Connecting Communities Workgroup

Governance Discussion Pt. 2

May 28, 2013

2:00 – 3:00 pm ET

Reminder

Please mute your line when not speaking

(6 to mute, *7 to unmute)*

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Reminder

This call is being recorded

Agenda

- Welcome and introduction
- David Kibbe, MD
  - DirectTrust
- Anuj Desai
  - NYeC & EHR/HIE Interoperability Workgroup
- Q&A
- Discussion of ONC Governance Framework (time permitting)
- Next Steps

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The Office of the National Coordinator for
Health Information Technology

DirectTrust

Collaborating to Build the Security and Trust Framework for Direct Exchange

David C. Kibbe, MD MBA
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May 28, 2013

Putting the **I** in Health**IT**
www.HealthIT.gov

- Mission and Goals
  - DirectTrust.org, Inc. (DirectTrust) is a voluntary, self-governing, non-profit trade alliance dedicated to the support of Directed exchange of health information, and to the growth of Directed exchange at national scale, through the establishment of policies, interoperability requirements, and business practice requirements that will enhance public confidence in privacy, security, and trust in identity. The latter, taken together, will create a Security and Trust Framework for the purpose of bridging multiple communities of trust.

DirectTrust is an outgrowth of the Direct Project "Rules of the Road" Wg

X.509 Certificate Policy Established
December 2011

➤

Accreditation Program Kick-off
February 2013

➤

ONC Cooperative Agreement Award
March 2013

➤

Trust Anchor Bundle Distribution Service Starts
May 2013

- Direct exchange is PHI-containing email transported over the Internet between parties that rely on one another for security and trust-in-identity. HISPs are "trusted agents" for relying parties.

- What is the mechanism for establishing "sufficient trust" between HISPs and their users/subscribers within a Direct PKI?

- More than technology is involved. Trust involves clarity, transparency, and choice as to how the technology is deployed, and assurances as to how relying parties are operating. Accreditation is one way to achieve this assurance.

www.DirectTrust.org

DirectTrust

Collaborating to Build
the Security and Trust Framework
for Directed Exchange

Become a MEMBER today!

News and Press Releases

DirectTrust trust framework basis of Michigan HIE partnership with Surescripts

The Michigan Health Information Network Shared Services (MiHIN) has entered into an agreement with Surescripts allowing users of Surescripts' Clinical Interoperability network to send electronic health ...

Read More →

ONC forges partnership for HIE standards

Rather than trying to create new information exchange governance standards, the Office of the National Coordinator is pursuing the goal of nationwide HIE interoperability and security ...

Read More →

Welcome to DirectTrust

DirectTrust is an independent non-profit trade association created by and for participants in the Direct community, our common goal being to establish and maintain a national Security and Trust Framework (the "Trust Framework") in support of Directed exchange. We define the Trust Framework as a set of technical, legal, and business standards, expressed as policies and best practices recommendations, which members of the trust community agree to follow, uphold, and enforce. DirectTrust has partnered with EHNAC to offer an Accreditation Program for HISPs and other trusted agents involved in Directed exchange, based on our Trust Framework.

Members of DirectTrust now include over 40 representatives from Health Internet Service Providers (HISPs), Health Information Exchanges (HIEs), Certificate Authorities (CAs), consultants, state agencies, and EHR vendors, as well as health care providers who are their

Member Directory

MaxMD	McKESSON	MedAllies
MaxMD	McKesson Corporation	MedAllies, Inc
MIN-NS	MEDICITY	MiHIN Shared Services
Medical Information Network North Sound	Medicity	Michigan Health Information Network Shared Services

More...

Twitter

DirectTrust.org

@DirectTrustorg

On May 10, Farzad Mostashari to provide a governance update, including details on funded cooperative agreement: http://t.co/ha5Efnz8pc

about 20 hours ago

Membership

• Members have an active role in setting the community's common security and trust policies and business practices for universal exchange via Direct.

Accreditation

• Provides assurance that HISP/CA/RAs have achieved the benchmark for security and trust-in-identity established by the community.
• Reduces the need to engage in one-to-one contractual agreements.

