AHIMA: Information Governance Update

Tweet:
 #ignow

IG

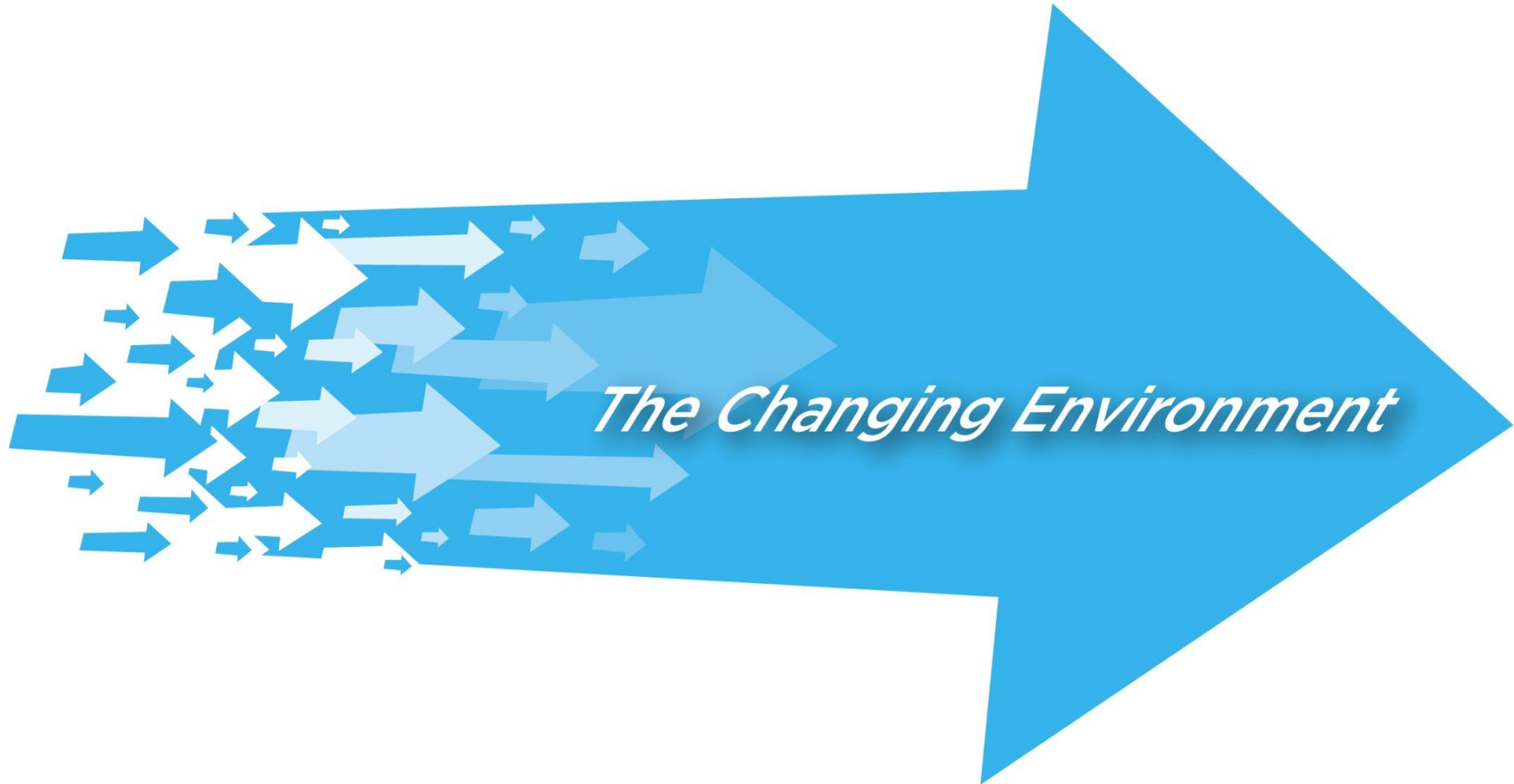AHIMA
American Health Information
Management Association®

Greater Challenges than Volume and rate of data growth...
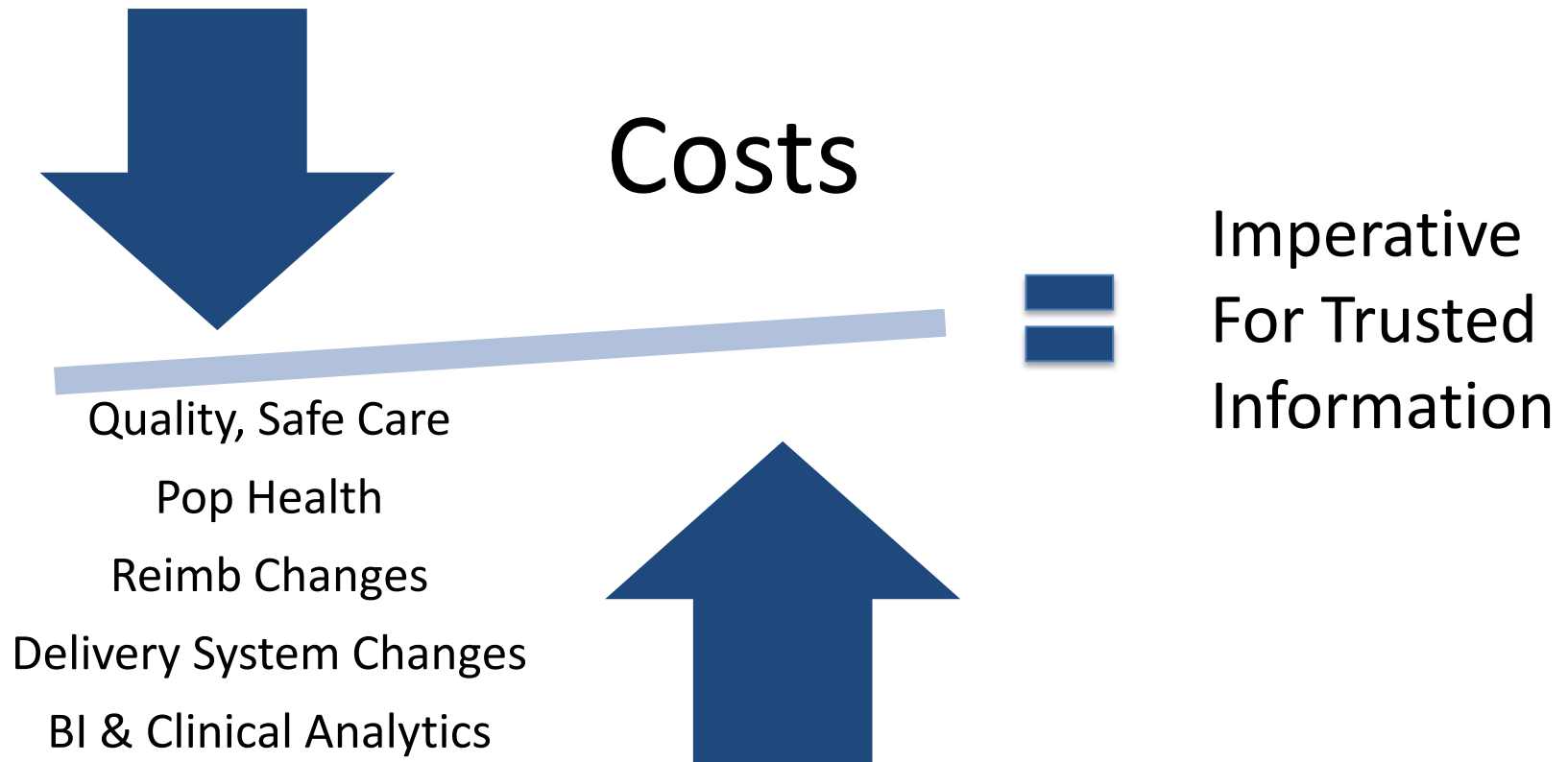
Challenges to Ensuring TRUST in our Information

