Data Governance: Ensuring Trust and Managing Risks
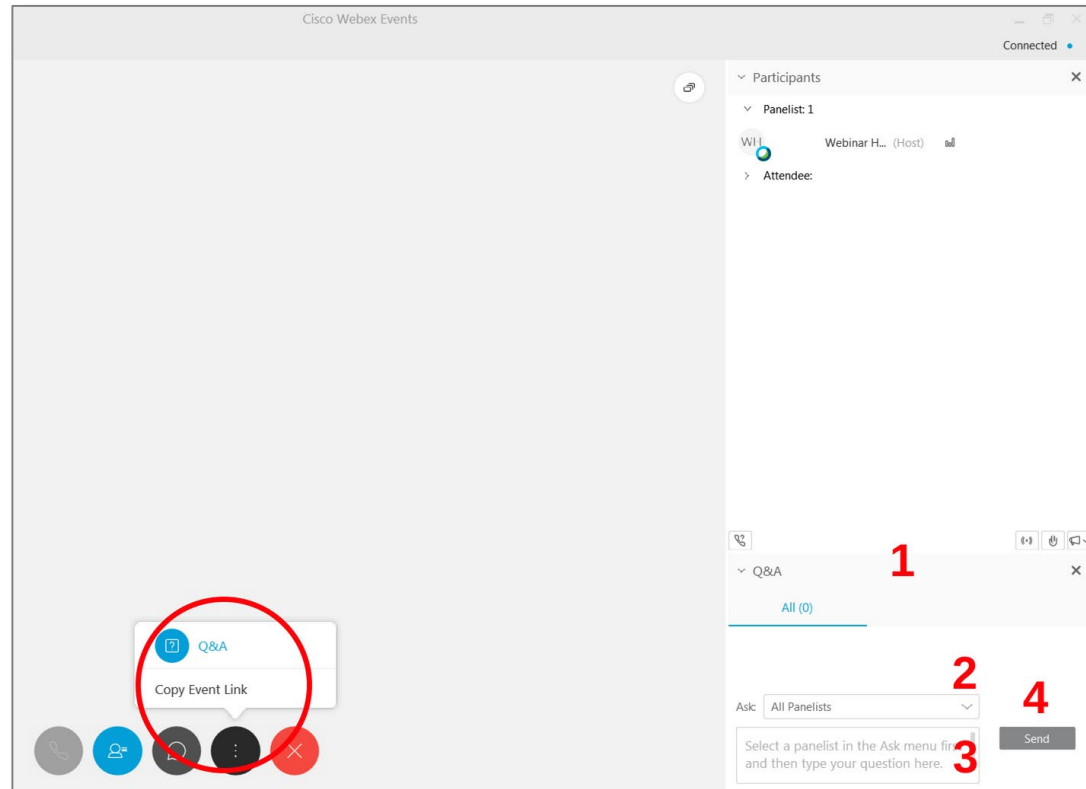
January 14, 2020

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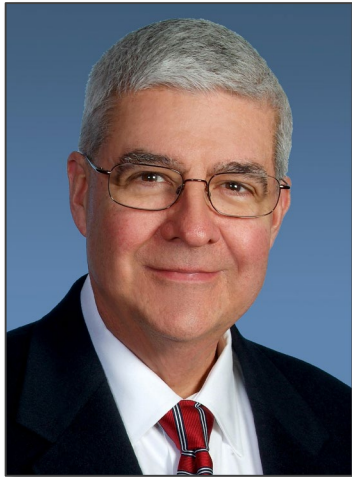
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Presenter

Sallie Milam, Deputy Director, the Network for Public Health Law – Mid-States Region Office

- J.D., University of Richmond School of Law
- C.I.P.P./U.S./G., International Association of Privacy Professionals
- Research interests/areas of expertise:
  - HIPAA Privacy Laws
  - Health Information and Data Sharing
  - De-identification

Presenter

Steve Gravely, CEO, Gravely Group

- J.D., University of Richmond School of Law
- M.H.A., Virginia Commonwealth University
- Research interests/areas of expertise:
  - Information Privacy
  - Cybersecurity
  - Emergency Preparedness and Response

Data Governance Models

Steve Gravely, MHA, JD
CEO
Gravely Group, PLLC

The Network
for Public Health Law

What will we cover today?

- What is data governance?

- Why data governance is vital to interoperability?