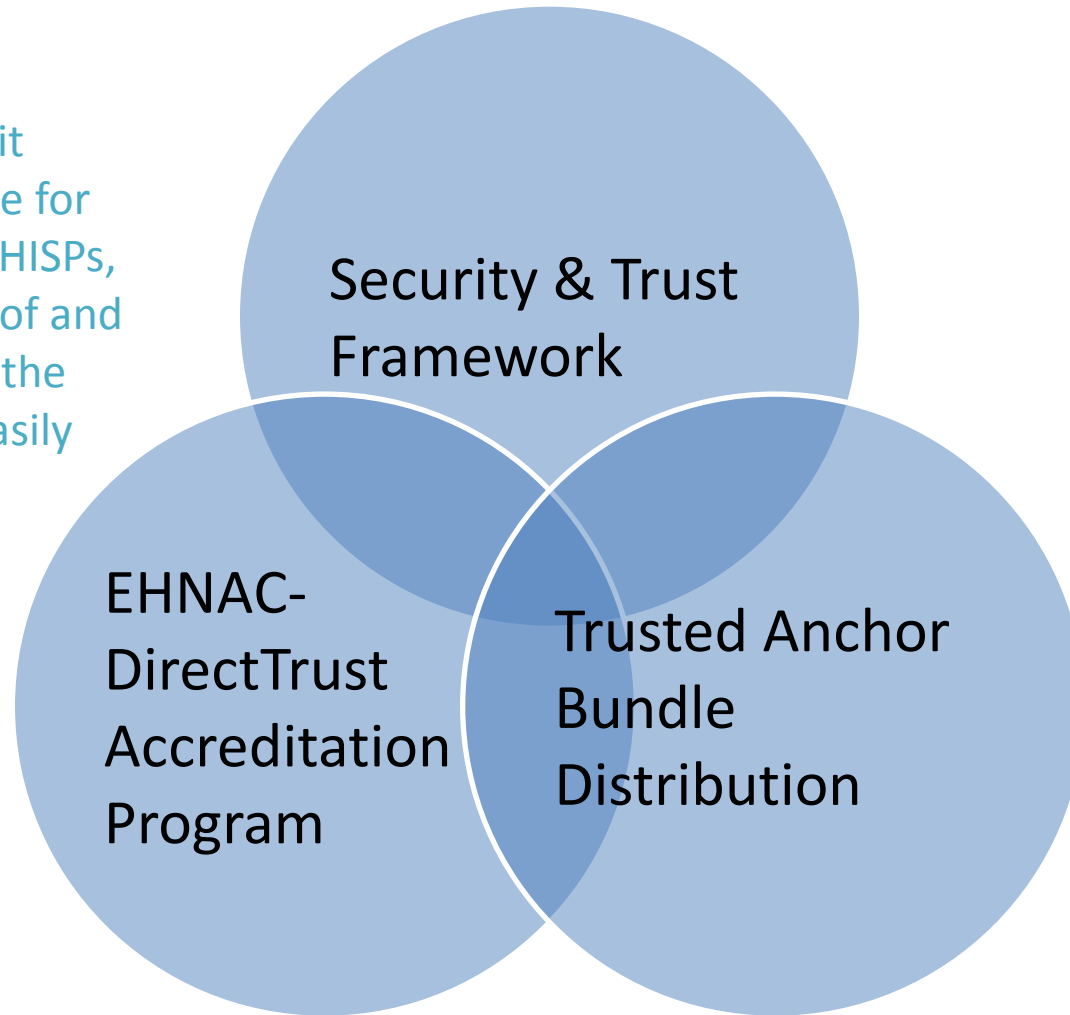Trust anchor bundle distribution

•Enables 'technical trust' for scalable cross-HISP exchange. HISPs that are accredited can add their trust anchor to the bundles, enabling them to seamlessly exchange with other HISPs who have their trust anchors in the same bundles.

DirectTrust Priority Goals
Under the EHIEGE Program

✓ Increase interoperability, decrease cost and complexity, and facilitate trust among participants using Direct for health information exchange of personal health information for health care improvements.

✓ Advance industry engagement in the Electronic Healthcare Network Accreditation Commission (EHNAC)-DirectTrust program for voluntary accreditation of HISPs, CAs, and RAs, who act as trusted agents on behalf of Direct exchange participants (DTAAP).

