



## Health Information Exchange (HIE) Learning Series

HIE-102  
Governance and Stakeholder  
Engagement

11/17/2014

**Richard Swafford, PhD**  
Executive Director, Inland Empire HIE (IEHIE)

Slide 1 of 31

November 17, 2014 – HIE Boot Camp



## Acknowledgement

This course was originally developed for Planned Parenthood and funded by CalHIPSO from HITECH funds. The course is one of many educational materials produced by CalHIPSO in fulfillment of their role in educating stakeholders on health information technology.

CalEMSA expresses its appreciation to CalHIPSO for allowing it to use and modify the course content to fit the needs of this **HIE Boot Camp**.

Slide 2 of 31

November 17, 2014 – HIE Boot Camp



## Course Overview/Purpose

- The *Governance and Stakeholder Engagement* course addresses the development and sustainability of a governance model that provides a platform for stakeholder engagement and ongoing growth of HIE in both the community (Public HIE) and private setting (Enterprise HIE). The course addresses the unique considerations related to *buy-in* from a variety of stakeholder perspectives as well as structural considerations associated with creation of an HIE governance model.

Slide 3 of 31

November 17, 2014 – HIE Boot Camp



## Learning Objectives

At the conclusion of this HIE-102 course, participants will be able to:

1. identify the purpose and value of governance in the public and private HIE settings;
2. create a governance charter that enables the committee and provides increased value;
3. develop strategies for stakeholder engagement;
4. and, identify other strategic activities to increase engagement and retention.

Slide 4 of 31

November 17, 2014 – HIE Boot Camp



## Course Outline

- HIE Governance: Public and Private
- Governance Development
- Stakeholder Engagement
- Strategies and Techniques
- Take Away's
- Conclusion and Summary

Slide 5 of 31

November 17, 2014 – HIE Boot Camp



## Course Objective #1

Identify the purpose and value of governance in the public and private HIE settings.

Slide 6 of 31

November 17, 2014 – HIE Boot Camp

## HIE Types – Private, Public and Hybrid HIE - Review

- **Private HIE** – Typically a private HIE is created by an enterprise organization to allow internal connectivity and communication of data between various organizational users. A key element of Private HIE is that the source of the funding related to the purchase and implementation is often born by the organization providing the service.
- **Public HIE** – A public HIE is typically created to support a community or region and is the result of various community stakeholders coming together to develop the environment. Public HIEs have a variety of funding mechanisms including fee-for-service, grant funded, health plan or key stakeholder funded and/or other public funding.
- **Hybrid HIE** – A hybrid HIE is a combination of a public and private HIE. This model typically supports both the public HIE needs and supports the needs of individual organizations to provide private HIE services. The hybrid model leverages the strengths of both models.

Slide 7 of 31

November 17, 2014 – HIE Boot Camp

## HIE Governance: Private and Public

- **Private HIE**
  - What is Governance in an Enterprise HIE?
    - Focused on Business and Clinical Drivers
    - Internal Team Focus
    - Organizational Representation
    - Decision Making and System Design
    - Similar in Nature to an EHR implementation

Slide 8 of 31

November 17, 2014 – HIE Boot Camp

## HIE Governance: Private and Public

- **Public HIE**
  - Why Governance?
    - Top level control of project and environment
    - Stakeholder involvement in decision making process
    - Guidance and direction related to stakeholder needs
    - Marketing and Outreach to new participants
    - Bringing together diverse groups

Slide 9 of 31

November 17, 2014 – HIE Boot Camp

## HIE Governance: Private and Public

- **Public HIE**
  - Establishing a governance model
    - Decision making process
    - Charter
    - Elections etc.
    - Community engagement using governance

Slide 10 of 31

November 17, 2014 – HIE Boot Camp

## HIE Governance: Private and Public

- **Public HIE**
  - Strategic Direction
    - Build Your Own versus Working with Existing HIE
      - Amount of Local Control
      - Policies & Procedures
      - Implementation Process
      - Experience
      - Sustainability

Slide 11 of 31

November 17, 2014 – HIE Boot Camp

## HIE Governance: Private and Public

- **Public HIE**
  - Strategic Direction
    - Sustainability Model
      - Fee Structure versus Grant Model
    - Service Area
    - Product Mix
    - Other Decision Points

Slide 12 of 31

November 17, 2014 – HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

## Course Objective #2

Create a governance charter that enables the committee and provides increased value.