- Data governance framework

- Current models of data governance

- What is next?
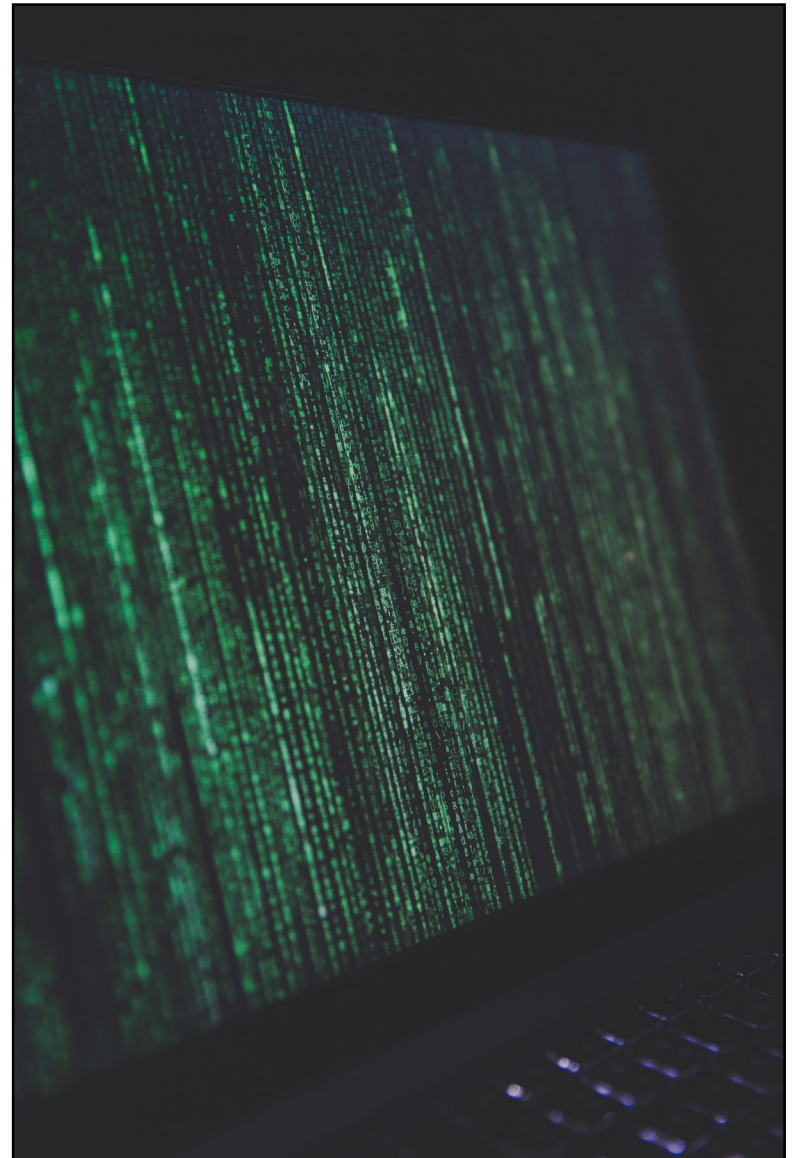
What is Data Governance?

- Identifies the "rules of engagement" for data sharing, penalties for non-compliance and oversight

- EHR technology is agnostic, it will transfer data without limits

- Users worry about when data can be requested, how is it used, data privacy and security

- Governance is a *process*, not a board

Why is data governance vital?

Percent of Hospitals That Have Adopted a Certified EHR:

