AMERICAN HEALTH INFORMATION MANAGEMENT ASSOCIATION

HIT Standards for Information Governance White Paper

IHE Preparations of Public Comment & Issuance Meeting

Harry Rhodes

AHIMA
American Health Information Management Association®

© 2014

The Problem

- Current misalignment of health information management (HIM) practices in healthcare organizations with the capabilities of health information systems (HIS)

Unintended Consequences

- 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
- implications for appearances of fraud and abuse

The Goal

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

HIM and IHE Universes Amalgamation

Health Information Systems should support HIM practices

HIM practices should inform IHE Profile Specifiers

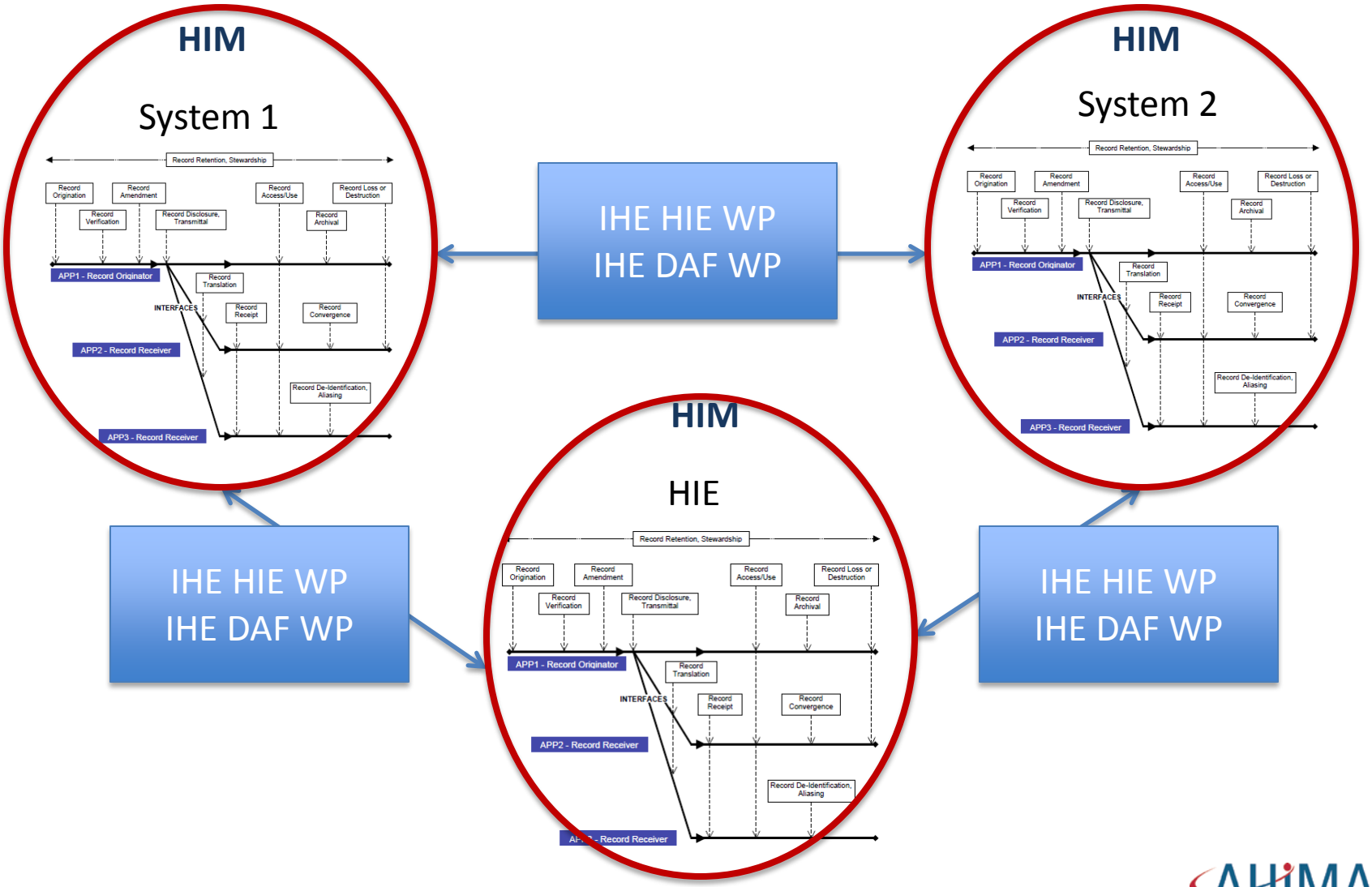
Health Information Systems built based on the IHE Profiles should support HIM practices

