business case, work plan, and metrics for implementation of community-wide data sharing, including how fees will be structured and benefits accrued across the HIE. (Consider how data should be used to support research purposes and recognize the opportunity for pharmaceutical companies, medical products companies, and even physicians to be potential revenue streams for the exchange funding model.)	<u>14,15</u>	
3	Define the organizational processes and technical functions for data sharing.	<u>16</u>	
4	Develop feedback mechanisms to provide regular and focused review of implementation progress.	<u>17</u>	
5	Define the technical foundations for data standardization, coding, presentation, extraction, storage, merger, interfaces, and security regimen-including access and authentication protocols, data recovery, back-up, continuity, and audit.	<u>16,18,</u> <u>19</u>	
6	Publish the technical and organizational work plans and updates to reflect the timeframe for implementation, including outstanding issues/items and proposed remedies.	<u>20</u>	

Early HIE/Decision Stage

Early HIE/Decision Stage

Tactical Steps: Early HIE/Decision Stage

7	Designate clear responsibility for project management and its subparts for execution by area and task/subtask.	<u>16</u>	
8	Develop processes for project management reporting and issue resolution, including escalation processes to resolve issues.	<u>16</u>	
9	Develop financial controls linked to project implementation schedule and milestones, including flags and alerts for issues that require immediate resolution.	<u>16</u>	
10	Develop a training schedule and appropriate modules for staff based on user needs and level of technical ability. Follow-up with periodic testing or queries to determine if materials are being used appropriately.	<u>16</u>	
11	Develop a communications campaign for external and internal audiences.		
12	Develop course-correction routines to overcome technical, organizational, financial, and political obstacles to implementation.		

Strategic Considerations: Early HIE/Decision Stage

1	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Organizational.		
2	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency : Technical.		
3	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Implementation and Project Management Process.		
4	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Educational.		
5	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Communications.		
6	Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Financial.		

Strategic Considerations: Early HIE/Decision Stage

Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Legal .		
Develop the structure, processes, and tools to support data sharing among participants in HIE and across core area of competency: Political Process .		

Starting HIE/Implementation Stage

Starting HIE/Implementation Stage

Tactical Steps: Starting HIE/Implementation Stage

1	Develop and publish an installation and migration schedule, indicating work areas and work processes affected, with dates and times. Include remediation and incorporate parallel workflows where available.	16	
2	Designate troubleshooting resources and contacts for the installation schedule.	16	
3	Clearly establish business continuity procedures, data recovery regimes, and related technical controls for worst-case scenarios during installation.	16	
4	Roll-out training and education modules and resources (e.g. computer-based training guides and knowledge bases).	16	
5	Roll-out communications campaign for participating organizations and community, and ensure materials and messages are up-to-date, in adequate supply, and synchronized.	16	
6	Establish on-line feedback capabilities to determine success and failures of implementation by function and workflow.		

Starting Considerations/ HIE Implementation Stage

1	Prepare the staff within participating organizations to adopt and use the new system.		
2	Inform patients about the benefits of the new system and any responsibilities or uses that are available to (or required of) them.		
3	Establish communication mechanisms and share information with everyone.		
4	Develop appropriate education and training for those involved in the system, and implement that effort as close to the "go-live" date as possible.		
5	Have staff available to monitor use of the system and to respond to questions.		
6	Develop feedback mechanisms for all who use and manage HIE.		

HIE Ongoing/Confirmation Stage

HIE-Ongoing/Confirmation Stage

Tactical Steps: Ongoing/Confirmation Stage

1	Develop communications unit/staff for internal and external communications related to implementation, organizational issues, community relations, policy, and marketing.	<u>16</u>	
2	Modify Privacy Notices and Policies to reflect new flow and uses of protected health information and any new obligations of patients.		
3	Refine training modules to take into account feedback from installation and possible changes in workflow/user needs from ongoing use. Make training modules available on-demand and orient them to first-time and current users.		
4	Conduct regular assessment of system performance in meeting financial, organizational, user, and technical goals and objectives.		
5	Review findings from assessments and feedback on regular basis to adjust/refine features, functionality, response time, and other technical performance metrics established to evaluate system performance.		

Strategic Considerations: Ongoing/Confirmation Stage

1	Establish various vehicles for continuous communication.		
2	Establish ongoing programs for continuous education and training.		
3	Halt poor performance by anyone at any level as soon as possible.		
4	Assess the impact of and access to HIE.		
5	Complete regular user satisfaction analyses.		
6	Complete regular utilization analyses.		
7	Establish an appropriate schedule for meetings to address management, clinical, and technical issues.		

Benefits of this Approach

- Creates a Linear Plan Based on Industry and Field Leading Works
- Navigates the eHI Resource Center to Connect Communities with the Right Resource for the Issue That They Are Facing at the Time
- Gives Strategic Considerations From Several Health Information Exchanges by which to Guide Your Efforts

Challenges of RHIO Project Planning

- The Process is Never Quite as Linear as This Tabular Approach Indicates. This May Create an Unrealistic Expectation that this Process Is Less Fluid Than, in Reality, It Is.
- Examples of HIE Ongoing/Confirmation Stage Are Few. Later Stages Have Fewer Data Points than Earlier Stages and May Need Additional Modification with Time.