- *Lack of agreed upon rules/standards*

- *Growing numbers of systems and devices*

- *Expanding uses of information*

- *State of interoperability*

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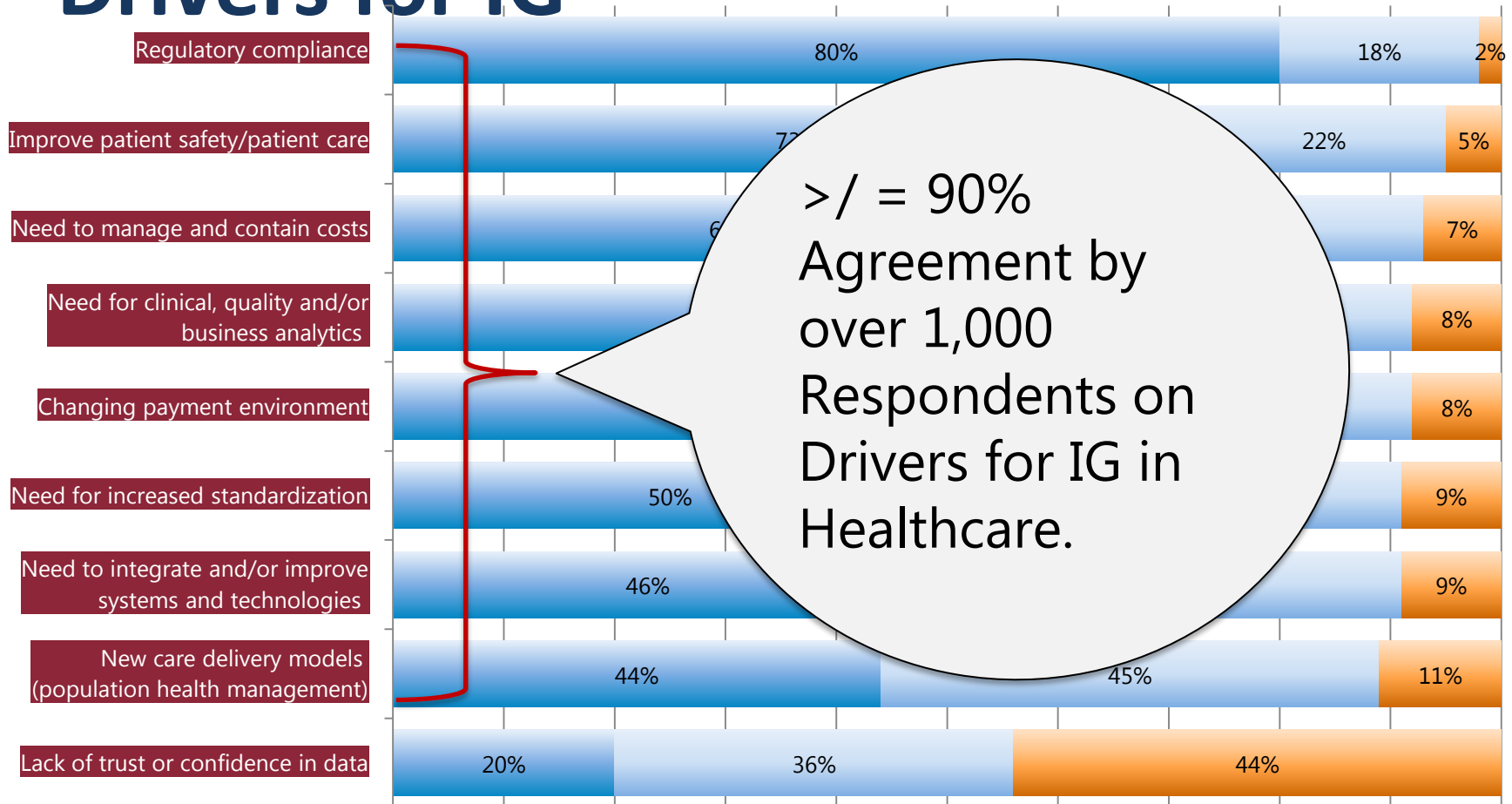# Why Adopt IG in Healthcare ?

The Changing Environment

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IG in Healthcare - Respond to Demands

Costs

Quality, Safe Care

Pop Health

Reimb Changes

Delivery System Changes

BI & Clinical Analytics

= Imperative For Trusted Information

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IG in Healthcare Benchmarking Survey Drivers for IG

Driver			
Regulatory compliance	80%	18%	2%
Improve patient safety/patient care	7?%	22%	5%
Need to manage and contain costs	6?%		7%
Need for clinical, quality and/or business analytics			8%
Changing payment environment			8%
Need for increased standardization	50%		9%
Need to integrate and/or improve systems and technologies	46%		9%
New care delivery models (population health management)	44%	45%	11%
Lack of trust or confidence in data	20%	36%	44%

>/ = 90% Agreement by over 1,000 Respondents on Drivers for IG in Healthcare.

Cohasset Associates | AHIMA 2014 "Information Governance in Healthcare – A Call to Adopt Information Governance Practices". http://www.ahima.org/IGwhitepaper.

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First Healthcare IG Benchmarking Survey—White Paper

White paper available now:

ahima.org/infogov

Cohasset Associates | AHIMA 2014
"Information Governance in Healthcare—
A Call to Adopt Information Governance
Practices".
http://www.ahima.org/IGwhitepaper.

Cohasset Associates | AHIMA

2014 INFORMATION GOVERNANCE IN HEALTHCARE

BENCHMARKING WHITE PAPER

A Call to Adopt Information Governance Practices

This white paper describes findings from the first major survey of information governance practices at healthcare organizations. This landmark study, prepared by Cohasset Associates in conjunction with the American Health Information Management Association (AHIMA), evaluates and quantifies the state of information governance (IG) maturity and effectiveness, while explicitly addressing the information challenges facing the healthcare industry.

Establishing a baseline, this white paper delivers authoritative, up-to-date benchmarking metrics on information lifecycle practices in healthcare. You will find:

- Incisive and comprehensive measures of the maturity of information governance adoption.
- Details on successes, obstacles and opportunities for more effective information lifecycle management.
- Actions to respond to today's information governance challenges.
- Comparisons made to IG practices survey results for other information-intensive organizations.

The impetus for the survey and this white paper is the recognition that information governance underscores the value of information as an asset essential for advancing the goals and priorities of healthcare organizations. Information is necessary for safe and effective patient care and operational excellence. Information management and control is an undeniable healthcare imperative.

Survey results provide evidence that:

1. Overall, IG programs are less prevalent and less mature in healthcare organizations than is warranted, given the importance of information.

2. Most organizations have not yet established a comprehensive strategy for information governance.

3. The information governance framework and its foundational components call for strengthening and expansion.

4. Information lifecycle management practices related to core functions require improvement.

Cohasset Associates   AHIMA
American Health Information Management Association®

UNDERWRITTEN IN PART BY:
IRON MOUNTAIN®

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2015 Second Survey on IG in Healthcare—Evolving Roles

Framework Development

IG Task Force	IG Expert Advisory Group	Appointed Review Group(s) Task Forces

HIM • JDs • RNs • MDs • IGPs • CRMs • Judge

Informaticists • Executives • Attorneys • Privacy Officer CIOs

• Security • Financial Ops • Acute Care

Long Term & Skilled Care • Home Care • Assisted Living

Pharmaceuticals • Teaching Facilities • ACO • HIE

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Association, Organizations, and Agencies Contributing to Healthcare IG Effort

- ARMA International
- CHIME
- NAHQ
- HFMA
- Information Governance Initiative (IGI)
- ISACA
- National Archives and Records Administration, US Govt
- US Technical Advisory Group to ISO TC 215
- CA DHHS
- Center for Medical Interoperability
- The Joint Commission

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AHIMA: Leading IG for Healthcare

AHIMA Definition

An organization-wide framework for managing information throughout its lifecycle and for supporting the organization's strategy, operations, regulatory, legal, risk, and environmental requirements.