✓ Design, build out, and operate at scale a Trust Anchor Bundle Distribution Service, TABs, that transparently identifies attributes of anchor certificates from accredited HISPs, and distributes these anchors to the public, thereby permitting trust relationships to grow at "scale," and removes the need for costly, time consuming, one-off contract negotiations between HISPs or their users/subscribers.
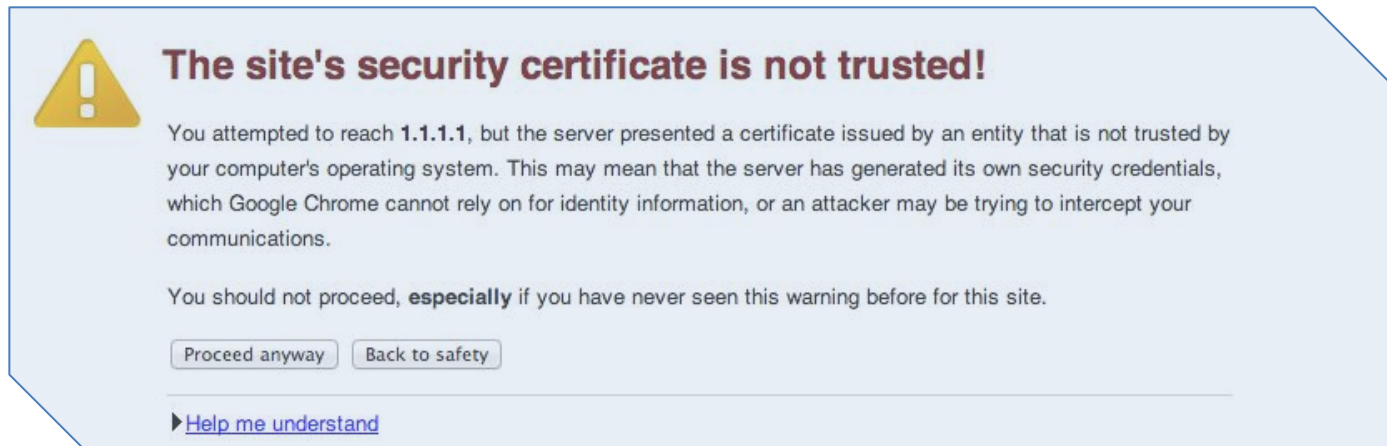
DirectTrust Approach

The goal is to make it easy and inexpensive for trusted agents, e.g. HISPs, to voluntarily know of and follow the "rules of the Road," while also easily and inexpensively knowing who else is following them.

DirectTrust
EHNAC
ACCREDITED
DTAAP HISP

Security & Trust Framework

EHNAC-DirectTrust Accreditation Program

Trusted Anchor Bundle Distribution

DirectTrust Approach

Avoid this:

> ⚠ **The site's security certificate is not trusted!**
>
> You attempted to reach **1.1.1.1**, but the server presented a certificate issued by an entity that is not trusted by your computer's operating system. This may mean that the server has generated its own security credentials, which Google Chrome cannot rely on for identity information, or an attacker may be trying to intercept your communications.
>
> You should not proceed, **especially** if you have never seen this warning before for this site.
>
> [Proceed anyway] [Back to safety]
>
> ▶ Help me understand

With this!

DirectTrust EHNAC ACCREDITED DTAAP HISP — DirectTrust EHNAC ACCREDITED DTAAP CA — DirectTrust EHNAC ACCREDITED DTAAP RA

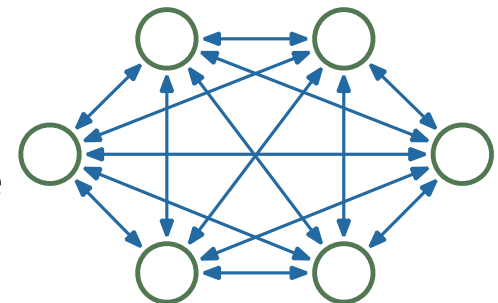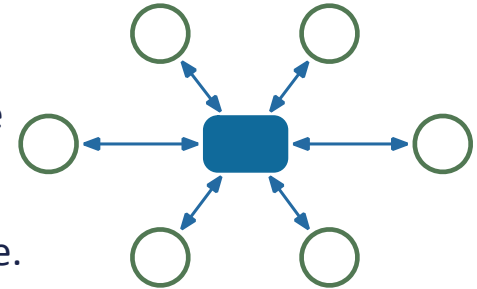Office of the National Coordinator for Health Information Technology

Scalable Trust

- Scalable Trust is a strategy for enabling Directed exchange between a large number of endpoints, in this case HISPs and their users/subscribers.