2015 American Hospital Association Survey
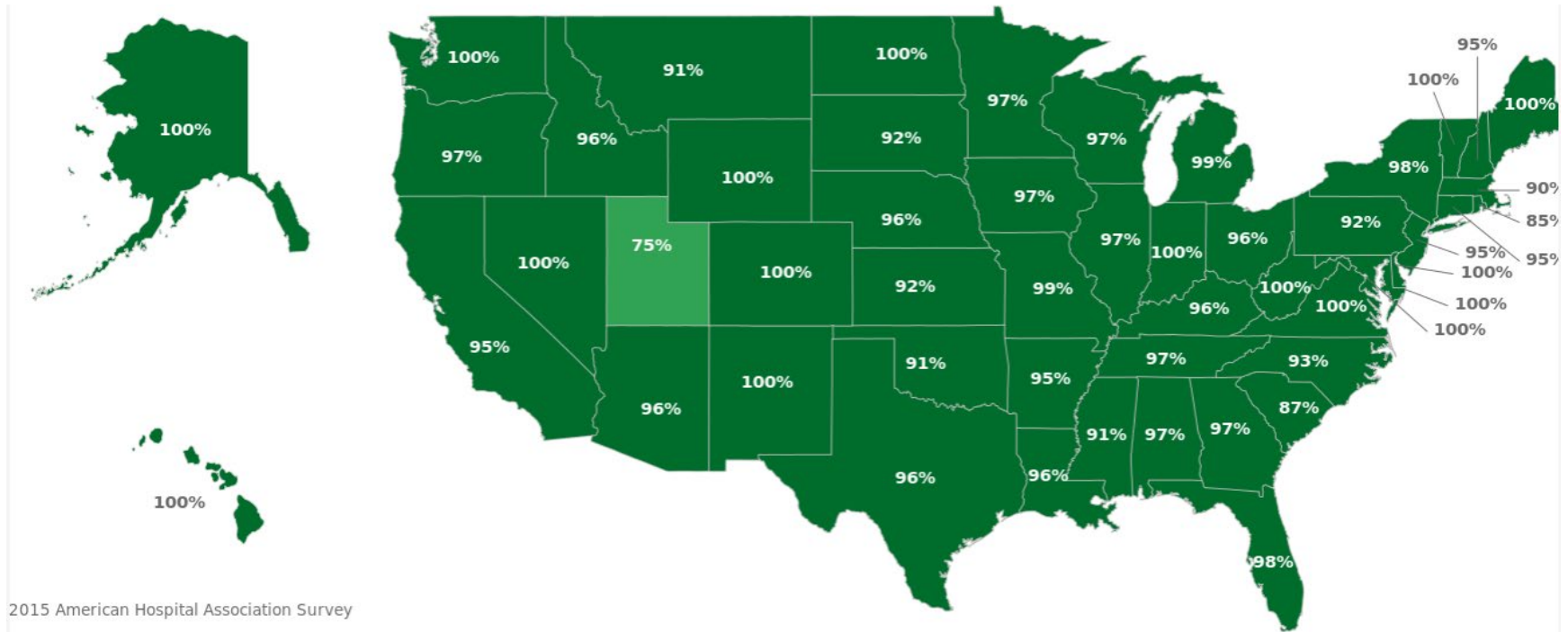
Why is data governance vital?

Percent of <u>Office-Based Physicians </u>That Have Adopted a Certified EHR:
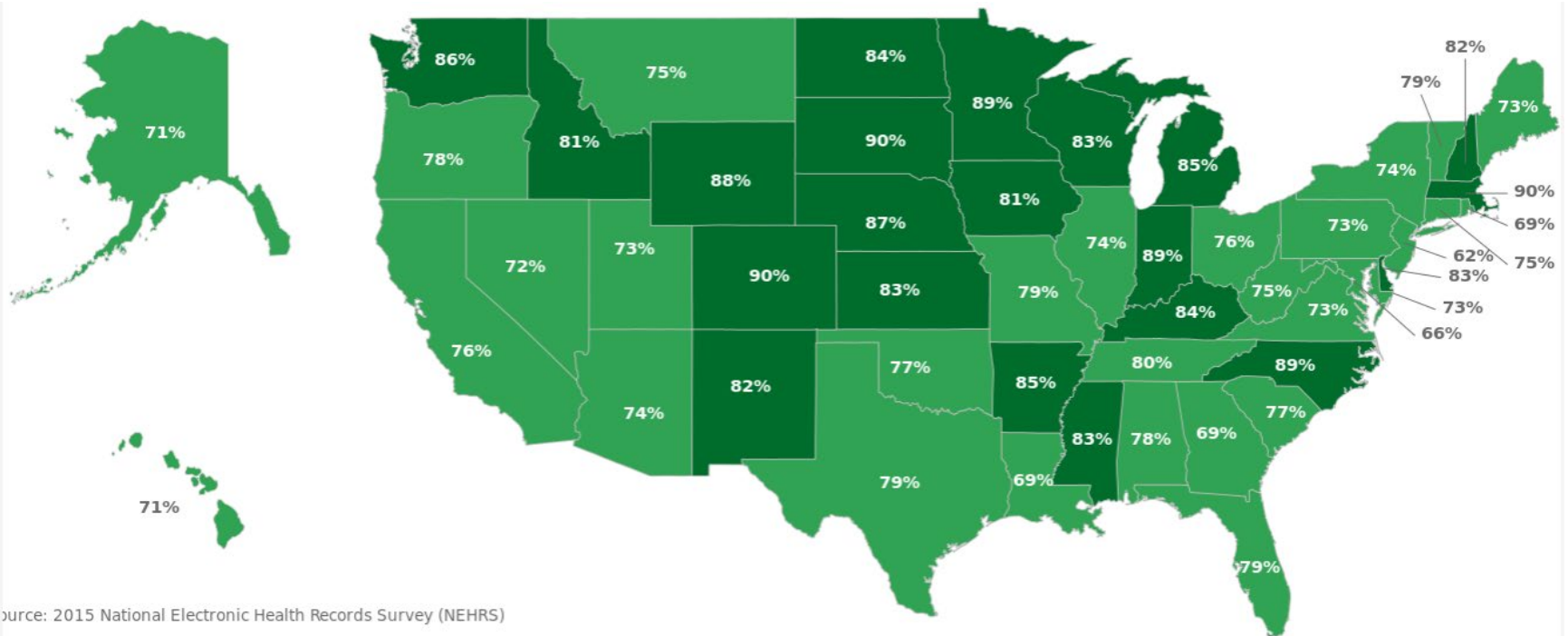
Source: 2015 National Electronic Health Records Survey (NEHRS)