AHIMA: Leading IG for Healthcare

AHIMA: Leading IG for Healthcare

IG: ESTABLISHES DETERMINES PROMOTES PROTECTS PRIORITIZES
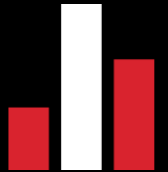
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ORGANIZATION-WIDE

ALL TYPES—INFO

IG

ALL TYPES—ORGANIZATION

ALL MEDIA

A Healthcare Ecosystem Imperative

IG—DG—ITG
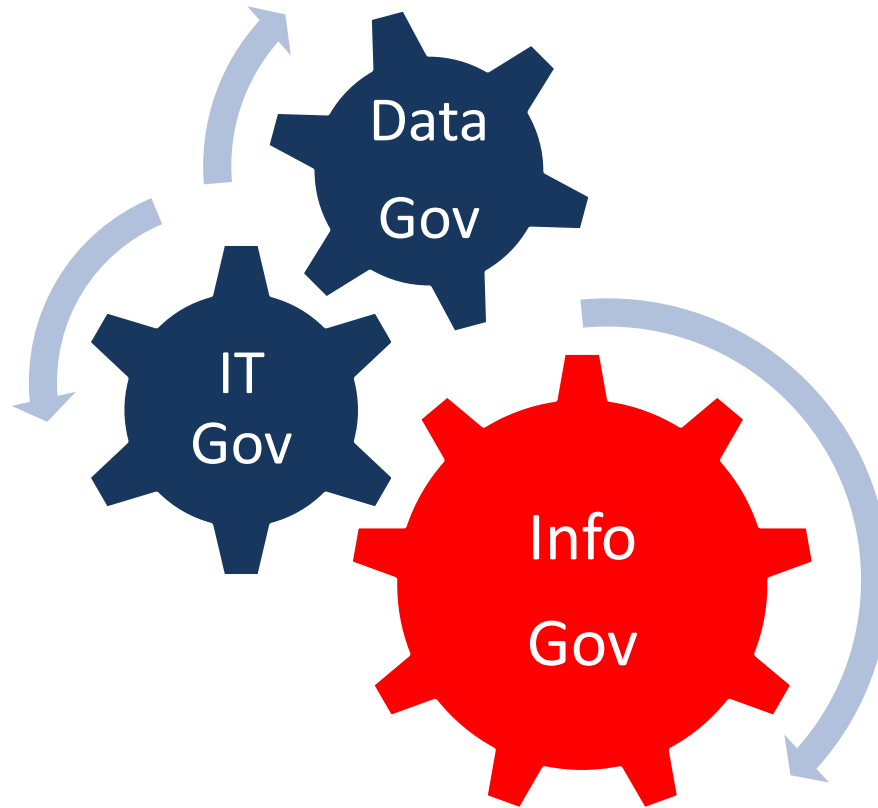
Naming Matters

*"Why call it Information Governance,
and not the traditional Data Governance?"**

Data Gov → ← Info Gov
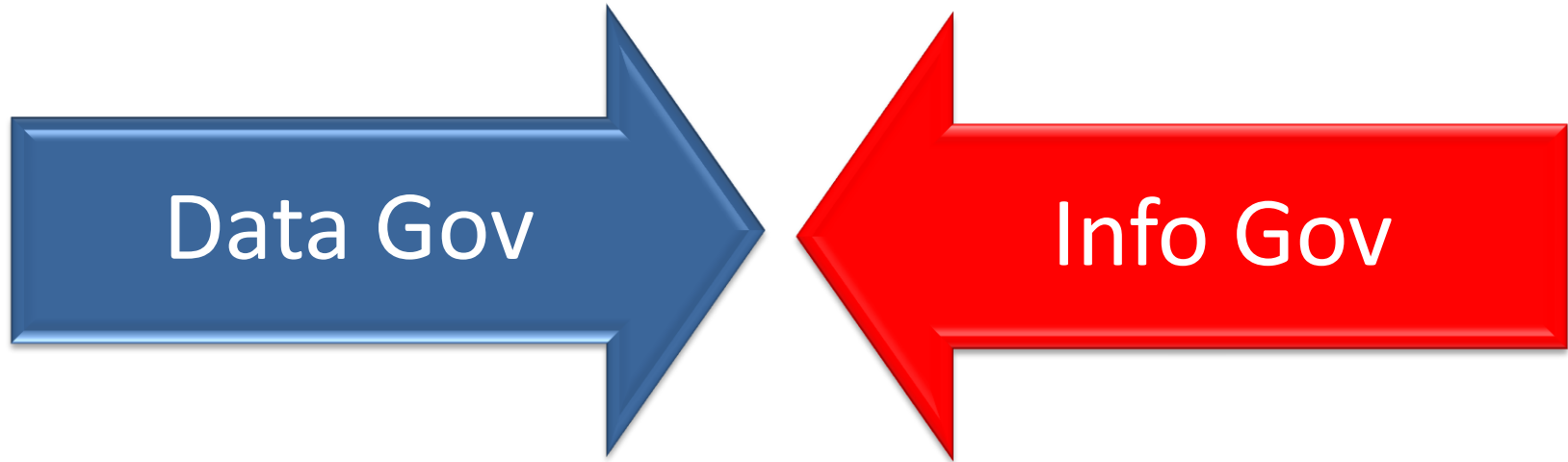
*Ralf Teschner, Capgemini Blog, February 2, 2015

capgemini.com/blog/insights-data/2015/02/why-call-it-information-governance-and-not-the-traditional-data

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Data Governance vs. Information Governance

Data
- Facts, Measurements
- Building blocks of information

Information
- Data in Context
- Examples:
  - Core Measures
  - Collection of Pt Demographics
  - A vendor record in the AP system

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Data Governance vs. Information Governance

Data
- Facts, Measurements
- Building blocks of information

Information
- Data in Context
- Examples:
  - Core Measures
  - Collection of Pt Demographics
  - A vendor record in

Data Governance
- Granular orientation
- Tactical in nature
- Essential to Information Governance

Information Governance
- Strategic
- Establishes rules for treatment of data, records and information across the enterprise

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Data Governance vs. Information Governance

Data

- Facts, Measureme...
- Building blocks information...

Information

Data...

Data...

...lar orientation

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**DG ≠ IG, BUT
DG and IG
Are Inextricably Linked**

Framework for IG Adoption

Principles

Maturity Model

Tool & Resources

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AHIMA: Leading Information Governance for Healthcare

INFORMATION GOVERNANCE
Principles for Healthcare (IGPHC)™

ADAPTED FOR HEALTHCARE

IG

Broad, Comprehensive, Non-Prescriptive

Principles—IGPHC™

- Accountability
- Transparency
- Integrity
- Protection
- Compliance
- Availability
- Retention
- Disposition

