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1. Proposed Work Item: HIT Standards for Information Governance White Paper

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2. The Problem

<Summarize the integration problem. What doesn't work, or what needs to work.>

The integration problem we propose to address is the current misalignment of health information management (HIM) practices in healthcare organizations with the capabilities of health information systems (HIS) (Electronic Health Record Systems (EHRS), Laboratory Information Management Systems (LIMS) and others) to support these systems in an electronic environment. HIM professionals, standards developers and health information technology (HIT) vendors do not usually collaborate, so the latter two – standards developers and vendors—are largely unfamiliar with HIM practices and the extent to which these practices can be better supported by HIT standards and standards-based HIT products. As a result, the integrity, reliability, accuracy, and protection of health information are at the least, ineffective and at the worst, at risk when HIM practices are not supported by HIT products. It is difficult enough to meet today's goals of improved quality and outcomes, reduced risk, and increased collaboration at healthcare organizations when the data is not adequately managed nor sufficiently leveraged. Our proposal does not can lead the industry in a better direction to help solving these problems.

The use of IT in the clinical setting is no longer in question – it is happening – and as a result, there is an imperative to improve its use and subsequent outcomes. Stakeholders are already seeing unintended problems with information management in the electronic environment associated with failure to ensure accurate data capture, failure to identify the record of care (legal health record); issues associated with e-discovery and e-forensics; and the implications for appearances of fraud and abuse when copy and paste functionality is used inappropriately. Recommendations for improving electronic documentation creation include defining HIT content standards,

developing guidelines for vendors and users of HIT systems for the appropriate use of documentation techniques (information governance) to ensure complete, accurate, and quality documentation.¹

<Now describe the Value Statement: what is the underlying cost incurred by the problem, what is to be gained by solving it>

We propose to develop a White Paper on the need for and value of aligning HIM business practices and capabilities of standards-based HIT products. This activity has AHIMA leadership support as a key component of AHIMA's overall institutional strategy approved by the AHIMA Board to develop guidelines, operating rules and standards for healthcare documentation practices. Based on the outcomes of the new globally-focused AHIMA initiative to translate Information Governance (IG) principles² into HIM principles,³ we will develop a framework and a roadmap for developing standards for HIT products⁴ aimed to support HIM practices.

The goal of the White Paper is to

- (1)** to demonstrate the alignment between HIM practices (workflow checklist, actions) and capabilities of HIT products to support these actions
- (2)** to inform the development of national and international HIT interoperability standards for HIT products for identified HIT product capabilities
- (3)** to create the roadmap for the development of these standards.

3. Key Use Case

<Describe a short use case scenario from the user perspective. The use case should demonstrate the integration/workflow problem.>

<Feel free to add a second use case scenario demonstrating how it "should" work. Try to indicate the people/systems, the tasks they are doing, the information they need, and hopefully where the information should come from.>

According to the American Record Management Association (ARMA), there are 8 IG principles applicable to the health documentation including Accountability, Transparency, Integrity, Protection, Compliance, Availability, Retention, and Disposition.⁵ AHIMA has been working on aligning these IG principles for healthcare with HIM principles. This effort will be completed by December 2014.

¹ Sue Bowman, MJ, RHIA, CCS, FAHIMA. "Impact of Electronic Health Record Systems on Information Integrity: Quality and Safety Implications." *Perspectives in Health Information Management* (Fall 2013): 1-19.

² Cohasset Associates | AHIMA 2014 Information Governance in Healthcare: Benchmarking White Paper. URL: www.ahima.org

³ AHIMA Information Governance Principles for Healthcare (IGPHC)TM – as of July 2014

⁴ Interoperability standards are referred to a group (a bundle) of HIT standards assembled in an interoperability specification document (integration profile) that specify the use of these standards to support a specific or a number of specific HIM Use Case (s), i.e., examples of HIM practice(s). Interoperability standards support semantic, technical and functional compatibility of information systems to allow for seamless data flows and data sharing according to the information governance principles.

⁵ American Record management Association (ARMA). Generally Accepted Record Management Principles. Information Governance Maturity Model. 2013

Figure 1 provides the overall framework for the alignment of the IG principles, HIM principles and practices as well as HIT standards that are needed in HIT products to support HIM. Figure 1 also presents the timeline for the complimentary activities and deliverables from AHIMA on defining HIM practices in the electronic environment in 2014 and proposed IHE White Paper with the roadmap for the development of HIT interoperability standards for the healthcare information systems to support HIM practices.