Why is data governance vital?

- Not something new, we have always had it
- Before digital records, it was manual and point-to-point data exchange where control was easy
- Digital data changed everything!
- Without trust, data will not flow
- Absence of data can compromise delivery of care
- Increasingly difficult to operate without access to data

Data Governance Models

- No "one size fits all" data governance model
- An effective data governance framework includes both Principles and Structure
- **Principles**-what do we believe when it comes to data governance?
- **Structure-**how will we implement our Principles?
  - Data sharing agreements
  - Operating policies
  - Oversight board/committee

Governance Principles

- Where does the authority originate?
  - "top down" or "bottom up"

- Consent of the governed

- Representative governance

- Transparency

- Rules of engagement

- Enforcement

Governance Structure

- Will governance be centralized in a central body or distributed?

- Size of governance bodies?

- How is this memorialized?
  – Organizational documents
  – Trust agreement
  – Legislation or regulations
  – Other

Example 1: eHealth Exchange

- **2005**: ONC project to prove that health information can be successfully exchanged in a safe and secure manner
- **2009**: I created a first-of-its-kind multi-party data sharing agreement to support nationwide interoperability, the DURSA
- **2019**:
  - 120M patients
  - 75% of US Hospitals
  - 70,000 medical groups
  - 8300 pharmacies
  - 5200 dialysis centers
  - 60 state and regional HIEs
  - 4 major federal agencies (DoD, VA, SSA, CMS)

eHealth Exchange Governance

- **Principles**
  - Authority comes from the eHealth Exchange Participants (consent of the governed)
  - Representative
  - Transparency is more important than protecting business secrets
  - Accountable to Participants

eHealth Exchange Governance

- **Structure**
  - eHealth Exchange is not incorporated
  - Governance is memorialized in the DURSA which every Participant signs
  - Coordinating Committee is the governing body
  - Powers are listed in the DURSA

Example 2: ConnectVirginia

- Statewide Health Information Exchange
- Started as initiative of the Virginia Dept. of Health pursuant to an ONC award under the ARRA program-public health remains a key focus
- Operates several data sharing initiatives including a legislatively mandated Emergency Department Care Coordination Program that requires every hospital in Virginia to report real-time ED registrations that are matched against a central data base and alerts are fired in real time

ConnectVirginia

- Exchange Trust Agreement (ETA) is the trust agreement signed by all participants

- Modeled on the DURSA but customized

- Same for every Participant for transparency, same rules for everyone

- Details included in operating policies that participants have right to vote on

ConnectVirginia Governance

- 3 distinct phases which show evolution
- **Phase I: 2010-2014 *ONC contract***
  - 22-member board with all key stakeholders to support representative governance
- **Phase II: 2014-2019 *Non-profit corp.***
  - Corporate board with authority set out in bylaws
- **Phase III 2019 *Quasi-governmental***
  - Board specified in statute