Attribution – ARMA International. GARP arma.org

AHIMA

AHIMA: Leading IG for Healthcare

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*An organization-wide framework for **<u>managing information throughout its lifecycle</u>** and for supporting the organization's strategy, operations, regulatory, legal, risk, and environmental requirements.*
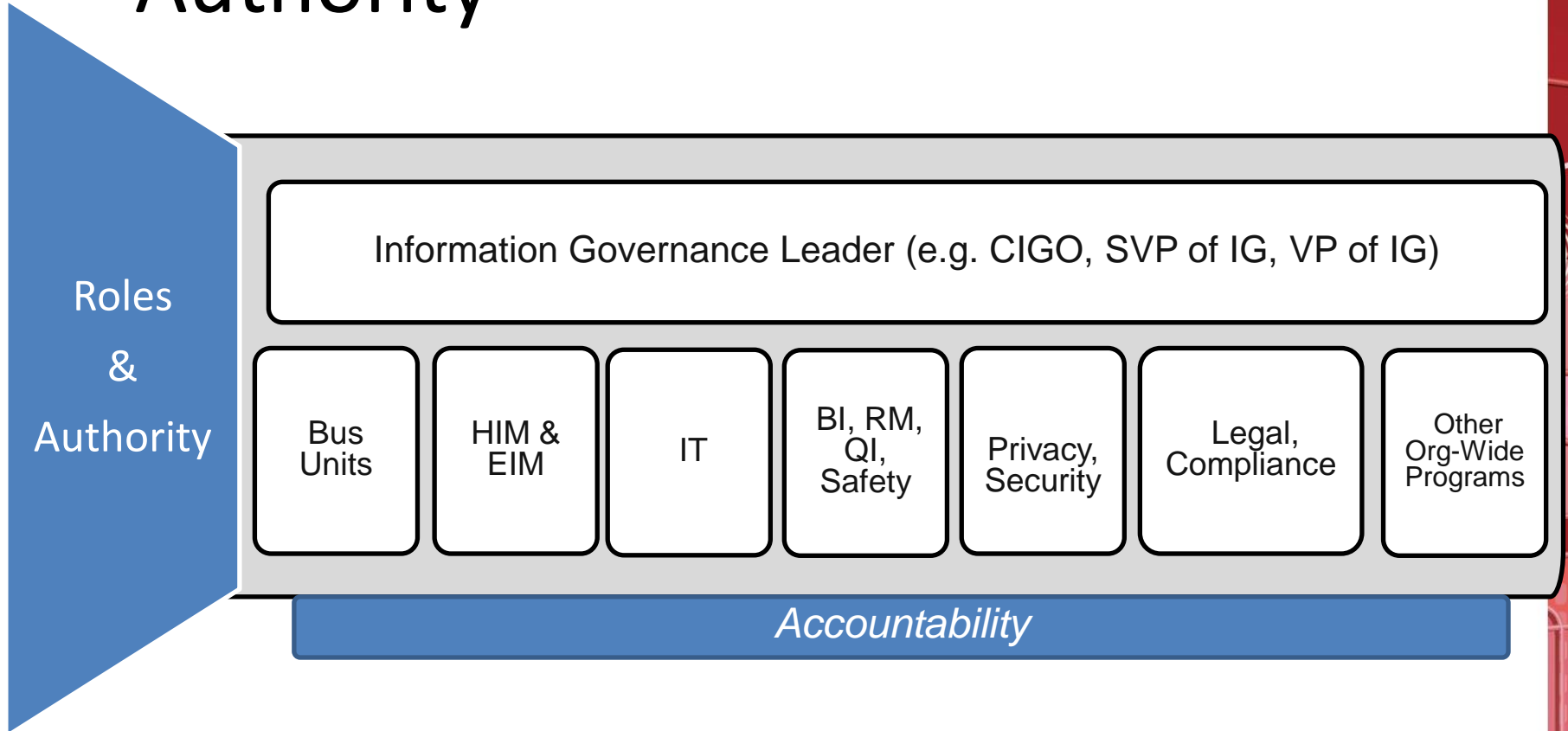
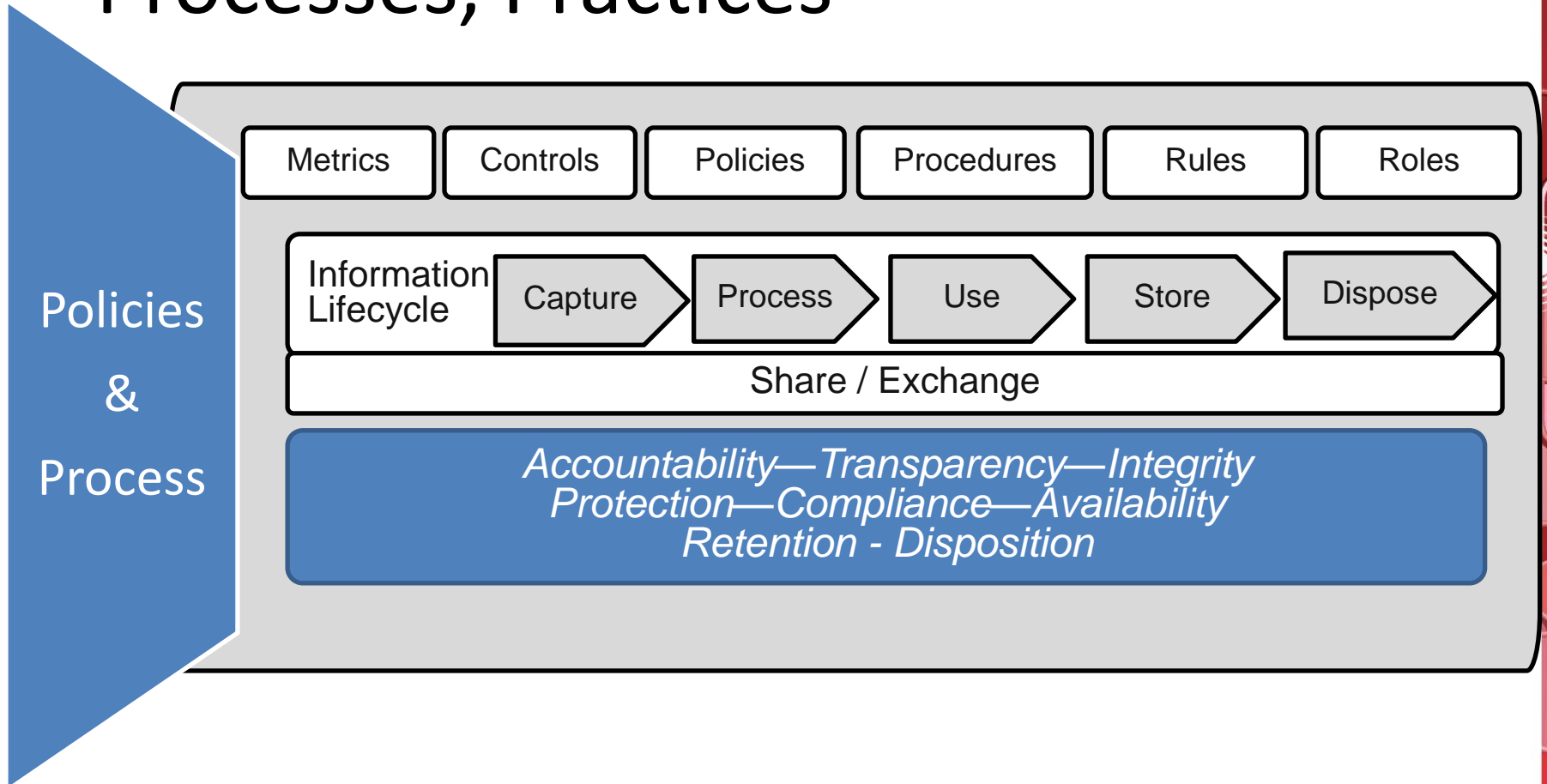# Information Lifecycle

Information Lifecycle

Information Access and Use (vertical axis)

Time (horizontal axis)