- If "scalable,"
    – Trust should happen "quickly" and uniformly.
    – A "complete" network will be formed voluntarily.
    – Complexity and cost of establishing a network will decrease, while the value of the network itself will increase, as more nodes are added.
    – This "network effect" will be a by-product of making trust scalable.
    – Eliminates the need for one-off manual business agreements and technical connections

- If not "scalable,"
    – Parties will be forced to create one-off manual business agreements and technical connections increasing cost and complexity
    – Manual exchange and maintenance of trust anchors doesn't scale beyond the smallest of numbers – N-squared problem.

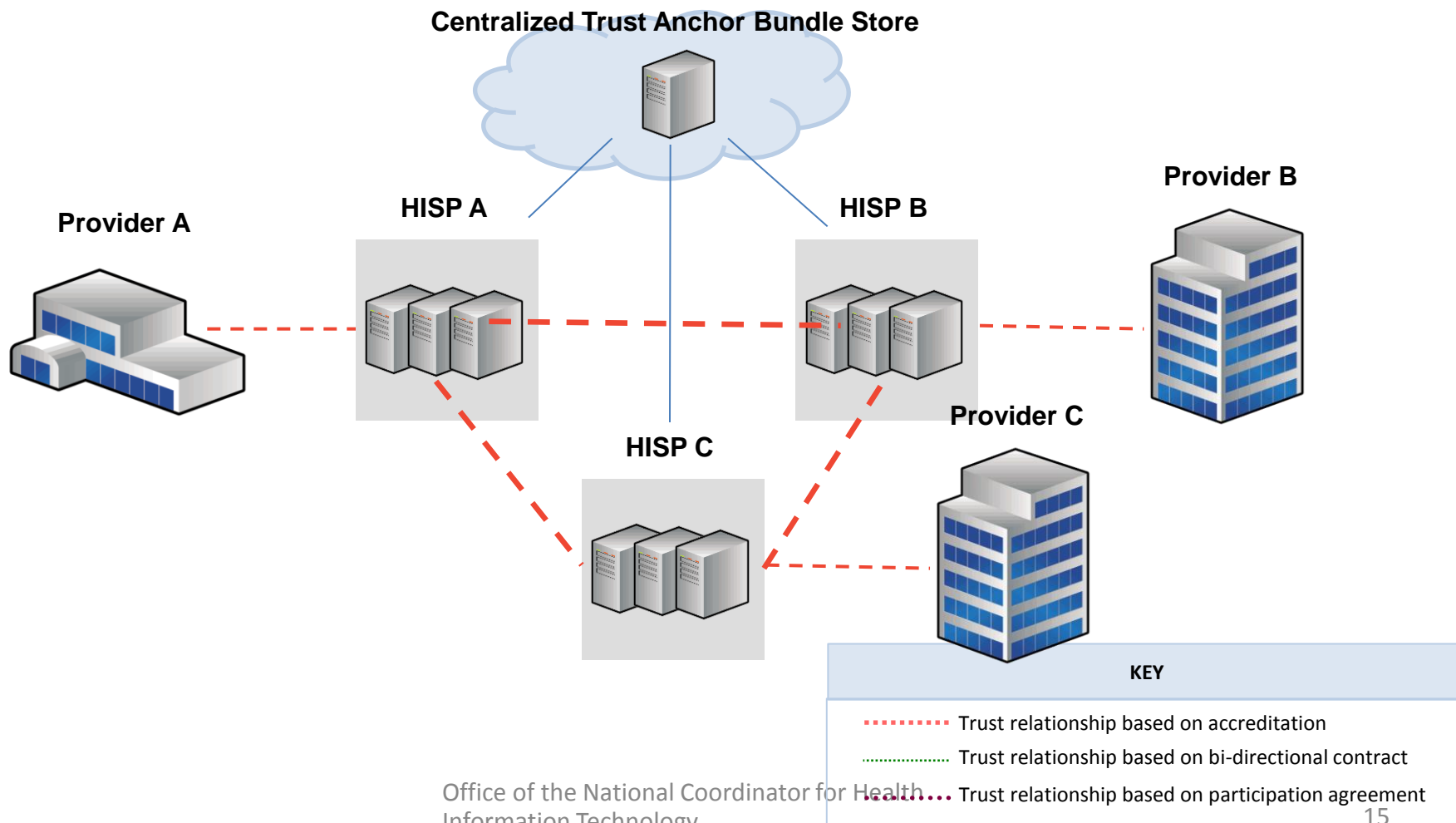# Building a Network via Bi-directional Contracts is Unworkable