Example 3: PULSE

- ONC launched initiative to help disaster health care responders have data on their patients

- Inspired by Katrina when large numbers of folks were displaced and medical information not available

- Currently being deployed in several states using eHealth Exchange as the interoperability platform

PULSE Governance

- Program is "owned" by a state or regional government as part of its EP&R

- PULSE software provided private contractor

- Data sharing supported by eHealth Exchange

- So, governance is multi-faceted

- PULSE Advisory Council is central to this

Example 4: Electronic Case Reporting

- Currently, public health disclosures are largely a paper-based process

- Utilizing established electronic connections with public health authorities, electronic case reporting (eCR) is possible

Platform Background

- APHL Informatics Messaging Service (AIMS) Platform

- Developed over a period of 10+ years using CDC and other federal grant funding

- Originally created to promote interoperability among CDC and state public health labs (PHLs)
  - Focused solely on flu reporting

AIMS Platform Today

- Now includes data transmission and messaging services between state and select local PHLs, CDC and other data exchange parties
  - Current uses include
    - Vaccine preventable disease (VPD) and rabies reporting services
    - Electronic laboratory reporting services among CDC, PHLs and commercial labs
    - Electronic vital event exchange
    - Immunization data state-to-state exchange
    - Technical support services

Example 4: TEFCA

- Trusted Exchange Framework and Common Agreement
- Established by 21st Century Cures Act
- "single on-ramp" nationwide for interoperability
- ONC selected The Sequoia Project to serve as the Recognized Coordinating Entity
- RCE works with ONC to develop the Common Agreement over next year

TEFCA Goals

GOAL 1

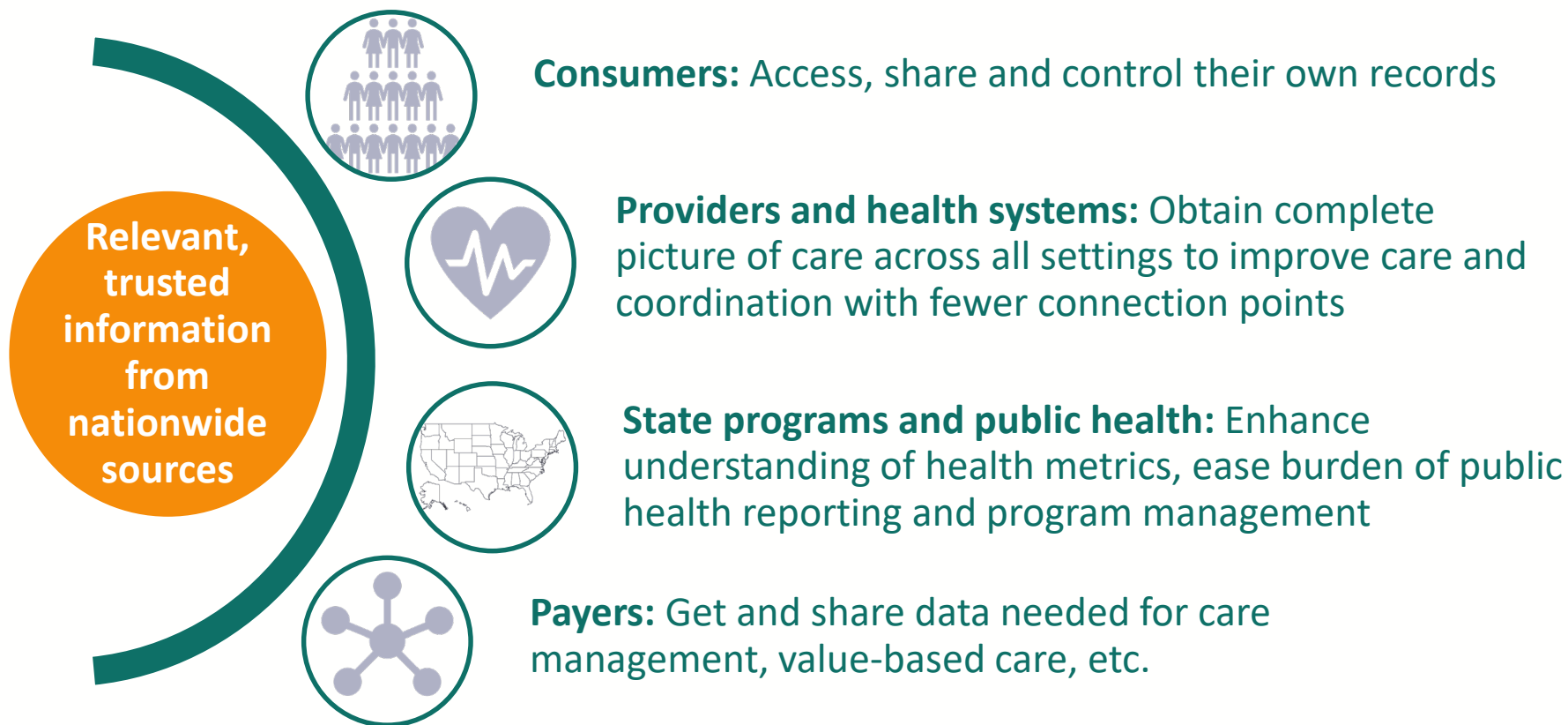Provide a single "on-ramp" to nationwide connectivity