- Share
- Capture
- Process
- Use
- Store
- Dispose

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Information Lifecycle

Information Access and Use

Share

Availability

Accountability

Capture

Process

Use

Compliance

Store

Transparency

Dispose

Protection

Integrity

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IG Components—Overview
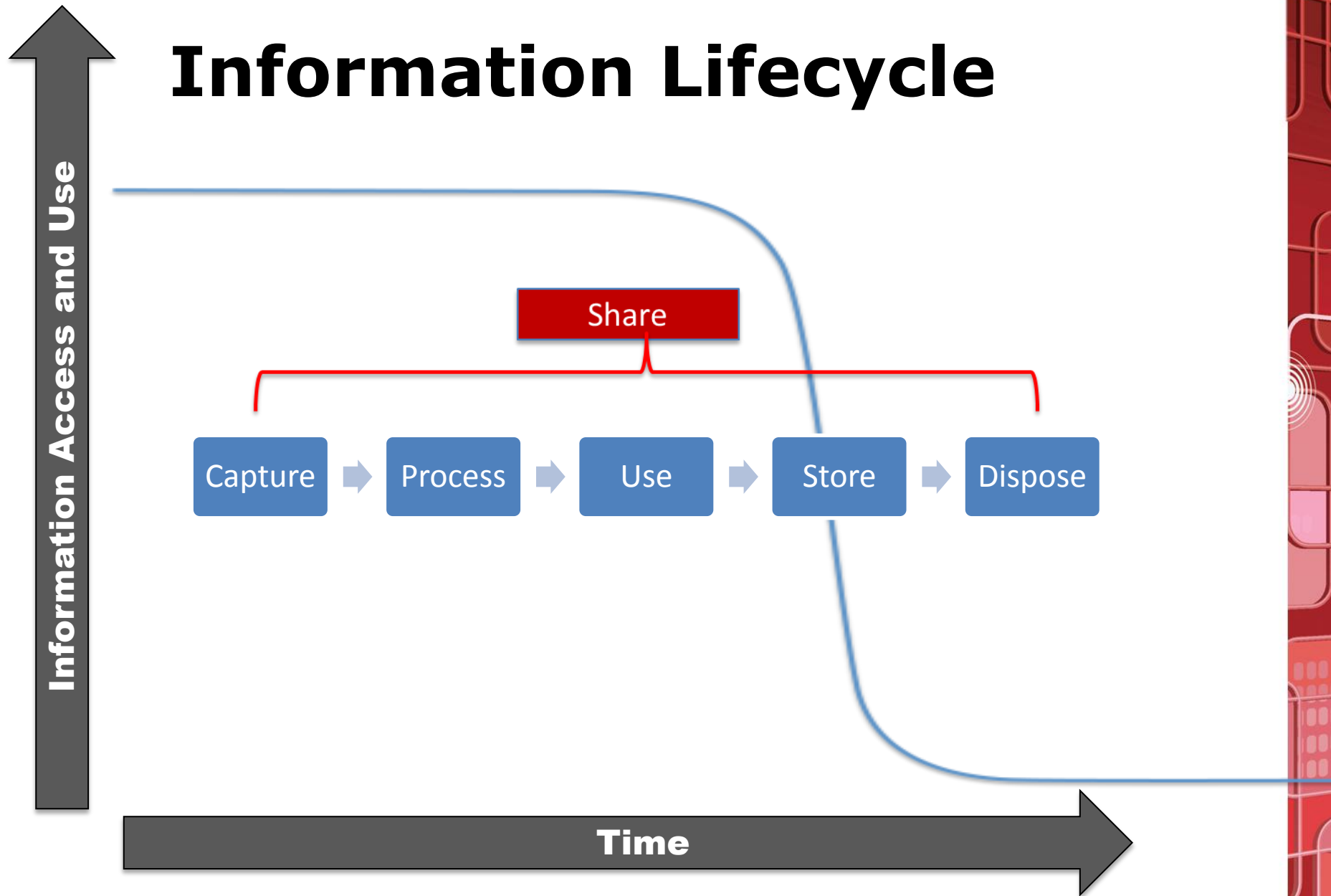
Roles & Authority
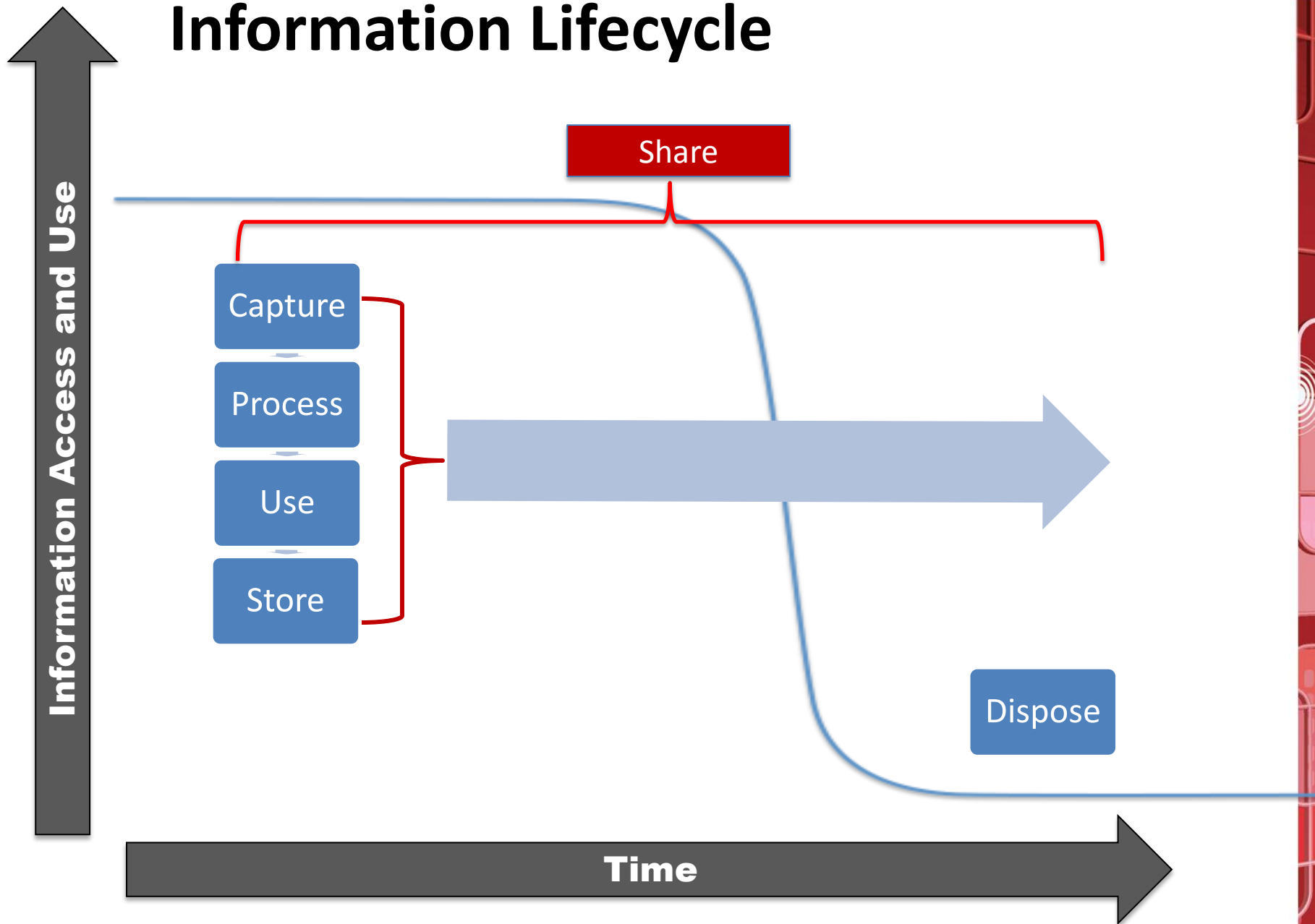
Policies &, Processes
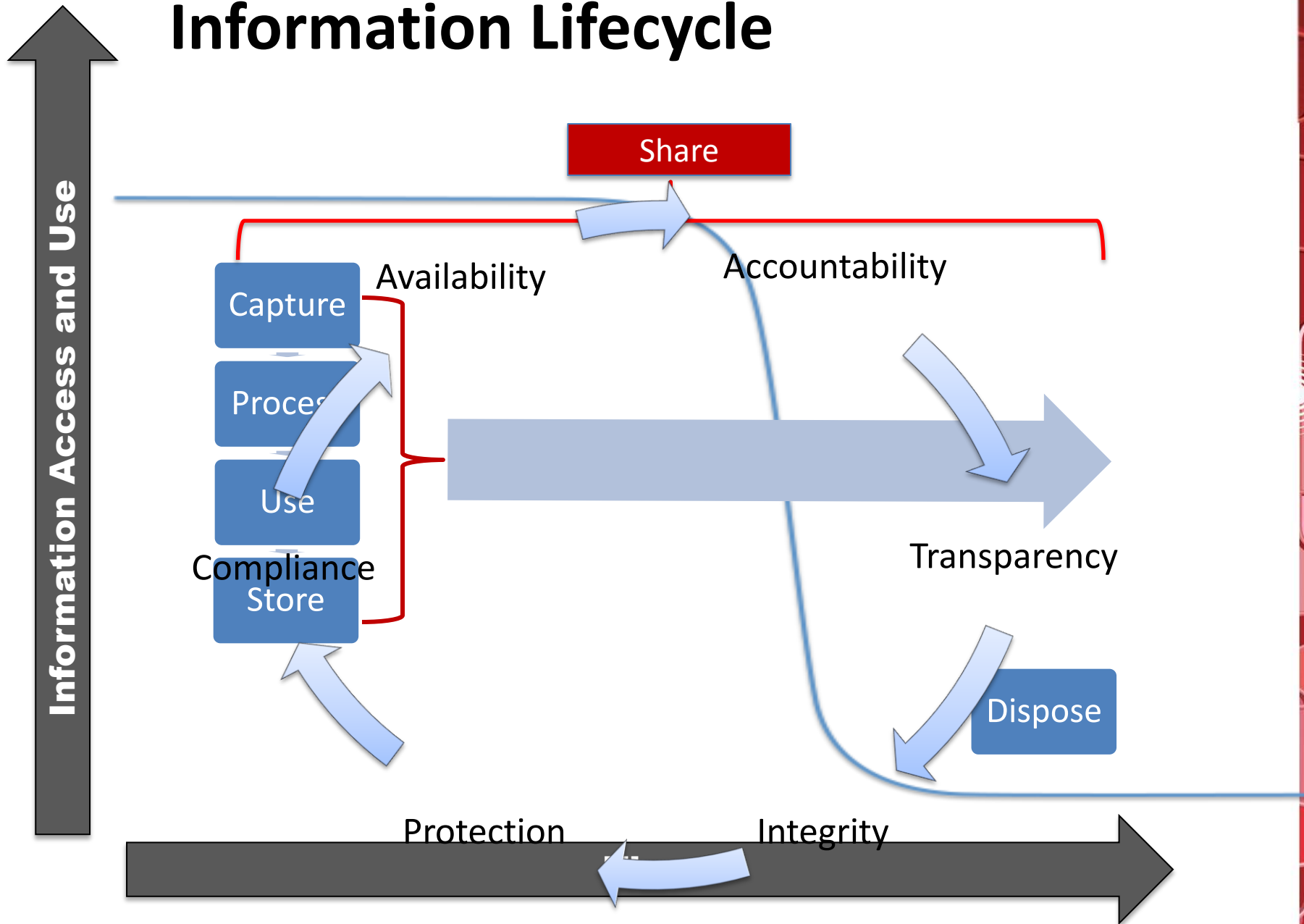
Structures & Infrastructure
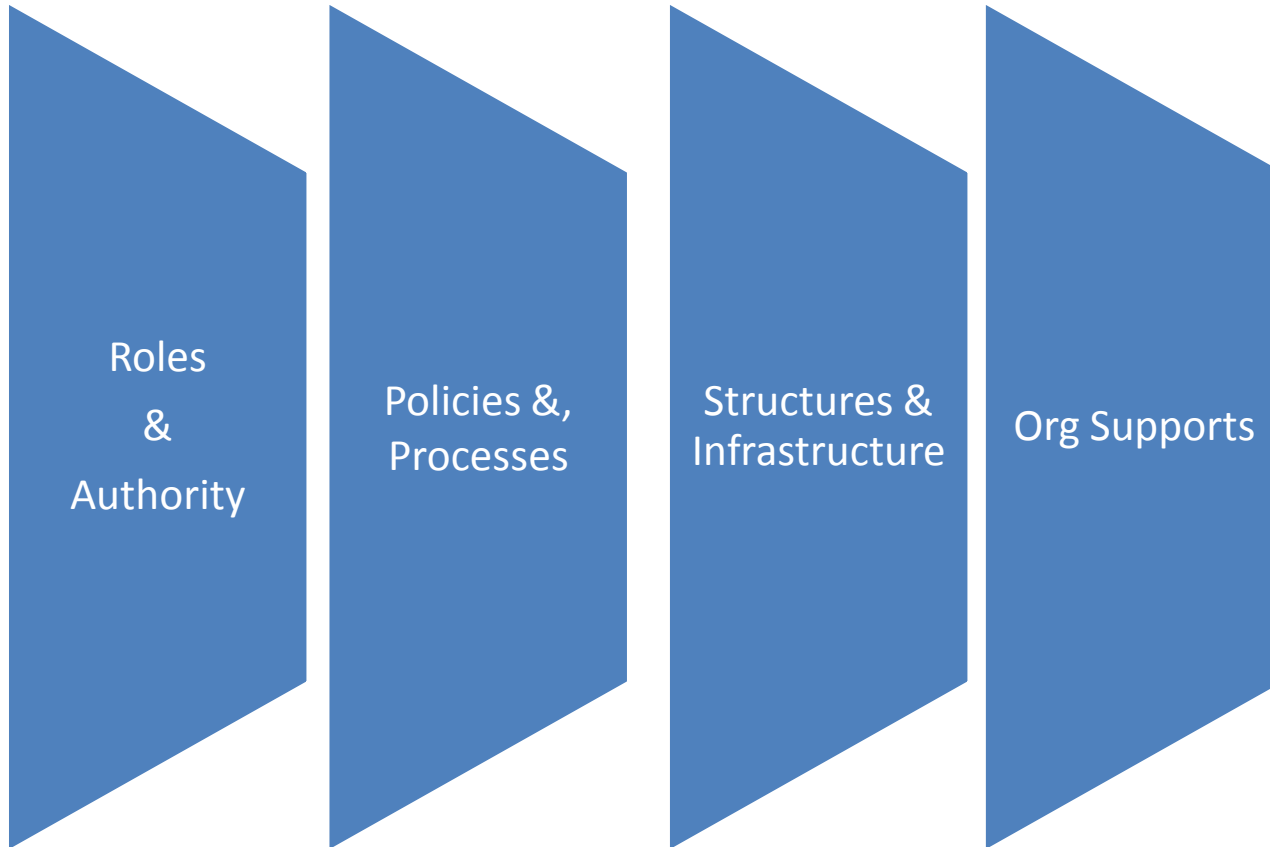
Org Supports