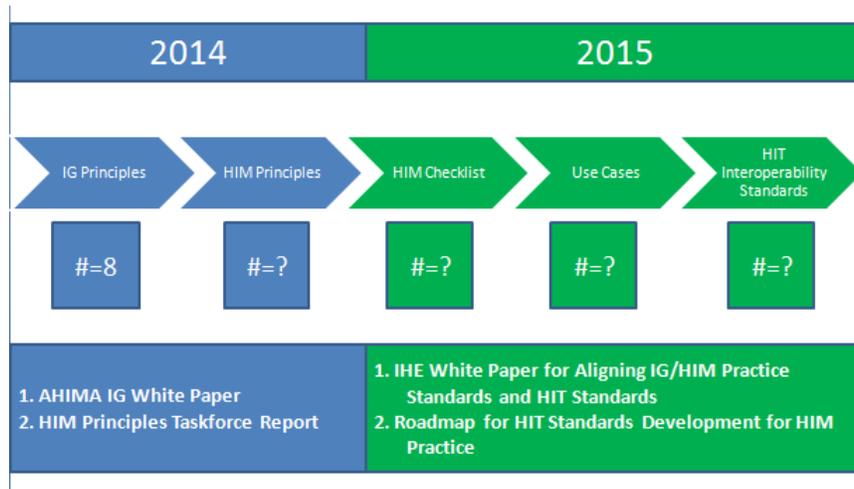


Figure 1. Framework for the Development of Standards for Information Governance and HIM Practices

We believe that 3 IG principles (Availability, Retention, and Disposition) characterize 3 states of the health record lifecycle. The other 5 principles (Accountability, Transparency, Integrity, Protection, and Compliance) are the attributes of the 3 states of the record. Based on this assumption, we propose 2 Use Cases for this White Paper.

Use Case 1: Based on the AHIMA HIM Principles Taskforce Report (Figure 1) with the alignment between IG and HIM principles, we will focus on the Availability, Retention and Disposition states of the record and will develop the checklist of HIM workflow steps (actions) associated with these 3 record states. We will further conduct the analysis of HIT standards that are applicable to support actions under these states in the HIT products and interoperability standards applicable to the information exchanges between products under these states. As the result of this analysis we will identify possible gaps and overlaps in existing HIM and HIT standards, including interoperability standards that are needed to support HIT product capabilities for these 3 states of the record.

Use Case 2. We will select one of the 5 attributes, e.g., Protection, to identify specific actions under this attribute for each of the 3 states of the record. We will further conduct the gap/overlap analysis of HIT standards and interoperability standards under these actions. One of the specific capabilities under Protection could be to review the use of “copy and paste” capability in HIT products. When used inappropriately, this feature can lead to inaccurate documentation and potentially result in medical errors. We will develop an approach on how to control this capability through HIT standards, e.g., enable/disable “copy and paste” for specific contents.

Based on the outcomes of the gap/overlap analysis from both Use Cases we will create a roadmap for the development and adoption of standards in HIT products to support HIM practices by specifying additional Use Cases related to standardization of HIT products for HIM practices and defining the timeline for the development of standards for these Use Cases.

4. Standards and Systems

<List existing systems that are/could be involved in the problem/solution.>

<If known, list standards which might be relevant to the solution>

This White Paper will be applicable to various health information systems such as EHRs, LIMS, pharmacy, public health, research and other information systems involved in the management of health information.

The following standards will be relevant to this effort:

HIM Business Standards

1. AHIMA Information Governance Principles for Healthcare, 2014
2. AHIMA First Information Governance Benchmarking White Paper, May 2014
3. ASTM E-31 Standards on HIM practices (URL: http://www.astm.org/BOOKSTORE/BOS/TOCS_2014/14.01.html)

HIT Standards

- 1) HL7 Electronic Health Record Lifecycle Model R1, January 2008 [with additional information from the forthcoming 2014/2015 Release 2]
- 2) ISO 21089, Health Informatics –Trusted End-to-End Information Flows, 2004 [with additional information from the current new update underway in ISO/TC215]
- 3) IHE ITI Technical Framework including
 - a. Cross-Document Workflow (XDW) Integration Profile
 - b. Integration Profiles related to Information Security
 - c. Other
- 4) ISO/TC 215 Standards on Privacy and Security
- 5) ISO/TC 215 Standards on Medical Records

5. Discussion

<Include additional discussion or consider a few details which might be useful for the detailed proposal>

<Why IHE would be a good venue to solve the problem and what you think IHE should do to solve it.>

IHE promotes the coordinated use of HIT standards in HIT products to address specific clinical needs in support of optimal patient care. It has been leading the development of profiles that result in new and important HIT

interoperability standards. Several published IHE profiles are related to the HIM practices in the area of document sharing, access control and audit. We believe that this project will help to streamline further development of IHE profiles based on better alignment between HIM needs (business practice standards) and HIT product capabilities.

<What might the IHE technical approach be? Existing Actors? New Transactions? Additional Profiles?>

Our proposal of (a) aligning HIM business needs with HIT standards and (b) creating a roadmap for the developing these standards may result in the more comprehensive way for IHE interoperability standards development process assuring user-needed capabilities in the HIT products. In this White Paper we will assess the current IHE standards inventory to depict the coverage and possible gaps between existing standards and user needs for specific HIT product capabilities and will develop a roadmap for addressing these gaps by specifying new Use Cases for standards development.

<What are some of the risks or open issues to be addressed?>

We believe this effort fits well with IHE's overarching vision to continue strategic expansion into providing solutions on a larger domain-focused scale. However, as with any new idea, there is potentially a risk that the direct modeling of the IG/HIM principles and practices and HIT standards could be more difficult than anticipated. We believe though that such effort will benefit IHE for better aligning its development work with user needs which ultimately will lead to broader adoption of IHE standards in the HIT products.

Thank you for considering our proposal and we look forward to the discussion of our proposal.