Slide 13 of 31
November 17, 2014 - HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

## Governance Development (Public)

- Governance structure
  - Develop a charter that outlines the structure (see Charter Sample)
  - Number of seats
  - Types of seats - Org type and not named facility
  - Eligibility to sit in a particular seat
    - Current participants only, or Special Group (fee based)
  - Elections
  - Responsibilities and Roles

Slide 14 of 31
November 17, 2014 - HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

## Governance Development (Public)

- Governance structure
  - Develop a charter that outlines the structure (see Charter Sample)
    - Changes to the Governance
    - Determine who is eligible to vote and who is eligible to sit
    - Meeting schedules and agenda - Meet monthly
    - Chair and Co-Chair as well committee chair process

Slide 15 of 31
November 17, 2014 - HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

### Charter of the Health Information Exchange (HIE)

**Mission**  
The mission of the Health Information Exchange is to improve the overall health of our community through the exchange of health information among healthcare providers and patients in a timely, timely, and secure manner.

**Purpose**  
This document establishes the Operating Charter of the Health Information Exchange (HIE) to broaden the level of electronic health information exchange activities across the community. The HIE enables participating leaders of the healthcare community to represent shared interests and ensure that the voice of the healthcare community is heard and that patients receive quality care.

**Stakeholders**  
The HIE currently consists of public- and private hospitals, medical centers, medical groups, IPAs and physician practices. The HIE also includes other health care organizations, such as FQHCs, Health Plans, County Health Agency/Public Health Departments, Associations, and HIE Partners.

**Goals**  
Toward achieving its mission, the HIE has adopted the following strategic goals:

- (Describe Goals)

**Operating Principles**

- (Describe Principles)

**Governance Responsibilities**

- (Describe Responsibilities)

## Charter Sample

- The charter should address the mission and purpose as well as guiding principles;

Slide 16 of 31
November 17, 2014 - HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

**Elections**  
The Governance shall consist of (Describe number and types of seats on the Governance). Governance members must have decision making authority within their organization. A Governance member must be employed by a participating organization. Governance members may only occupy one seat per organization.

The terms of service shall be three years. At each annual election, to be held during the month of (Month), one-third of the Governance shall be elected. A Nominating Committee will be appointed by the Governance in (Month) of each year. Nominations for vacancies can be received from both the HIE membership and the Governance. Vacancies will be provided to the membership a minimum of 30 days prior to the election. In the event of a mid-term vacancy, the Governance will appoint a representative from the appropriate category to serve in that capacity until the next election.

**Voting and Quorum**  
A quorum shall be required to conduct official business. A quorum shall be a majority of the members of the Governance. Actions and approvals of the Group shall be by consensus. However, the Chairperson may also vote if a clear consensus of the voting members cannot be reached. In those situations requiring a vote, a majority vote shall be required to pass a motion. Absentee vote means a majority of the votes cast at a legal meeting with a quorum being present.

**Meetings**  
Meetings shall be held at regular dates and times as determined by the Governance. Special meetings shall be held at the call of the Chairperson, or at request of the members of the Governance. Minutes shall be kept and distributed to members of the Governance and other interested parties. Meeting participation by electronic means shall be allowed.

**Officers**  
The Governance, at its regular annual meeting shall elect, from its membership, a Chairperson, a Vice-Chairperson and a Secretary, to each serve a three year term. Election shall be by majority vote.

A Duties of the Chairperson: The Chair shall preside at the meetings, provide minutes to be taken and distributed, and ensure all actions and recommendations are communicated to the necessary parties.

## Charter Sample

- Outline election procedures as well as voting requirements;

Slide 17 of 31
November 17, 2014 - HIE Boot Camp


**HIE in EMS Summit 2014**  
November 17, 2014 - November 19, 2014  
Los Angeles, California

8. Duties of the Vice-Chairperson: The Vice-Chair shall preside at the meetings in the absence of the Chairperson. The Vice-Chair, at the request of the Chair, shall perform any of the duties of the Chair.

C. Duties of the Secretary: The Secretary shall keep minutes of all meetings.

**Reporting**  
The Chair will report to the general membership on a quarterly basis. The Chair will present the operating activities of the Governance to the general membership.