IG Components—Roles and Authority

Roles & Authority

Information Governance Leader (e.g. CIGO, SVP of IG, VP of IG)						
Bus Units	HIM & EIM	IT	BI, RM, QI, Safety	Privacy, Security	Legal, Compliance	Other Org-Wide Programs

Accountability

IG Components—Policies, Processes, Practices

Policies & Process

| Metrics | Controls | Policies | Procedures | Rules | Roles |

Information Lifecycle → Capture → Process → Use → Store → Dispose

Share / Exchange

Accountability—Transparency—Integrity
Protection—Compliance—Availability
Retention - Disposition

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IG Components—Structures & Infrastructure

Structures & Infra-structure

Metrics	Controls	Policies	Procedures	Rules	Roles

Technology Architecture, Standards, Formats, & Protocols

Information Architecture, Standards, Taxonomy, & Metadata

Applications	EAI, APIs, Web Services	Networks & Connectivity	Hosting	SLAs & Licensing	Hardware

Accountability – Transparency – Integrity
Protection – Compliance - Availability
Retention - Disposition

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IG Components—Organizational Supports
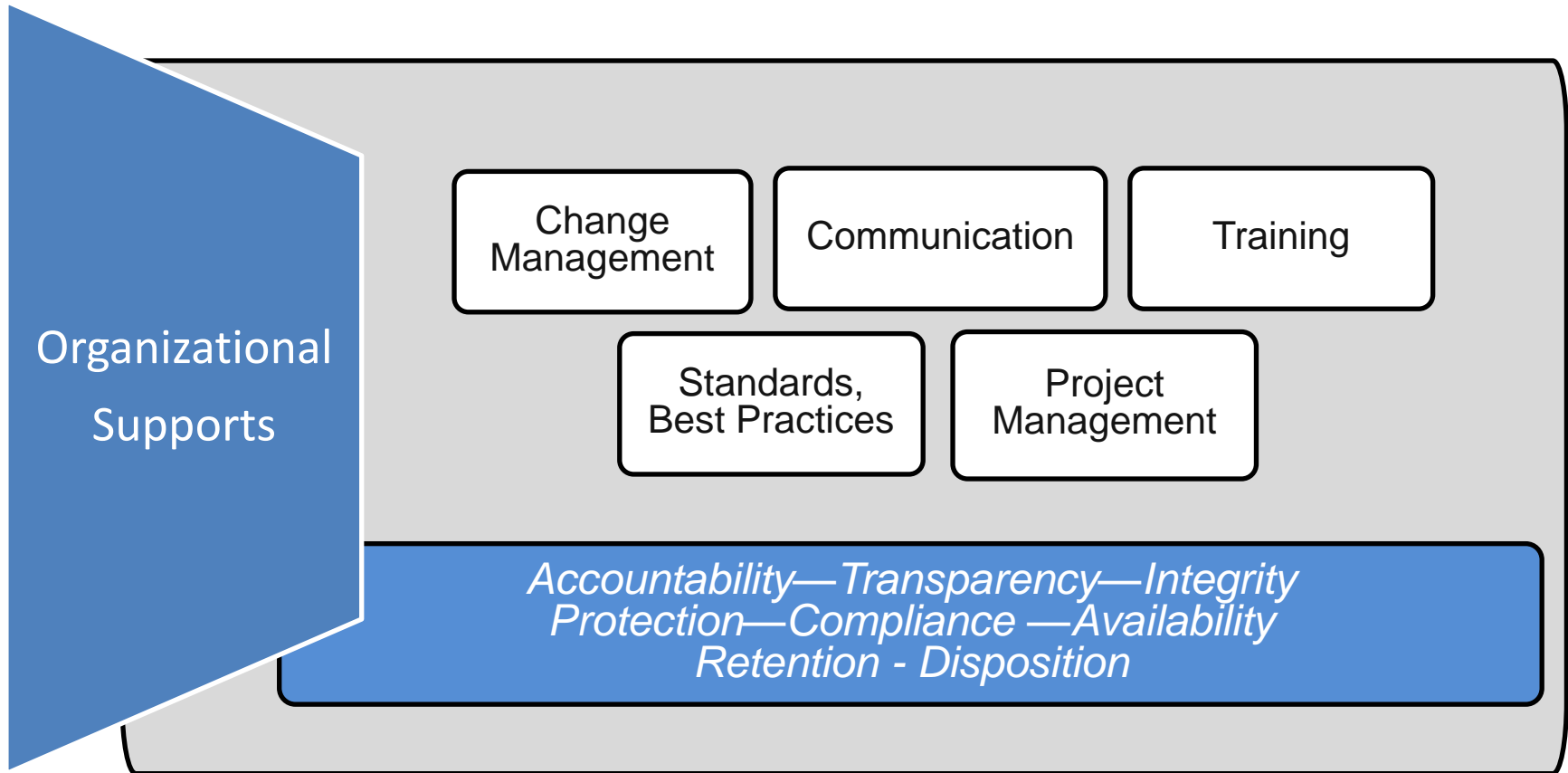
Organizational Supports

