This white paper is the work of the Precyse HIM Innovation Community, a group of industry leaders working together toward the common goal of advancing effective health information management and governance. The Community is a collaboration of Precyse thought leaders and well-known HIM professionals from 30 top healthcare institutions in North America. It follows a 2012 paper that examined future scenarios for HIM and laid out a draft framework for enterprise information management. This paper goes beyond those ideas, setting forth guiding principles for information management and a plan of action for putting them to use to drive transformational change in healthcare.

*Sponsored by* HIM technology and services provider Precyse, the HIM Innovation Community works across organizational and geographic boundaries to accelerate change leadership through dialogue and shared learning.

**AUTHORED BY:**
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**IN COLLABORATION WITH:**
HIM Innovation Community Thought Leaders from 30 Top Healthcare Institutions Nationwide
TRANSFORMING HEALTH INFORMATION MANAGEMENT FOR THE DIGITAL ERA

In less than a decade, the U.S. healthcare system has gone digital, replacing paper medical records with electronic health records and introducing a range of point-of-care, mobile and patient-controlled technology. Healthcare’s information transformation has been remarkable, and it is still accelerating. By the end of 2013 it is expected that more than 70 percent of primary care practices will be using information technology.

The potential benefits of digital health information are as remarkable as the pace of change. Consumers are rapidly becoming real stakeholders engaged in using information tools to help manage their own health and healthcare. Information is enabling care process redesign. Communications across care settings and among providers are transforming care coordination. Access to care and financing are being redesigned. Information-enabled population and public health have the potential to transform the overall health status of the populace. The digital era will see faster dissemination of medical research, cost-effective technology and life-science breakthroughs.

The speed with which these benefits will be realized depends on the effective management of data and information so they are accessible, interpretable, accurate, interoperable, trusted and safeguarded.

Healthcare information and communication technology adoption has reached the tipping point; healthcare is in the digital era of health information, and there is no going back. It has also entered the era in which all types of information – from patient health records to clinical and business analytics to billing and performance improvement data – must be managed as strategic assets. Greater focus and investment in information management (IM) and governance are needed to fully benefit from technology investments.

This white paper offers a model for information management and governance in the digital era and tools to accelerate action and shared learning.
It is 2016, and Value Health System is operating under quality-based bundled payment arrangements for Medicare, Medicaid and privately insured patients. Improving quality and controlling costs are foundational strategies, and to that end information is managed as a strategic asset. Value Health invests in information management training for all patient care and administrative staff based on job-specific competencies. Value Health has an information governance “charter,” and an executive sponsor is responsible for information asset management and governance. A multidisciplinary information governance steering committee oversees policy, performance metrics and priorities for improvement.

Value Health’s information management (IM) team leader is responsible for organization-wide IM functions supervised by a team of knowledge workers who manage clinical and administrative data and information functions throughout the organization. They advise care teams and administrative staff on IM processes and issues across the system. The entire IM team works to ensure that policies and processes reflect best IM practices and are continuously evaluated and updated.

The above scenario is one of several plausible future states developed by the HIM Innovation Community as it considered how the management of healthcare information would change as health reform and information technology continue to reshape health information management.

The model for transformational health information management depicts the component functions of information management across a healthcare organization. Information governance is seen as the accountability framework for these functions. Also encompassing data governance, it is the formalized oversight structure through which leaders advance policies, processes and standards for the component functions.

"ALBERTA HEALTH SERVICES IS APPROACHING INFORMATION GOVERNANCE AND MANAGEMENT ON A PROVINCE-WIDE BASIS. WE BEGAN WITH A VISION AND A MODEL. WE KNEW THIS WAS NOT A PROJECT THAT WOULD EVER BE COMPLETED. IT IS A WAY OF DOING BUSINESS, BECAUSE INFORMATION IS A CRITICAL ASSET FOR THE HEALTH SYSTEM AND THE PEOPLE WE SERVE."