AHIMA

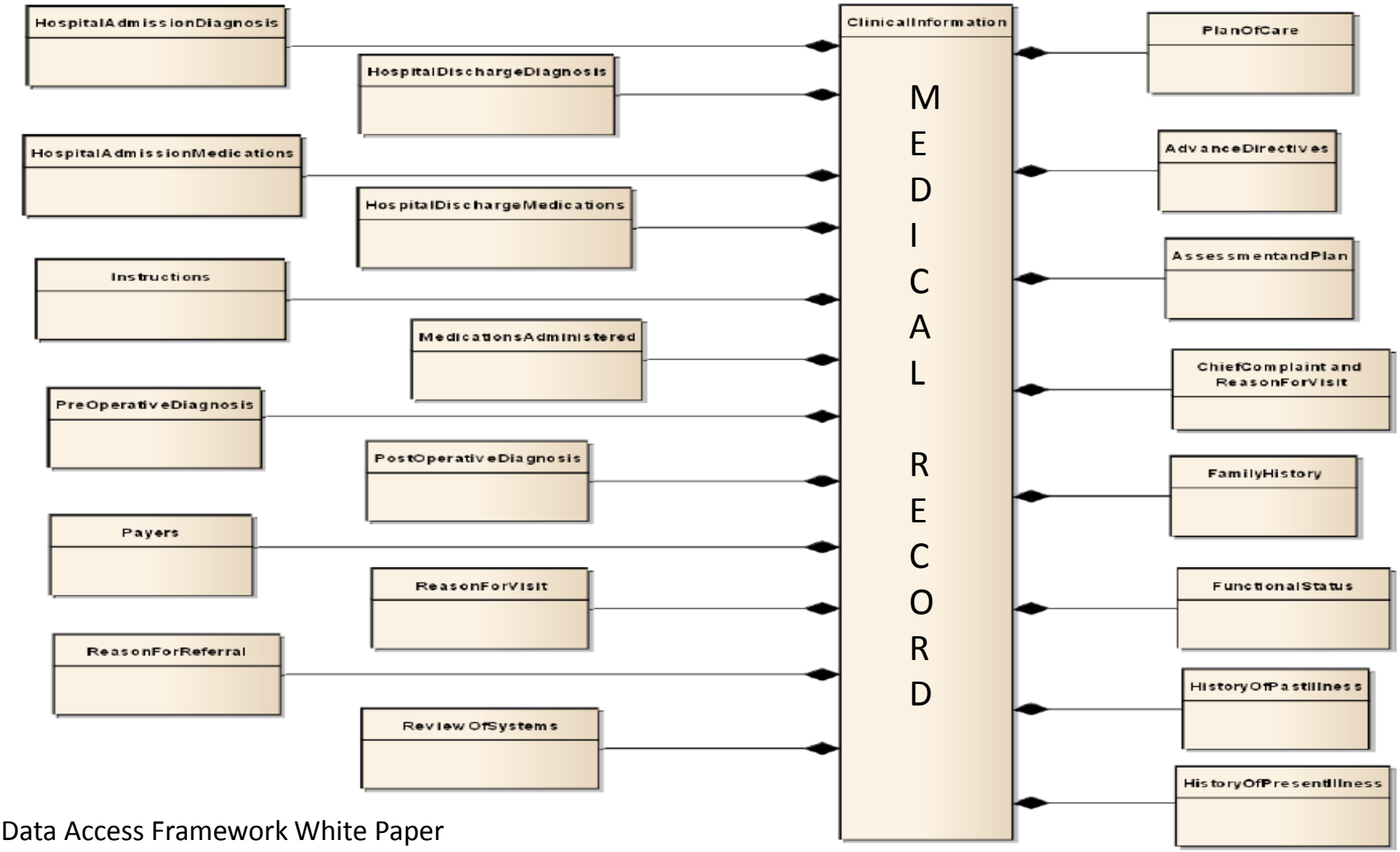
Proposal

- Aligning HIM business needs with HIT standards and;
- 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.

Project Scope: Document Sharing/Exchange



Record Content Populated by Various Systems



IHE Data Access Framework White Paper
URL: http://www.ihe.net/uploadedFiles/Documents/PCC/IHE_PCC_White_Paper_DAF_Rev1.1_2014-10-24.pdf

The White Paper Objectives

1. Explain/model the relationship between HIM practices (clinical-HIM workflow, HIM activities checklist) and capabilities of HIS products to support these practices
2. Conduct a gap analysis between HIM practices and existing IHE and other HIT standards for HIS aimed to support HIM practices
3. Create the roadmap for the development of new IHE profiles to support HIM practices
4. Inform IHE development process by defining Profile Specifier checklist aligned with the HIM practices checklist

Our Methodology

Methodology

Tasks	Deliverable
1. Document HIM best practices in electronic environment by selected Information Governance principle: (a) Integrity; (b) Protection; (c) Availability	Literature Review HIM Practice Check list
2. Define Use Cases for selected HIM best practices by principle	HIM Use Case List
3. Conduct gap analysis of IHE interoperability standards (integration profiles) to assess their capabilities to support HIM practice by harmonization of the HIM and IHE use cases	Gap Analysis Table
4. Develop recommendations and a roadmap for addressing identified gaps in IHE interoperability standards	Recommendations and Roadmap
5. Publish draft White Paper for public comments	Draft White Paper
6. Publish final White paper based on the reconciliation of public comments	Final White paper
7. Develop proposal for the IHE 2015-16 development cycle	Proposal for the 2015-16 IHE development cycle
8. Communication, Outreach and Marketing	JAHIMA Article Webinar 2015 Convention