Change Management	Communication	Training
Standards, Best Practices	Project Management	

Accountability—Transparency—Integrity Protection—Compliance —Availability Retention - Disposition

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AHIMA: Leading Information Governance for Healthcare

INFORMATION GOVERNANCE
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ADAPTED FOR HEALTHCARE

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- Availability
- Retention
- Disposition

Attribution—ARMA International. GARP arma.org

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Accountability

An accountable member of senior leadership, or a person of comparable authority, shall oversee IG and delegate responsibility for information management to appropriate individuals.

Increased Adoption of Governance and Appointment of C-Level Leader

Capgemini Survey

52% are sufficiently convinced of the business value of information to appoint a c-level leader of IG

- 1,000 Survey Respondents
- 9 Industries
- 10 Countries
- 43% - Restructuring to Exploit Data Opportunities
- 33% - Have Appointed a CDO or C-Level Leader
- 19% - Will Do so within 12 months

Ralf Teschner, Capgemini Blog, 3/12/15 – CDO=IS+IG+IR+IE

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Chief IG Officer or Chief Data Officer

$$CIGO = IS + IG + IR + IE$$

Information Strategy

Information Governance

Information Risk

Information Exploitation

Ralf Teschner, Capgemini Blog, 3/12/15 – CDO=IS+IG+IR+IE

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IG Senior Leader – CIGO or other C-Level

- [Focused on the business-benefits of the organization's information](#)

- [Sits in the Business](#), but has a solid understanding of data technology and information architecture

- [Involved in Board-level discussions](#) on strategy

- [Owns and drives](#) Information Strategy, Information Governance, Information Risk and Information Exploitation

- [Influential advisor](#) but not necessarily the owner of BI, Analytics, Big Data, MDM, ECM

Ralf Teschner, Capgemini Blog, 3/12/15 – CDO=IS+IG+IR+IE

Healthcare organizations must also define USES of Information and assure Governance of those Uses.

TRANSPARENCY

An organization's processes and activities relating to information governance shall be documented in an open and verifiable manner.

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Trust in Information requires definition of and focus on the quality and reliability of information.

INTEGRITY: **I**nformation generated by, managed for, and provided to the organization must have a reasonable and suitable guarantee of authenticity and reliability. <u>Information must be trustworthy</u>.

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Protection

Appropriate levels of protection from breach, corruption and loss must be provided for information that is private, confidential, secret, classified, essential to business continuity, or otherwise requires protection.

Must address all sources, all media and must apply throughout the life of the information.

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Compliance

Information practices and processes must comply with organization policies and all applicable laws, regulations, and standards.

Availability

Access to information where and when it is needed—critical to safe, quality care and timely decision making.

For Healthcare – focus on standards, practices, tech infrastructure and contingency measures to assure Availability.

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Retention

An organization must retain information in accordance with its legal, regulatory, fiscal, operational, risk and historical requirements.

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Disposition

Information no longer required to be maintained by applicable laws and the organization's policies, must be dispositioned in a secure and appropriate manner.

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Framework for IG Adoption

Principles

Tool & Resources

Maturity Model

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HealthCare Information Governance Maturity Model™
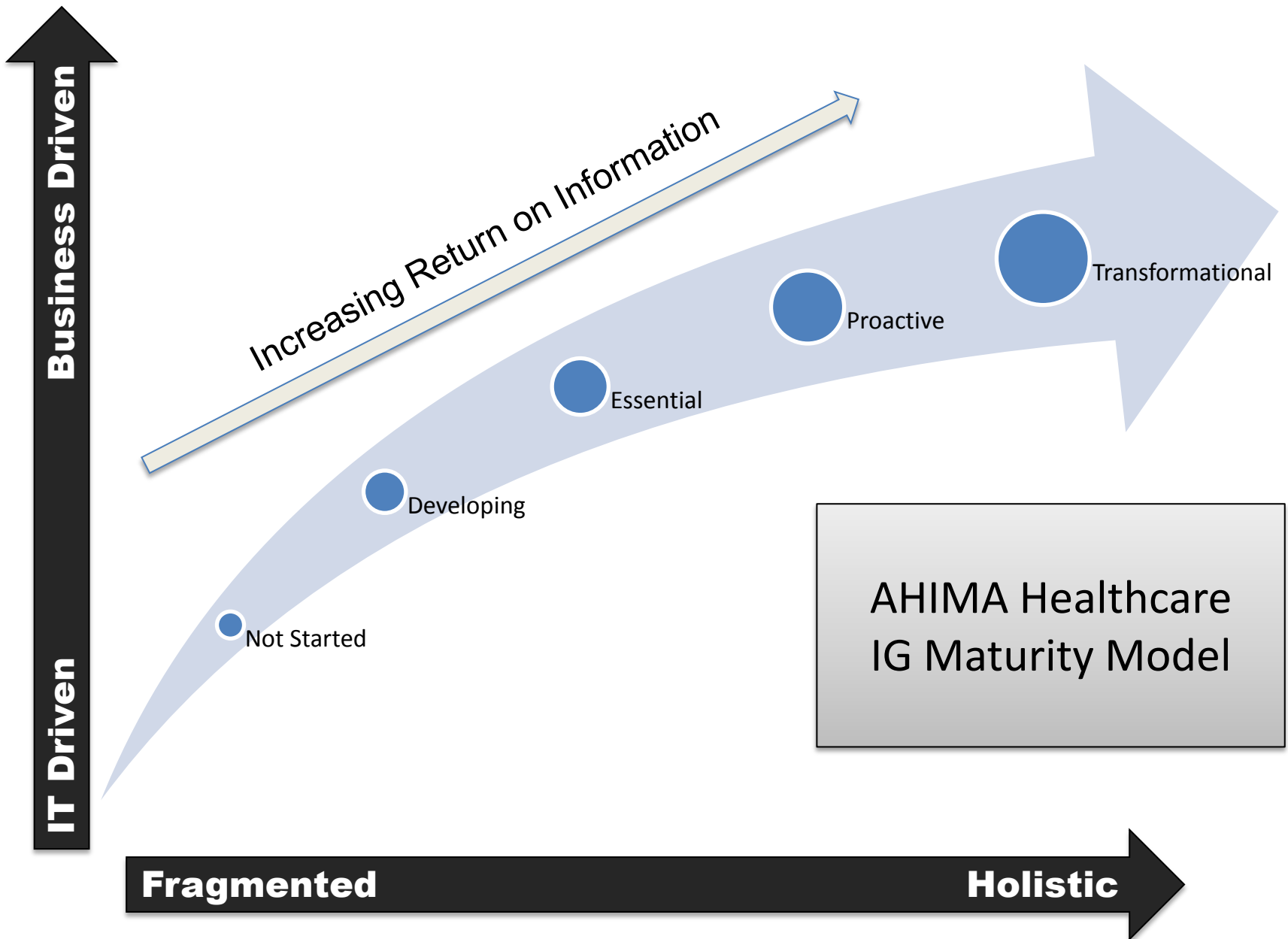
- Broad use of the Maturity Model will ultimately enable:
    - A recognized scoring mechanism for IG maturity level
    - Peer group benchmarking
    - An indication of trustworthiness of an organization's information
    - A indication of partnership desirability for accountable care, preferred provider networks, information exchange membership