- If HISPs have to forge one-off contracts with each other, the cost of Directed exchange *goes UP* with each new user group, each new contract, and thus the value decreases. Complex. Rate limiting step.
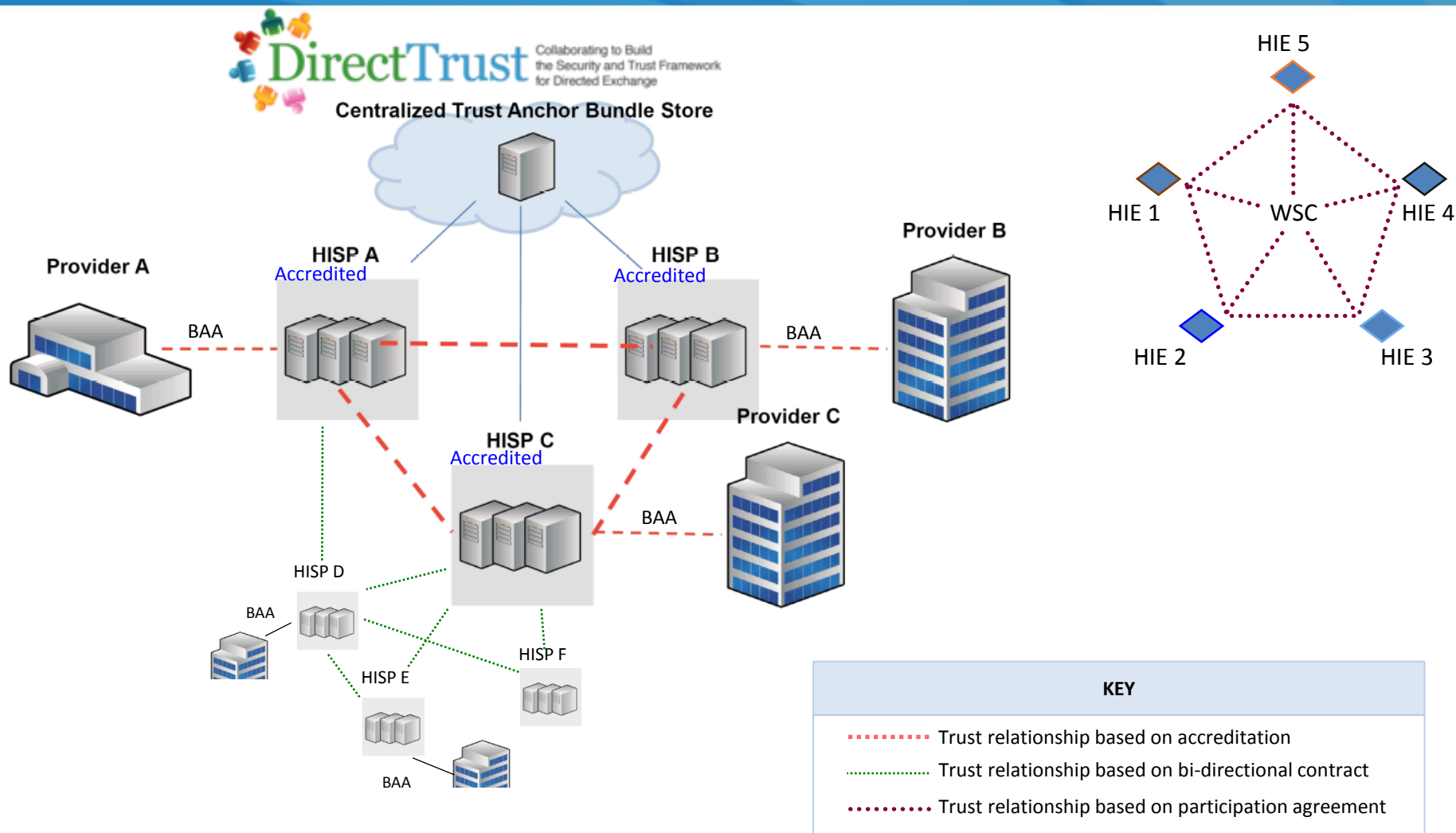
Example of the DirectTrust Community

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Collaborating to Build
the Security and Trust Framework
for Directed Exchange

Centralized Trust Anchor Bundle Store

Provider A

HISP A

HISP B

Provider B

HISP C

Provider C

KEY	
·········	Trust relationship based on accreditation
·········	Trust relationship based on bi-directional contract
···	Trust relationship based on participation agreement