Forms Committee Tools and Resources

EXAMPLES:

Charters

Org Charts

Sample Plans

Role Definitions

Practice Guidelines

Sample Procedures

Articles

Case Studies

Tools for:

ROI, Classification,

Valuation,

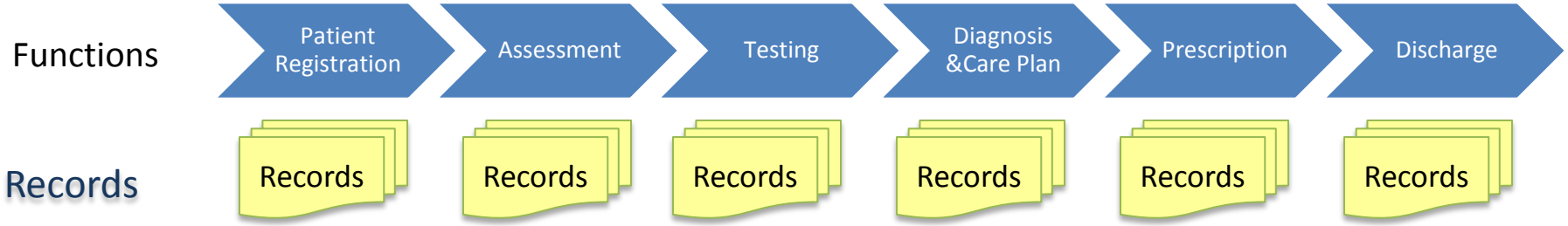
Defining Data & Info Uses

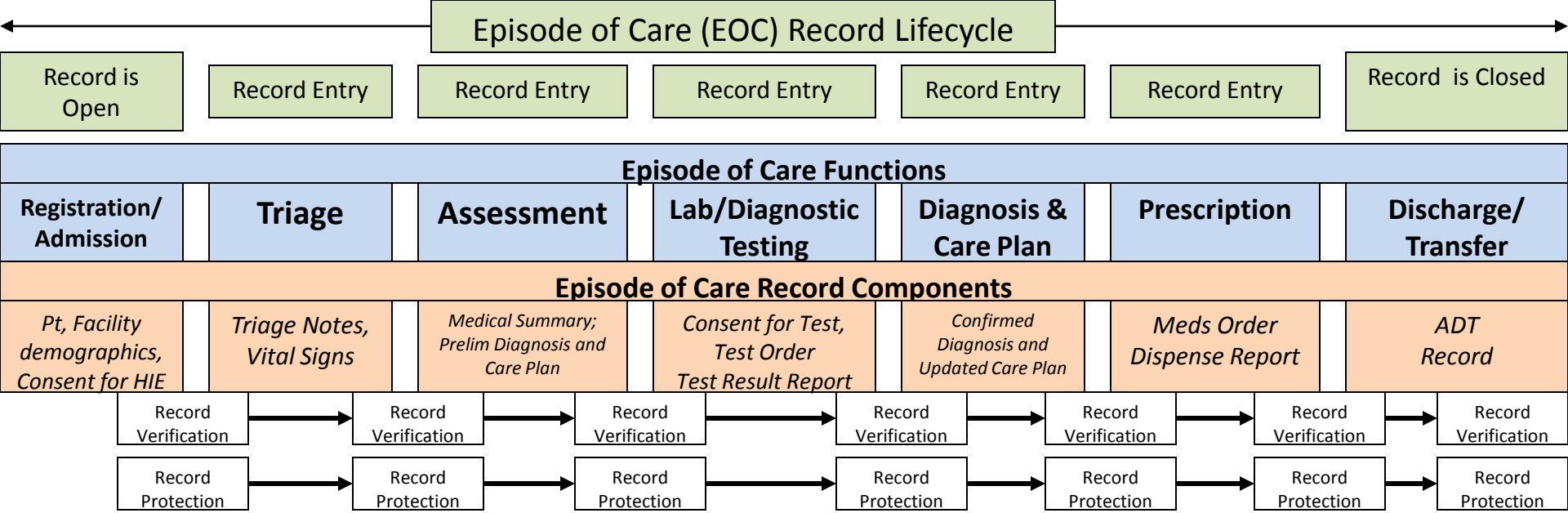
Information Governance Principle: Record Availability

HIM Practice A1. All documents are accounted for

Use Case A1.1: All documents are accounted for in a specific timeframe after discharge