Level 1	Level 2	Level 3	Level 4	Level 5

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AHIMA
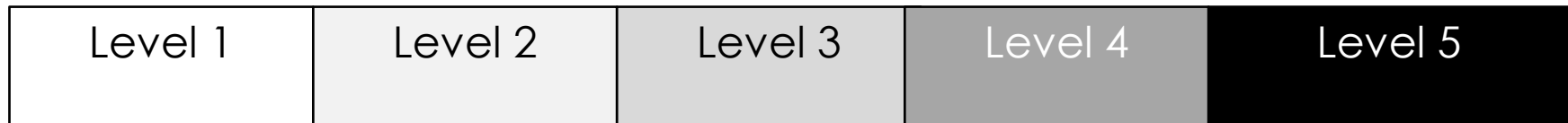
HealthCare Information Governance
Maturity Model™ - Draft Maturity Markers by Principle

	Level 1	Level 2	Level 3	Level 4	Level 5	Totals
Accountability	2	5	6	5	5	23
Transparency	5	3	7	6	4	25
Integrity	2	3	13	9	5	32
Protection	3	4	7	7	4	25
Compliance	5	3	6	7	5	26
Availability	4	5	9	10	7	35
Retention	3	3	6	4	6	22
Disposition	5	6	12	7	5	35
Totals	29	32	66	55	41	223

Note: Maturity Markers - subject to **AHIMA IG Pilot validation** of relevance, rigor, fit, completeness and appropriateness by Principle and Maturity Level.

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Business Driven ↑
IT Driven

Increasing Return on Information

Transformational

Proactive

Essential

Developing

Not Started

AHIMA Healthcare
IG Maturity Model

Fragmented → Holistic

Adapted from informatics.com/perspectives.
2/1/13 Rob Karel

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Framework for IG Adoption

Principles

Maturity Model

Tool & Resources

AHiMA

IG Tools and Resources

IG TOOLKIT

EXAMPLES:

Charters

Org Charts

Sample Plans

Role Definitions

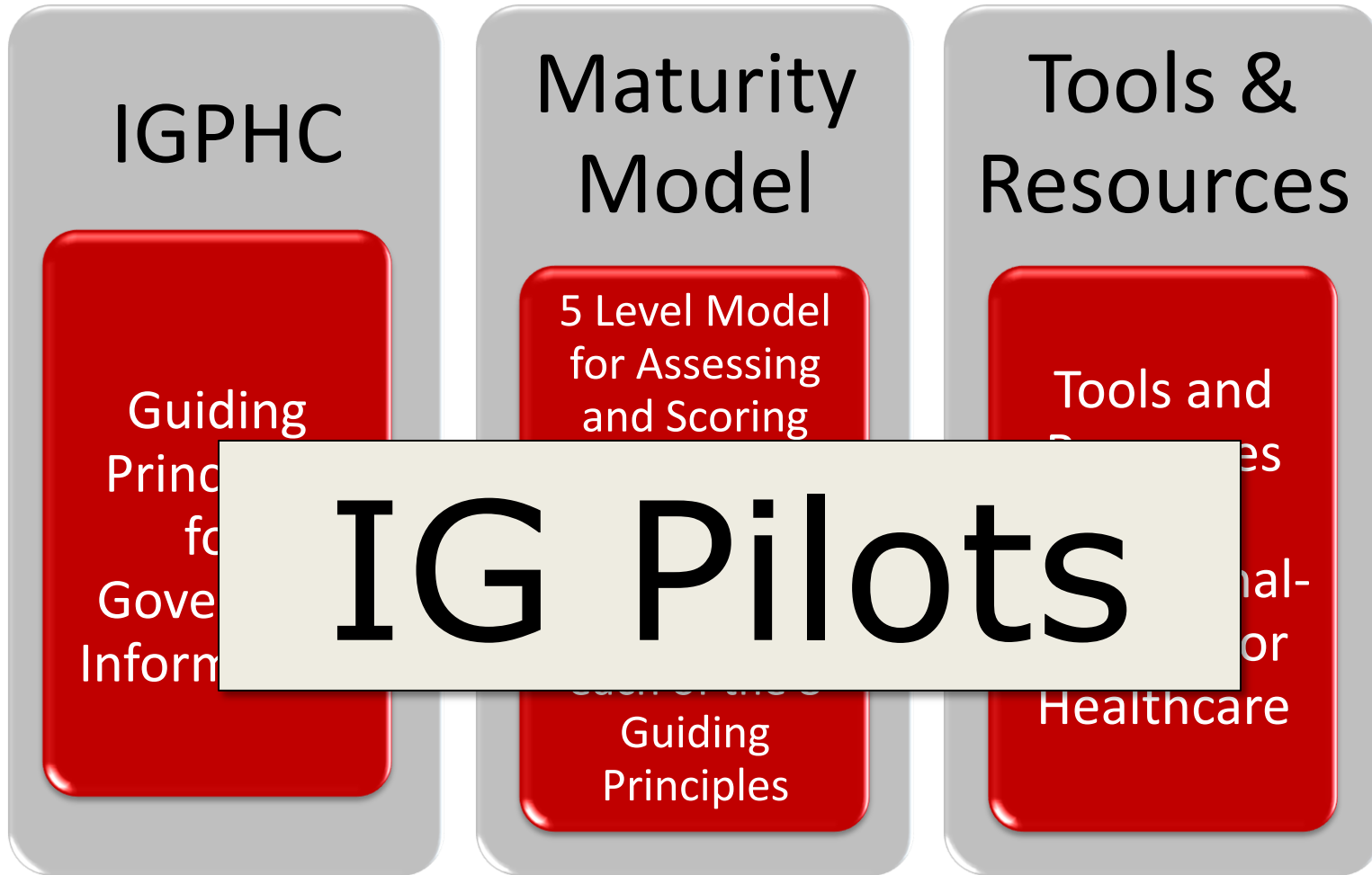Practice Guidelines

Sample Procedures

Articles

Case Studies

Tools for:

ROI, Classification,

Valuation,

Defining Data & Info Uses

IG Framework

IGPHC

Guiding Princ... fo... Gove... Inform...

Maturity Model

5 Level Model for Assessing and Scoring

...each of the 8 Guiding Principles

Tools & Resources

Tools and R...es

...nal-...or Healthcare

IG Pilots

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AHIMA IG Pilot—Objectives

- Validate and refine maturity model

- Develop, use, and refine IG Toolkit

- Document "lessons learned" in IG implementation

- Identify and document best practices for IG in healthcare

- Document healthcare IG case studies

- Build an IG maturity scoring, reporting, benchmarking solution

- Beta test IG maturity solution

AHIMA - *Leading Adoption of Information Governance in Healthcare*

AHIMA.ORG/INFOGOV

AHIMA—Information Governance

Now

is the Time

AHIMA: Leading Information Governance for Healthcare—Recommended Reading

- AHIMA. "Information Governance Principles for Healthcare™" 2014. Chicago, IL. AHIMA, 2014. Available at: www.ahima.org/infogov

- ARMA International. "Generally Accepted Recordkeeping Principles". ARMA International, 2013. Available at www.arma.org

- Cohasset Associates and AHIMA. "A Call to Adopt Information Governance Practices." 2014 *Information Governance in Healthcare*. Minneapolis, MN. Cohasset Associates, 2014.

- The Information Governance Initiative. "The Information Governance Initiative Annual Report". 2014. New York, NY. www.IGinitiative.com

- The Joint Commission. "Information Management (IM) Chapter", *Comprehensive Accreditation Manual for Hospitals, 2014*, Oakbrook Terrace, IL: The Joint Commission, 2014, pp.IM-1—IM-10.

- The Sedona Conference. "Commentary on Information Governance" The Sedona Conference® Working Group Series. A project of The Sedona Conference® Working Group on Electronic Document Retention and Production (WGI)