The Real World

KEY

··········	Trust relationship based on accreditation
··········	Trust relationship based on bi-directional contract
··········	Trust relationship based on participation agreement

Accreditation Status

- **Full Accreditation**
  - Cerner Corporation
  - Informatics Corporation of America
  - MaxMD
  - Surescripts
- **Candidate Accreditation**
  - Covisint
  - Data Motion Inc.
  - Digicert, Inc.
  - Infomedtrix, L.L.C.
  - Inpriva, Inc.
  - MRO Corporation

How to Get Involved

- Encourage your HISP vendor or HISP services providers in your state to become accredited and add their trust anchor to the trust bundle. This will enable seamless exchange across HISPs in your state.

- To have a seat at the table become a member or encourage your HISP vendor or HISP services providers in your state to join http://www.directtrust.org/membership-eligi/.

- Public Agency Membership dues:
  – Serving population over 50,000: $1000
  – Serving population under 50,000: $500

Resources

- DirectTrust Policies
  - Code of Ethics
  - DirectTrust Community X.509 Digital Certificate Policy
  - Federation Agreement

- Direct Trusted Agent Accreditation Program (DTAAP)

- DirectTrust Membership List

EHR | HIE Interoperability WORKGROUP

ONC Exemplar HIE Governance Project

May 28, 2013

Background

- The EHR/HIE Interoperability Workgroup (IWG) was initiated in 2011 by New York e-Health Collaborative (NYeC) to leverage existing standards and develop consistent implementation guides for interoperability between HIE software platforms, and applications that interface with them.

- Our work builds on and accelerates consensus on national standards and coordinates closely with the ONC Standards and Interoperability (S&I) Framework. Leveraging its membership breadth, it was selected as an ONC grantee to document and report on policies and operational processes being explored and utilized by and across communities of care.

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EHR/HIE Interoperability Workgroup Members

States	EHRs		HIEs	
Arkansas	Alere Wellogic	Nortec Software	1MEDiX	Optum
California	Allscripts	Siemens	Alere Wellogic	Orion Health
Florida	CareVoyant	Vitera Health	ApeniMED	RelayHealth
Georgia	Cerner		dbMotion	
Illinois	CureMD		GE	
Kansas	Data Strategies		GSI Health	
Kentucky	DeFran Systems		Harris	
Maryland	Dr. First		HealthUnity	
Michigan	eClinicalWorks		ICA	
Missouri	eMDs		InterSystems	
Nebraska	EMR Direct		Med3000	
New Jersey	Epic		MedAllies	
New York	GE		MedFx	
Oregon	Greenway		Medicity	
Rhode Island	McKesson		Mirth	
Utah	MDClick		Misys Open Source	
Vermont	MTBC		NextGate	
Virginia	NextGen		OmniMD	
West Virginia	Prosocial Applications		OmniXchange	

- **19 States** represent ~ 52% of US Population

- **>40 Vendors** are leading EHR and HIE vendors with significant market share
  - 22 EHR Vendors
  - 22 HIE Vendors

EHR | HIE Interoperability W O R K G R O U P

Terms of Participation

State Responsibilities

- Actively participate and obtain buy-in with state policy groups

- Agree to develop compliance process for interfaces within state

- Ensure that specifications developed are utilized in their state.

- Market to the healthcare provider community the value of using EHRs and HIEs that pass the "plug and play" compliance testing

Vendor Responsibilities

- Vendor Responsibilities

- Actively participate in workgroup

- Work collaboratively with potential competitors

- Utilize off the shelf standards

- Commit that upon final approval of the specifications to develop product that meets such specifications within 1-2 major product releases
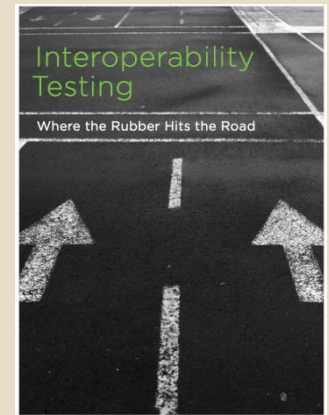
An Emerging Industry Coalition Will Certify HIT for Interoperability

A coalition of states, health organizations and HIT vendors has developed specifications to address the major use cases of health data exchange

- EHR/HIE Interoperability Workgroup (led by NYeC)

- Healtheway, the public-private organization operating eHealth Exchange (formerly NwHIN)