Clinical Episode of Care: Functions and Records/Documents Flow





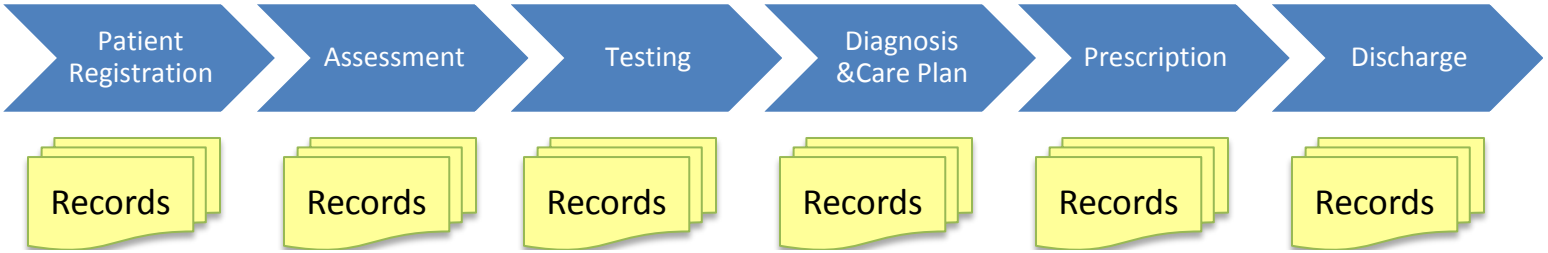
APP 1: Record Originator: EHR-S

Information Governance Principle: Record Availability

HIM Practice A1. All documents are accounted for

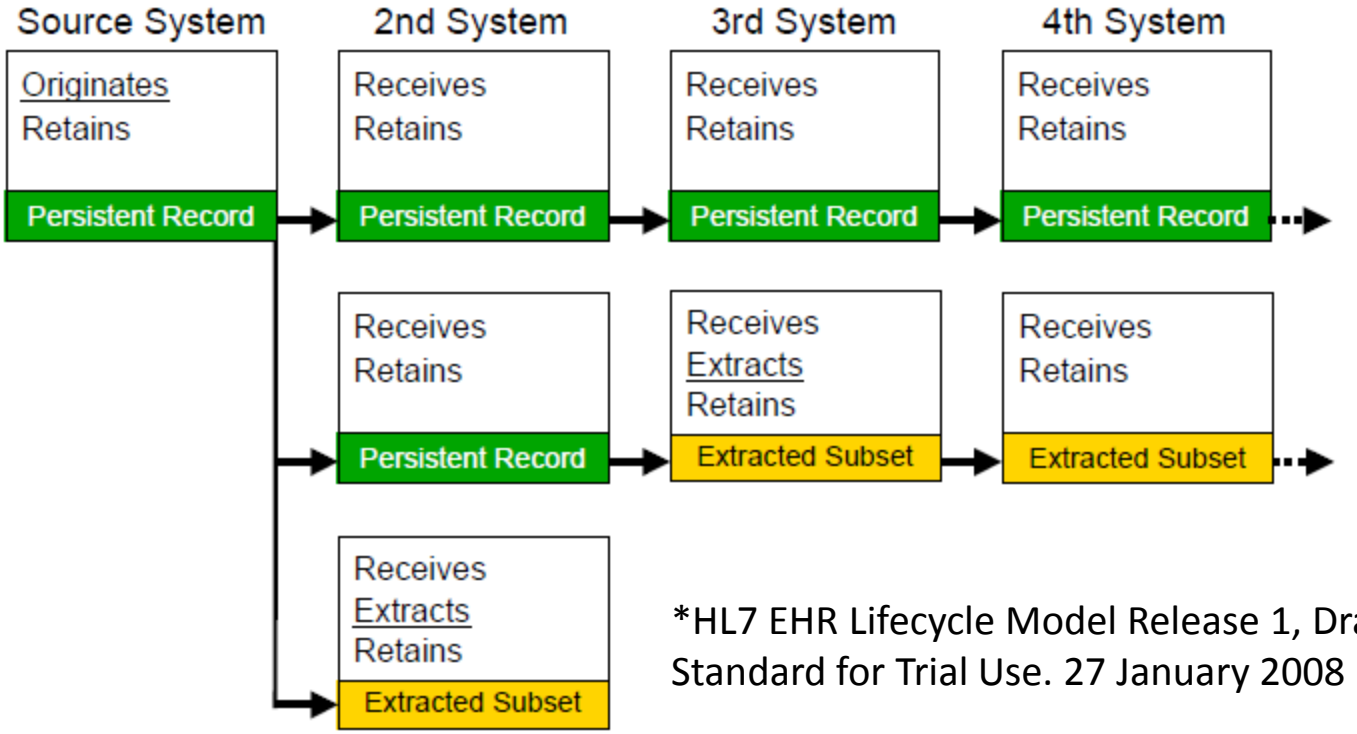
Use Case A1.1: All documents are accounted for in a specific timeframe after discharge

Clinical Episode of Care/Encounter's Functions and Records/Documents Flow



Technical Actors
Participating Systems:

1 – Administrative System (Source System)
2 – EHR System
3 – Ancillary Systems (Laboratory, Radiology, etc.)
4 – Pharmacy System



*HL7 EHR Lifecycle Model Release 1, Draft Standard for Trial Use. 27 January 2008

Episode of Care (EOC) Record Lifecycle

Record is Open | Record Entry | Record Entry | Record Entry | Record Entry | Record Entry | Record is Closed

Episode of Care Functions

Registration/ Admission	Triage	Assessment	Lab/Diagnostic Testing	Diagnosis & Care Plan	Prescription	Discharge/ Transfer