Kathleen Addison
Vice President of Health Information Management, Alberta Health Services
GUIDING PRINCIPLES FOR INFORMATION MANAGEMENT (IM)

The HIM Innovation Community developed guiding principles for each component of the IM function and for information governance. Guiding principles are useful, because while technology and best practices evolve, the principles serve as a foundation for articulating values and standards. They may be used to:

- Conduct a current state assessment to identify areas of vulnerability
- Communicate the scope of e-information management
- Identify priorities aligned with strategic priorities such as analytics
- Organize policy development and ownership

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| Goals | To ensure a formalized oversight framework and leadership for the advancement of policies, processes and standards for the adoption, implementation, maintenance, interoperability and appropriate use of data and information.
|   | To enhance the value of information assets and their strategic uses to improve clinical and organizational performance, compliance and ethical stewardship. |
| 
| Examples of principles | An enterprise information governance charter lays out the governance framework |
|   | Policies and procedures ensure accountability and auditability |
|   | Metrics and key performance measures for all critical management functions |

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INFORMATION DESIGN AND CAPTURE

**Goals**
To improve the efficiency and quality of data collection, capture, downstream information use, interoperability and reuse through effective information architecture, content definitions and standards.

To enhance the satisfaction of those responsible for capture and reduce costly redundancy through standardization.

**Examples of principles**
- Data design and capture based on standards, data definitions, data models and controlled vocabularies
- Alternative capture methods appropriate to the task and preferences of users
- Rigorous evaluation of data architecture, content and conformance to standards as part of technology evaluation

CONTENT AND RECORDS MANAGEMENT

**Goals**
To maintain designated records sets, including legal health records, and other types of records in accordance with the clinical and business needs of the organization and all applicable legal and regulatory requirements.

To deploy explicit policies and best practices for management, retention and disposition that account for all records in all media.

**Examples of principles**
- Descriptions of the designated record sets and the legal medical record
- A formal Hold Order process ensures reasonable and good-faith efforts to preserve the legal record
- A retention plan for designated record sets and legal health records, electronic and physical, and other data across the enterprise

INFORMATION ANALYSIS AND USE

**Goal**
To ensure that the requisite clinical and non-clinical data and information are available, trusted and usable by those who rely on them to make decisions to improve health and healthcare.

**Examples of principles**
- Data capture aligned with requirements of use cases and users
- Authorizations and processes for information access and use are documented
- Accurate interpretation of data aided by standard data content definitions

“Our Structures for Data Governance consist of a Data Governance Council and Data Process Owner Committee. We are focusing on areas of strategic importance, such as leveraging Data Governance for near-term Master Data Management issues like ICD-10.”

Danielle Reno, MHA, CHC, CCS, CCS-P
Director, ICD-10 and Enterprise Data Governance, Sutter Health

The complete set of Guiding Principles may be downloaded at [www.precyse.com/precysesource](http://www.precyse.com/precysesource)
CHANGE LEADERSHIP FOR INFORMATION MANAGEMENT

Information management and governance in the digital era are not projects to be commissioned or technology to be acquired. They are organizational competencies and a disciplined way of managing and working. The volume of data and information is growing exponentially, as is the range of uses. Enterprise information management and information governance are essential strategies that will require leadership, resources and thoughtful execution.

Like all change management, the first step is raising awareness of the risks of the current state and the full range of potential benefits for stakeholders. The HIM Innovation Community recommends the following plan of action for moving forward:

1. **Conduct a current-state assessment.**
   a. Use the Guiding Principles to support review of essential IM and governance functions.
   b. Assess how information-centric roles and responsibilities are assigned and where there may be gaps.
   c. Map out a strategy for capturing information management policies and assessing their consistency across the organization.

2. **Identify and carry out near-term improvements.**
   a. Consider strategic priorities such as accountable care arrangements and analytics.
   b. Focus on short-term “points of pain,” such as the transition to ICD-10, demonstrating Meaningful Use and implementing new HIPAA privacy regulations.