GOAL 2

Electronic Health Information (EHI) securely follows you when and where it is needed

GOAL 3

Support nationwide scalability

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RECOGNIZED
COORDINATING
ENTITY

Benefits of TEFCA

Relevant, trusted information from nationwide sources

Consumers: Access, share and control their own records

Providers and health systems: Obtain complete picture of care across all settings to improve care and coordination with fewer connection points

State programs and public health: Enhance understanding of health metrics, ease burden of public health reporting and program management

Payers: Get and share data needed for care management, value-based care, etc.

RCE Key Milestones

- Year 1
  - Planning and ramp up
  - Engage stakeholders and enlist input
  - Develop the Common Agreement
  - Update the QHIN Technical Framework (QTF) for production use
  - Develop a process to designate and monitor Qualified Health Information Networks (QHIN)
- Subsequent Years
  - Facilitate ongoing stakeholder engagement and input
  - Maintain Common Agreement
  - Maintain QTF
  - Designate and monitor QHINs
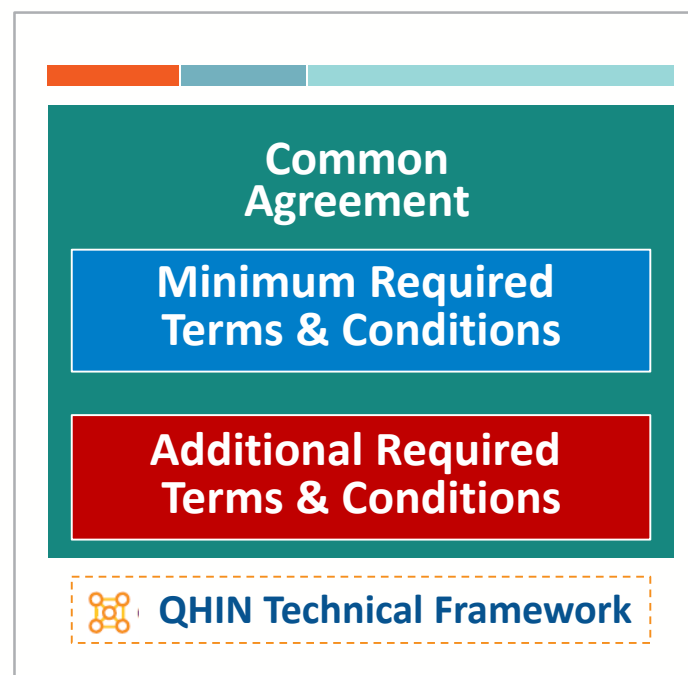 - Propose sustainability strategies

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Status Update – Work Completed

- Grant awarded 8/29/19 and announced 9/3/19
- Kickoff meeting 9/11/19
- RCE web site launched 9/30/19 https://rce.sequoiaproject.org/
- Public Kickoff call 10/7/2019
- QTF Scoping Discussion with ONC 10/31/19
- Minimum Required Terms and Conditions (MRTC) review calls with ONC Oct-Nov
- Stakeholder engagement strategy and implementation plan approved - Nov
- Started targeted stakeholder feedback re: Summary of Disclosures - Nov
- Additional Required Terms and Conditions (ARTCs) drafted and initial review with ONC – Nov '19 and Jan '20
- Approval to form Common Agreement Work Group - Dec

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What is The Common Agreement?