Episode of Care Record Components

Pt, Facility demographics, Consent for HIE	*Triage Notes, Vital Signs*	*Medical Summary; Prelim Diagnosis and Care Plan*	*Consent for Test, Test Order Test Result Report*	*Confirmed Diagnosis and Updated Care Plan*	*Meds Order Dispense Report*	*ADT Record*

Record Verification → Record Verification → Record Verification → Record Verification → Record Verification → Record Verification → Record Verification

Record Protection → Record Protection → Record Protection → Record Protection → Record Protection → Record Protection → Record Protection

APP 1: Record Originator: EHR-S

Testing Episode Record Lifecycle

Record Is Open	Record Entry	Record is Closed
Test Order Registration	**Testing Procedure**	**Test Result Reporting**
Test Order Test Demogr.	*Testing Documentation*	*Test Result Report*

Record Verification → Record Verification

Record Protection → Record Protection

APP2-Record Receiver and Record Component Originator (Ancillary System)

Pharmacy Episode Record Lifecycle

Record Is Open	Record Entry	Record is Closed
Med Order Registration	**Med Proceessing**	**Med Dispensing**
Med Order Med Demogr.	*Medication Documentation*	*Med Dispense Report*

Record Verification → Record Verification

Record Protection → Record Protection

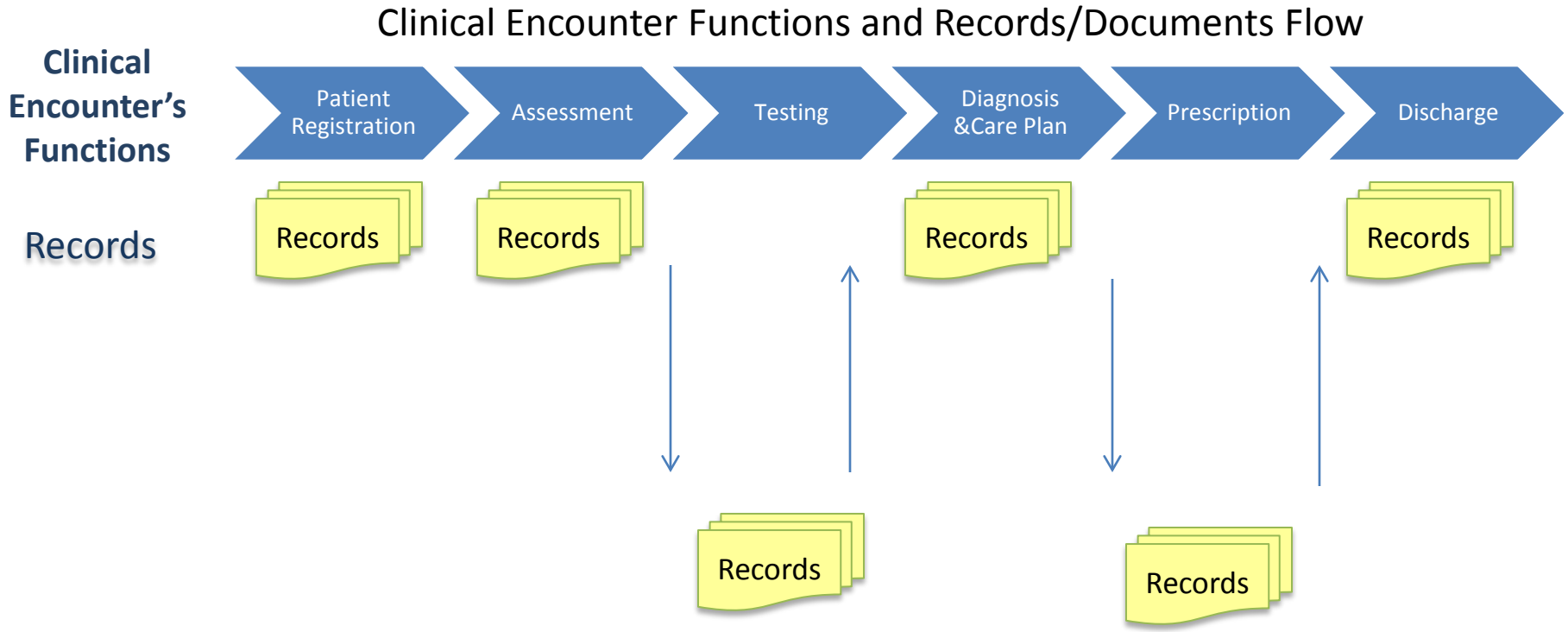
APP3-Record Receiver and Record Component Originator (Ancillary System)