**Period of this Agreement**  
This Charter is effective upon signing and shall remain in effect until terminated by two-thirds vote of the members of the Governance with 60 days notice.

**Amendments**  
This Charter may be amended from time to time by a two-thirds vote of the Governance.

Approved:  
Amended on:


## Charter Sample

- Finally, reporting and the period of the agreement are addressed as well as signatures from all of the members of the governance.

Slide 18 of 31
November 17, 2014 - HIE Boot Camp

## Governance Development (Public)

- Sub-Committees and Workgroups
  - Committees
    - Finance
    - Technical
    - Outreach and Marketing
    - Policy
    - Clinical
  - Ad-hoc Committees
    - Created as needed (ex: nominating committee)

Slide 19 of 31

November 17, 2014 – HIE Boot Camp

## Course Objective #3

Develop strategies for stakeholder engagement.

Slide 20 of 31

November 17, 2014 – HIE Boot Camp

## Stakeholder Engagement

No enterprise can exist for itself alone. It ministers to some great need, it performs some great service, not for itself, but for others... or failing therein, it ceases to be profitable and ceases to exist.

– Calvin Coolidge

Slide 21 of 31

November 17, 2014 – HIE Boot Camp

## Stakeholder Engagement

- There are two types of services that drive engagement:
  - Fee-based Services: those that are paid for
  - Value-added Services: those that are NOT paid for

**The Fee-based services bring the customer to you, the value-added services keep them around.**

**Create more value than the cost of the product and you will have a long term customer.**

Slide 22 of 31

November 17, 2014 – HIE Boot Camp

## Stakeholder Engagement

- Stakeholder Engagement Strategies
  - Leverage community groups including membership organizations.
    - The local Medical Societies and Hospital Councils provide a neutral platform from which to engage stakeholders.
  - Avoid perceived agendas on the part of the organizers.
  - Collaborations should include ALL relevant groups, not just hospitals or docs.

Slide 23 of 31

November 17, 2014 – HIE Boot Camp

## Stakeholder Engagement

- Stakeholder Engagement Strategies
  - Focus on common values not just financials with an understanding and outline of vision.
  - Understand the mix in your market and recognize that all types of participants are necessary in order to make true exchange effective.

Slide 24 of 31

November 17, 2014 – HIE Boot Camp

## Course Objective #4

Identify other strategic activities to increase engagement and retention.

Slide 25 of 31

November 17, 2014 – HIE Boot Camp

## Strategies and Techniques

- Define and Understand your HIE Strategies
  - Growth: how will the HIE grow and what is fundamental growth strategy?
  - Sustainability: what is the financial model for the HIE and how will that be maintained over the long haul?
  - Technology: what is the technological strategy in terms of delivery of services?
  - Services: what service mix with the HIE support and will that evolve or remain fixed?

Slide 26 of 31

November 17, 2014 – HIE Boot Camp

## Strategies and Techniques

- Develop messaging that is consistent and tied to the strategy.
- Be flexible in terms of added value. It is important to listen to stakeholders in terms of identifying needs and then be ready to adapt solutions to those needs.
- Set boundaries in terms of growth and expansion. Understand the market and be prepared to say "no" if new opportunities are outside of that preparation.

Slide 27 of 31

November 17, 2014 – HIE Boot Camp

## Strategies and Techniques

- Clearly explain that HIE takes time and that this is a long term value proposition. This will set proper expectations in advance.
- Management and the governance may not always agree. It is important strike a balance so that while governance has the final say, management is able to make a case.

Slide 28 of 31

November 17, 2014 – HIE Boot Camp

## Conclusion: Take Away's

- Building a solid Governance is critical to ongoing growth and sustainability.
- Success requires a broad participation base.
- Flexibility is key. Listen and Adapt to the needs of your customer.
- Understand the strategy and ensure the message is consistent.

Slide 29 of 31

November 17, 2014 – HIE Boot Camp

## Conclusion and Summary

- HIE Governance: Public and Private
- Governance Development
- Stakeholder Engagement
- Strategies and Techniques
- Take Away's

Slide 30 of 31

November 17, 2014 – HIE Boot Camp



# Questions???

Dr. Robert Cothren  
[robert.cothren@ca-hie.org](mailto:robert.cothren@ca-hie.org)