3. **Engage executive sponsor in setting overall vision for information asset management and governance and the short-term plan.**

4. **Establish a steering group to oversee improvements.**

5. **Initiate communication with those in information-centric roles and critical process owners.**

6. **Develop measures to monitor improvements.**

“It is essential that each of the information management functions is someone’s day job. We have councils that guide the development of policy, but it is the HIM experts who ensure policies are workable and processes are effective.”

Karen Gallagher Grant, RHIA, CHP
Enterprise Director Health Information Services/Director Privacy, Partners Health Care System, Inc.

As healthcare fully enters the digital age — generating a treasure trove of data and information from a diverse range of sources — it is also reaching a fork in the road. Continuing with a siloed approach where disparate flows of information are held within departments or functions is the path to continued health system underperformance and dysfunction. The demands of the coming decades for highly accountable care delivered across the continuum command organizations to follow a new path — toward integrated systems managed across the enterprise through governance frameworks, facilitating the use of information assets to generate new insights into improving healthcare.
THE FUTURE OF THE HIM INNOVATION COMMUNITY

“IT IS OUR HOPE THAT THIS GROUP OF COMMITTED LEADERS WILL CONTINUE TO EXTEND ITS REACH, ENCOMPASSING NEW MEMBERS WITH DIFFERENT EXPERIENCES AND DISCIPLINES WHO BRING WITH THEM NEW THOUGHTS AND NEW IDEAS TO BE CONSIDERED AND DEBATED BY THE GROUP AS A WHOLE. ENSURING THAT THIS EXPLOSION OF HEALTH DATA AND INFORMATION IS PUT TO ITS BEST USE – TO IMPROVE OUR HEALTHCARE SYSTEM – IS THE CHALLENGE OF OUR TIME IN HIM.”

Jeff Levitt
Founder and CEO, Precyse

In 2011, Precyse Founder and CEO Jeff Levitt convened a group of Precyse thought leaders to study what the HIM department of the future might look like. Later that year, Linda Kloss teamed with Precyse to widen the scope of the effort, bringing in HIM professionals from across the broader health information and informatics landscape, with an overarching goal of shared learning to accelerate change. This group has evolved into what we know today as the HIM Innovation Community.

Early on, the HIM Innovation Community explored current trends and their impact on information management and posited future scenarios for HIM practice based on assumptions regarding the pace and sequence of change. That effort culminated in the publication of a first white paper, "Health Information Management in 2016: The HIM Industry's Transformative Journey to Enterprise Information Management.”

In 2012 the Community examined the topics that ultimately led to this second white paper and the new principles. The HIM Innovation Community in 2013 and 2014 will shift its focus to sharing the best practices and learning that can produce short-term and long-term benefits and cost savings for healthcare organizations. The goal, of course, is to help healthcare organizations achieve the Triple Aim* of high-quality, safe and cost-effective care. No organization can achieve the Triple Aim without data, information and analytics, all of which are enabled by effective HIM.

“I truly appreciate the opportunity to participate in this group and hear the best leaders discussing key strategies for the future,” said Dee Garcia, RHIT, CCS, HIM, Director of Coding, PeaceHealth, Bellingham, WA, and a member of the HIM Innovation Community. “The group includes such great minds and engaging topics; I applaud what Precyse is doing here.”

As a supplement to this paper, we have created the full set of guidelines for each aforementioned principle. The guidelines can be downloaded at www.precyse.com/precyssource.

*The Triple Aim is a framework developed by the Institute for Healthcare Improvement that describes an approach to optimizing health system performance. For more go to www.ihi.org/offerings/Initiatives/TripleAim.
ACKNOWLEDGEMENTS

Linda Kloss, MA, RHIA, and Precyse would like to acknowledge the contributions of the industry leaders who are participating in the HIM Innovation Community. We are impressed by your collaboration to advance HIM for the betterment of healthcare and for the patients we serve. We thank you for your valuable insights during the HIM Innovation Community meetings and look forward to our continued partnership on this transformative journey from information to intelligence. Our sincere thanks to:

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Barbara Woolley, MBA, RHIA, Senior Director, Health Information Management, Duke University Medical Center

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