APP - Application

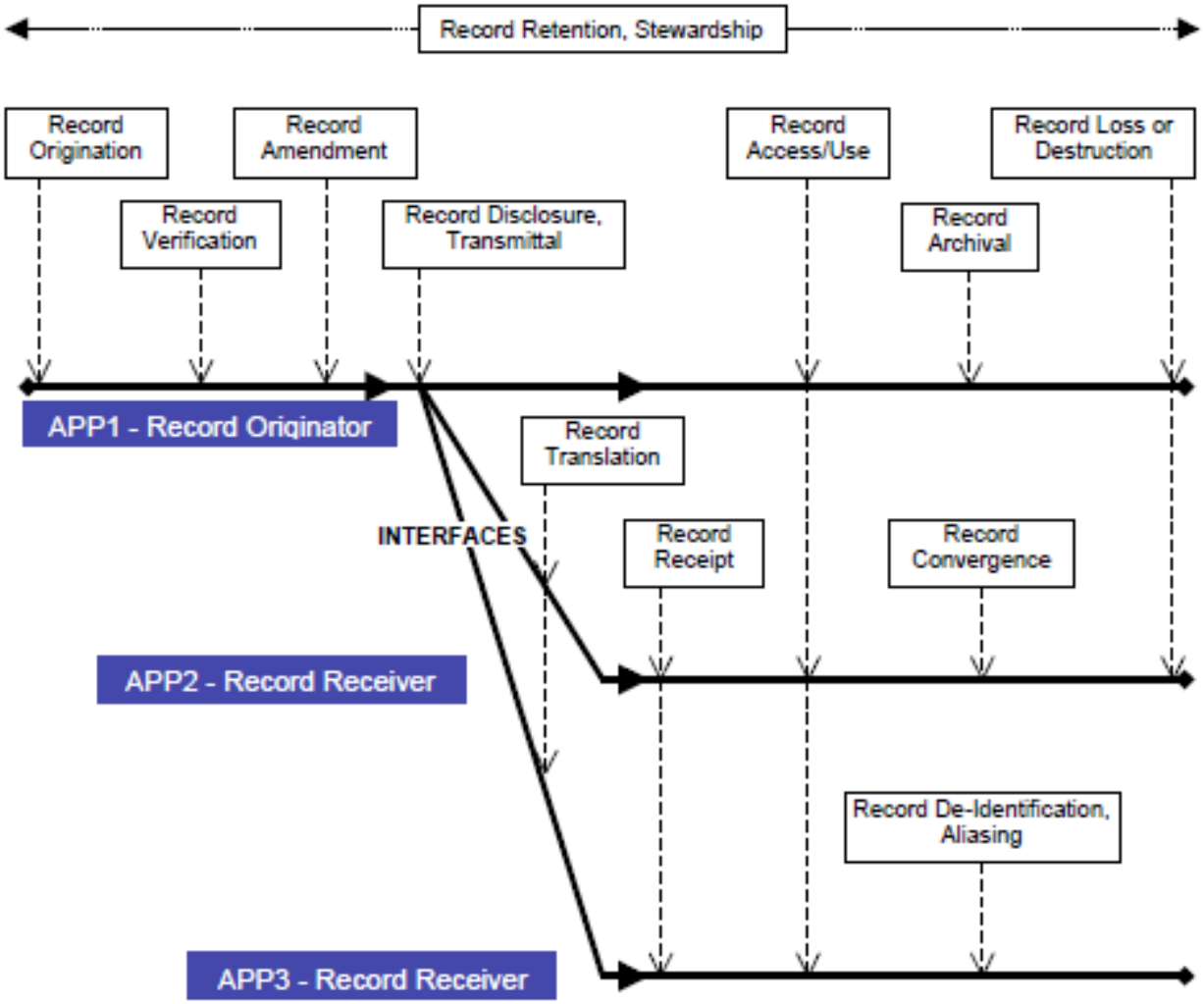
Information Governance Principle: Record Availability

HIM Practice A1. All documents are accounted for

Use Case A1.1: All documents are accounted for in a specific timeframe after discharge