- CCHIT selected to test and certify HIT products and HIE participants

Interoperability Testing Paper:https://hiecertified.cchit.org/documents/255969/86df46 71-0e39-494f-af59-1dcc9e4a09f2

HIE Certified Seals

Providers can now look for certification seals for proof of "plug and play" interoperability compliance of EHRs and other HIT systems

Exemplar HIE Governance Grant Project

- Specific Project Activities
  - Conduct pilot projects demonstrating approaches for optimizing use of a provider directory during exchange of Direct messages
  - Conduct a Learning Forum to identify and improve patient matching practices when sharing clinical information within and across communities
  - Activities will be conducted simultaneously July – December 2013

- Participation in ONC HIE Governance Forum activities

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Provider Directory Pilots

Participants will be recruited for pilots to test various models for querying provider directories to support EHR-HISP and HISP-to-HISP exchange of Direct messages

- Approximately 5-7 pilot participants (states and vendors)

- Pilots to test the HPD+ directory standards and data model developed by the S&I framework and incorporated into the IWG Direct Exchange specifications

- Work in collaboration with other provider directory federation efforts occurring around the country and the ONC's Provider Directory Mod Spec initiative

- Results of pilots will be incorporated into IWG's Direct Specifications Implementation Guide by February 2014

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Learning Forum for Patient Matching

Participants will be recruited for a multi-organization Learning Forum to develop a best practices guide on patient matching practices for electronic record query and retrieval.

- Approximately 7-12 participants (states, regional HIEs and vendors) with goals to:
    - Improve matching algorithms
    - Set and measure matching thresholds
    - Improve data quality for matching fields
    - Align with ONC's Health IT Policy Committee's recommendations
- Patient matching interventions will be tested and results will be captured in a best practices guide to be finalized by February 2014

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Next Steps

- Recruitment of participants for each of the project activities
  - IWG Members
  - Non-IWG Members (States, Regional HIEs, Vendors)
- Establishing of regular web conference sessions with teams
- Fine tuning of work plan with each team
- Put in place Executive Steering Committee for broader IWG Governance

To participate in IWG Exemplar Governance Activities, contact: admin@interopwg.org Participants are being recruited now!

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Thank you!

ONC Governance Framework

- Purpose:
  - Intended to provide a common conceptual foundation applicable to all types of governance models and expresses the principles ONC believes are most important for HIE governance
  - lays out milestones and outcomes that ONC expects for and from HIE governance entities

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Organizational Principles

- How governance entities should function to instill confidence among stakeholders
  - Operate w/transparency & openness
  - Adhere to applicable policies, practices, and federal and state laws/regulations
  - Ensure adequate stakeholder representation in developing policies
  - Ensure consistent/equitable oversight
  - Provide due process to stakeholders

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Trust Principles

- Principles related to ensuring trust among patients
  - Publicly post notice of data practices
  - Simply explain privacy and security practices
  - Provide choice in whether personally identified data can be exchanged
  - Allow patients to limit data being exchanged based on type/source
  - Allow patients to request corrections to data
  - Consistently/accurately match patients to their data

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Business Principles

- Related to setting business policies which can reduce competitive barriers while protecting patient interests

  – Set standards of participation that avoid instances where differences in policy inhibit exchange

  – Help partners understand who they can exchange with and how to do so

  – Publish statistics describing exchange capacity

  – Disseminate up-to-date info on compliance, standards, security, and best practices

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Technical Principles

- Principles guiding the selection and implementation of technical architecture
  - Tech should support business/trust principles
  - Prioritize federal standards for vocabulary, content, transport, and security
  - When not using federal standards, encourage use of standards developed by consensus organizations
  - Help further the development of shared standards
  - Help develop standards for specific use cases and volunteer to pilot new standards
  - Actively help develop/implement conformance assessment and testing methods

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Questions for discussion

- Does the Governance Framework satisfy the need for federal guidance re: governance?

- Is the Framework comprehensive? Should anything else be included?

- Will the Framework impact your organization's activities?

- How might new HIEs utilize the framework?

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Next Steps

- Next meeting of the Connecting Communities workgroup is June 25

- Ongoing work on HIE governance whitepaper – first draft prior to June 25th meeting

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Save the Date!

- eHI Forum on Data & Analytics in Healthcare – August 1 & 2 – Gaylord National Resort Hotel and Convention Center
  - Register here

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Thank you!

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