The **Common Agreement** will provide the governance necessary to scale a functioning system of connected HINs that will grow over time to meet the demands of individuals, clinicians, and payers.

The Common Agreement will be a legal document that QHINs sign. Some provisions of the Common Agreement will flow down to other entities (including providers) via contracts.

Stakeholders will be able to comment on the draft Common Agreement.

Common Agreement

Minimum Required Terms & Conditions

Additional Required Terms & Conditions

QHIN Technical Framework

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What is next?

- Past the tipping point, data sharing is mandatory

- Information Blocking rule will break down data silos

- Effective data governance is essential for a learning healthcare system

- Public health key part of the ecosystem

- Your clients will want to become part of data sharing networks and governance is vital

All In: Data for Community Health

ALL IN

150+ COMMUNITY COLLABORATIONS ARE *ALL IN!*
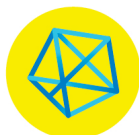
Current Program Partners

BUILD Health Challenge	Data Across Sectors for Health	Network for Public Health Law	New Jersey Health Initiatives	Public Health National Center for Innovations	Population Health Innovation Lab

Past Partners

|	
Community Health Peer Learning Program	Connecting Communities and Care

Affinity Groups

» Navigating Law for Data Sharing

» Community Collaborative dashboards

» Health and Housing

» Substance use data sharing, integration and planning

Interested? Email info@allindata.org and complete the short form to sign-up.

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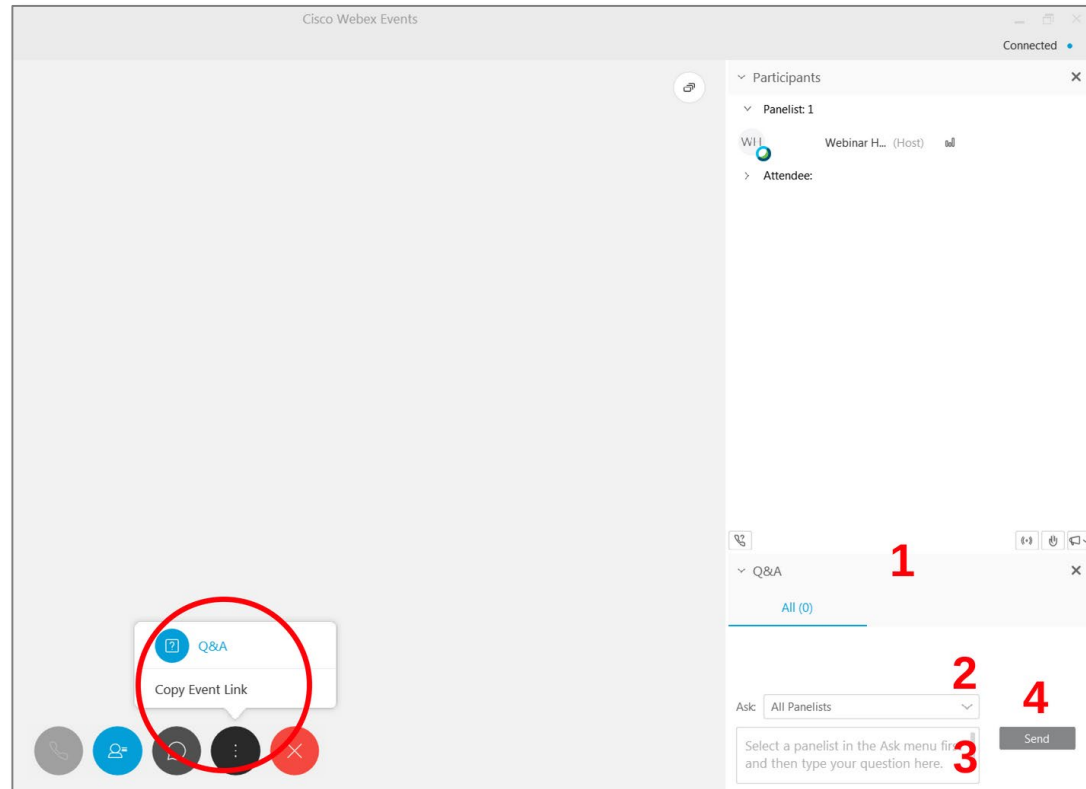
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