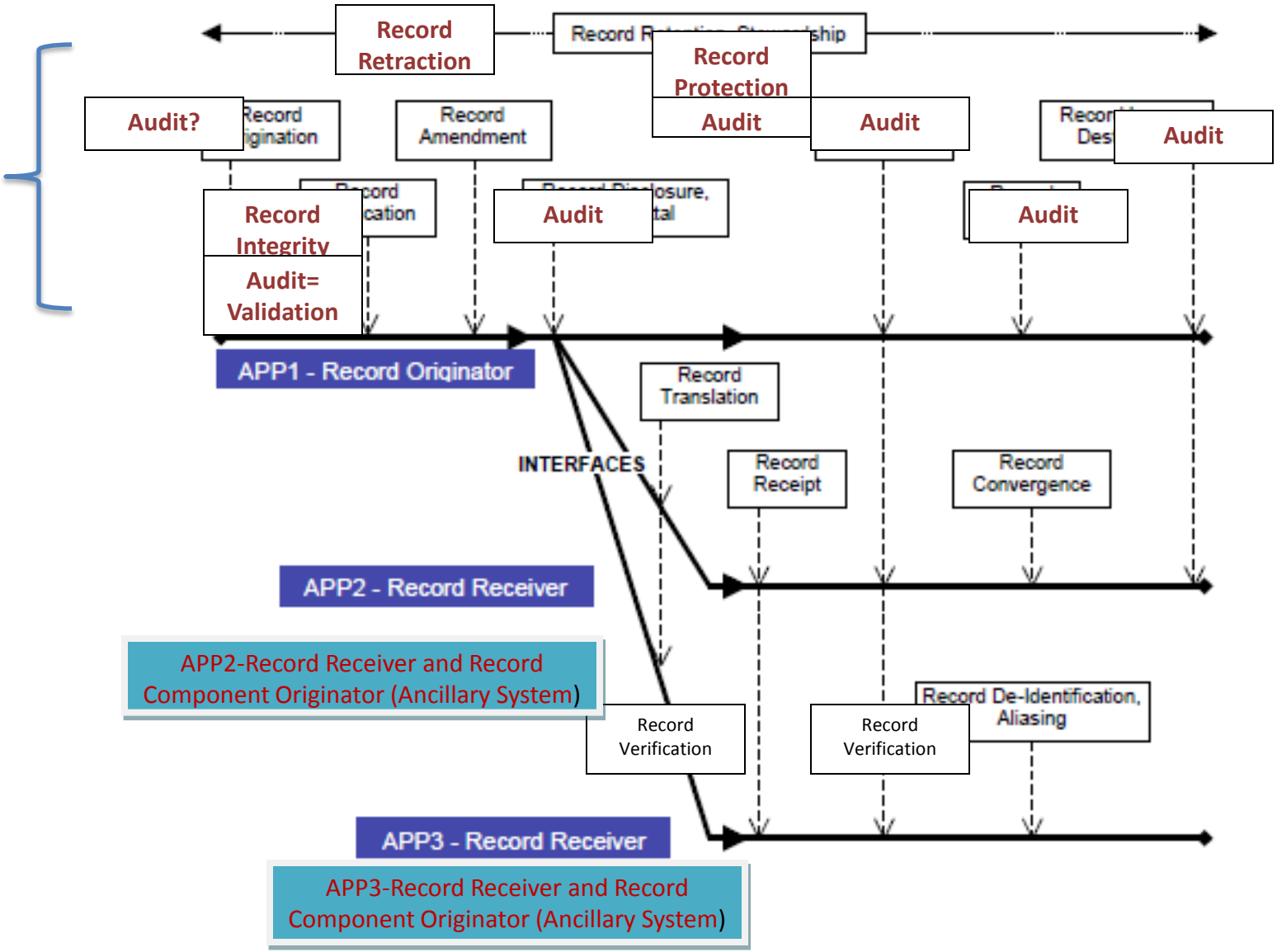
Document Creation/Sharing/Exchange



USE CASES A1, 2, 3, X	USE CASES A4, X	USE CASES A 5, X

Record Entry

Indivi-dual docu-ment



Audit? – revision History

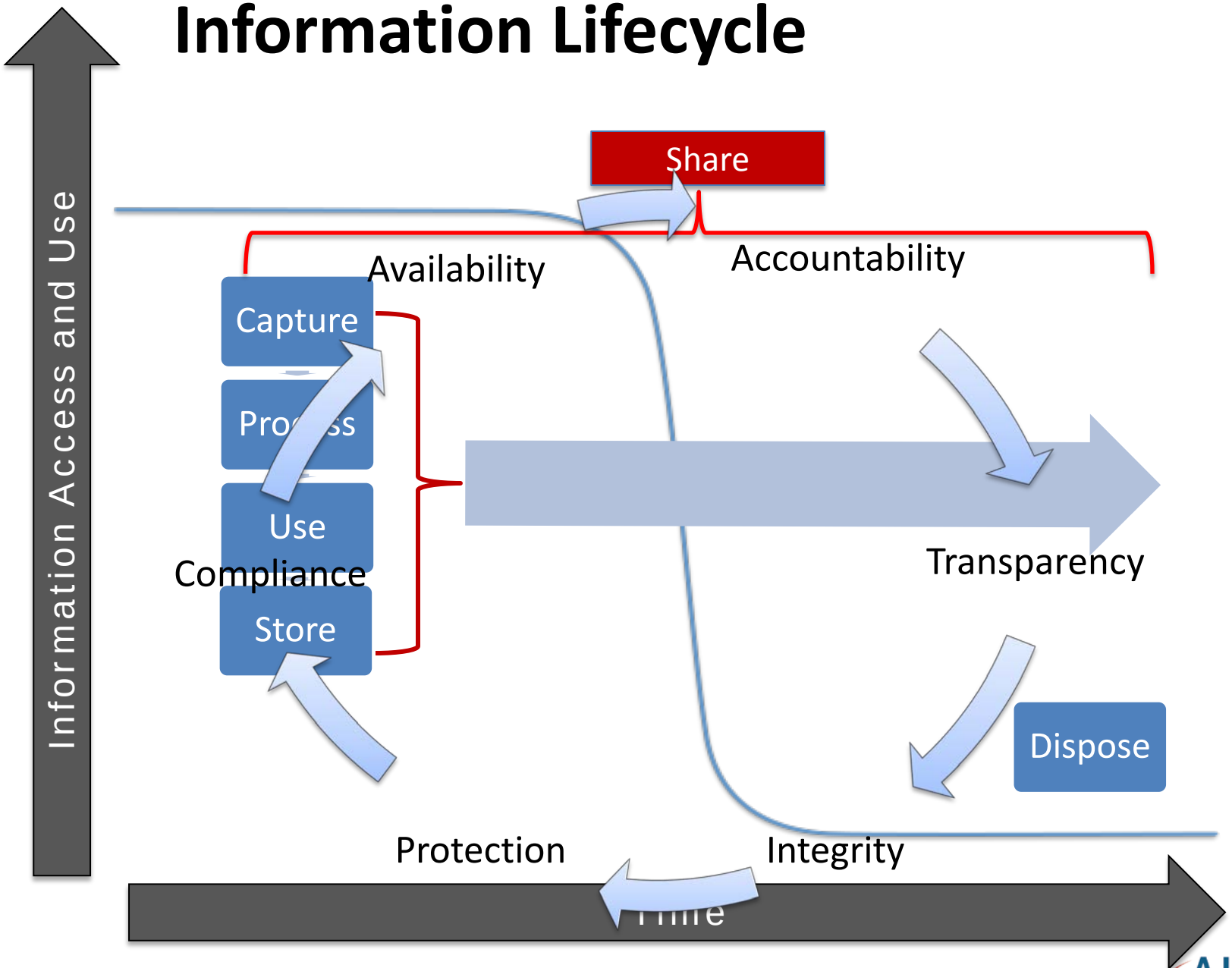
ISO TS 21089: 2004 Trusted end-to-end information flows

ISO/HL7 Standard or S&I Activity ➔ / Record Lifecycle Event (EHR-S FM RI.1.1.x) ➔		ISO TC215 – Stds. Infrastructure Frame In development	ISO 21089:2004 Trusted End to End Published TR	ISO 21089:2014 Trusted End to End In development	ISO/HL7 10781 EHRS FM R2:2014 Published	ISO/HL7 16527 PHRS FM R2 In development	ISO 19669 – Re-Usable Use Case In development	ISO 13606 – EHR Communication In Revision	HL7 EHR Lifecycle Model DSTU:2008 Published	HL7 RM-ES FP R2 In Development	HL7 Record Lifecycle on FHIR In Development	US S&I Simplification	US S&I Data Provenance
1 Originate/Retain Record Entry		X	X	X	X	X	X		X	X	X	X	TBD
2 Amend Record Entry		X	X	X	X	X	X		X	X	X	X	
3 Translate Record Entry		X	X	X	X	X	X		X	X	X	X	
4 Attest Record Entry		X		X	X	X	X		X	X	X	X	
5 View/Access Record Entry		X	X	X	X	X	X		X	X	X	X	
6 Output/Report Record Entry	Exchange	X	X	X	X	X	X	X	X	X	X	X	
7 Disclose Record Entry	Exchange	X	X	X	X	X	X	X	X	X	X	X	
8 Transmit Record Entry	Exchange	X	X	X	X	X	X	X	X	X	X	X	
9 Receive/Retain Record Entry	Exchange	X	X	X	X	X	X	X	X	X	X	X	
10 De-Identify Record Entry		X	X	X	X	X	X		X	X	X	X	
11 Pseudo-nymize Record Entry		X	X	X	X	X	X		X	X	X	X	
12 Re-Identify Record Entry		X	X	X	X	X	X		X	X	X	X	
13 Extract Record Entry		X	X	X	X	X	X		X	X	X	X	
14 Archive Record Entry		X	X	X	X	X	X		X	X	X	X	
15 Restore Record Entry		X		X	X	X	X		X	X	X	X	
16 Destroy Record Entry		X	X	X	X	X	X		X	X	X	X	
17 Deprecate/Retract Record Entry		X		X	X	X	X			X	X	X	
18 Re-Activate Record Entry		X		X	X	X	X			X	X	X	
19 Merge Record Entry		X		X	X	X	X			X	X	X	
20 Unmerge Record Entry		X		X	X	X	X			X	X	X	
21 Link Record Entry		X		X	X	X	X			X	X	X	
22 Unlink Record Entry		X		X	X	X	X			X	X	X	
23 Place Legal Hold on Record Entry		X		X	X	N/A	X			X	X	X	
24 Remove Legal Hold on Record Entry		X		X	X	N/A	X			X	X	X	
25 Verify Record Entry Content		X	X	X		X	X		X	X	X	X	
26 Encrypt Record Entry		X		X		X	X			X	X	X	
27 Decrypt Record Entry		X		X		X	X			X	X	X	
Applicable Lifecycle Events ➔		27	15	27	24	25	27	4	16	27	27	27	?

More robust then AHIMA, though process still minimal

EHRS-FM R2 (Used for Record Infrastructure Record Entry Lifecycle Event Metadata on FHIR) 2014

Information Lifecycle



Information Mgmt Functions - Healthcare

Capture	Process	Use	Store	Dispose
Create Enter Record Dictate Write Receive Interface	Classify Validate Analyze QC/QA Complete Interface Integrate	Code Examine Analytics/BI Release Discover Hold Retain Export Transmit Exchange	Store Preserve Archive	Delete Deprecate Destroy Perm Store Discover Perm Archive Transition

QUESTIONS/DISCUSSION