



NORTH CAROLINA HEALTH INFORMATION EXCHANGE AUTHORITY

June 18, 2024 Advisory Board Meeting





Welcome & Call to Order



North Carolina Health Information Exchange Authority

Overview of Topics



- NC HIEA Operations Update
- Legislative Update
- Updated Research Policy
- Update on Medicaid Workstreams
- Upgrade Update and Clinical Viewer Demo
- New 42 CFR Part 2 Rule
- Participation and Data
- Health Data Utility Update
- New Business





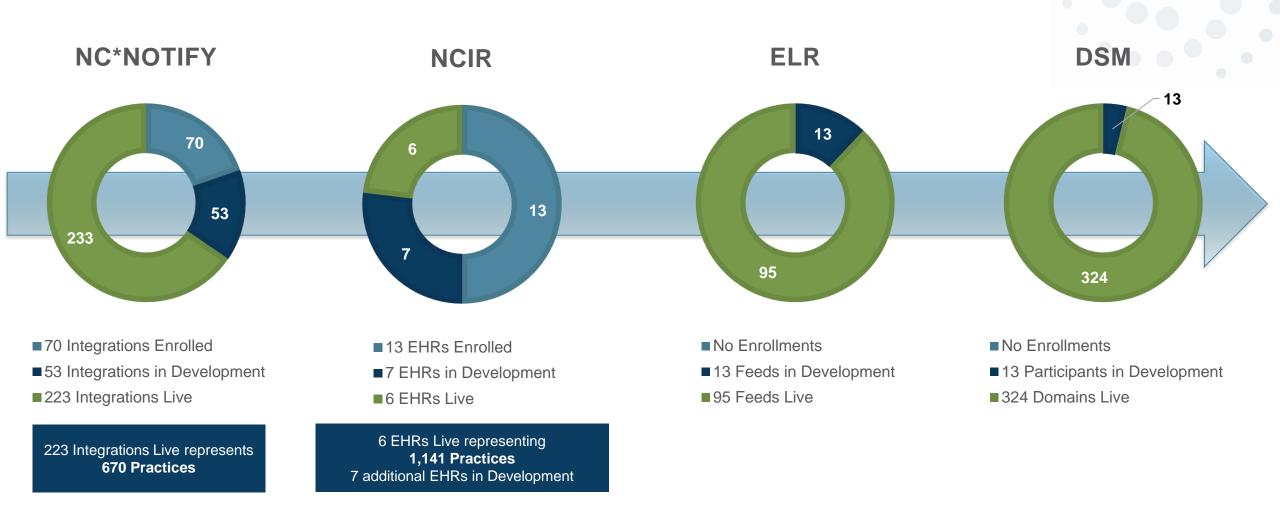
Operations Updates:

- 1. Metrics
- 2. Budget & Contracts
- 3. Staff



Service Enrollment

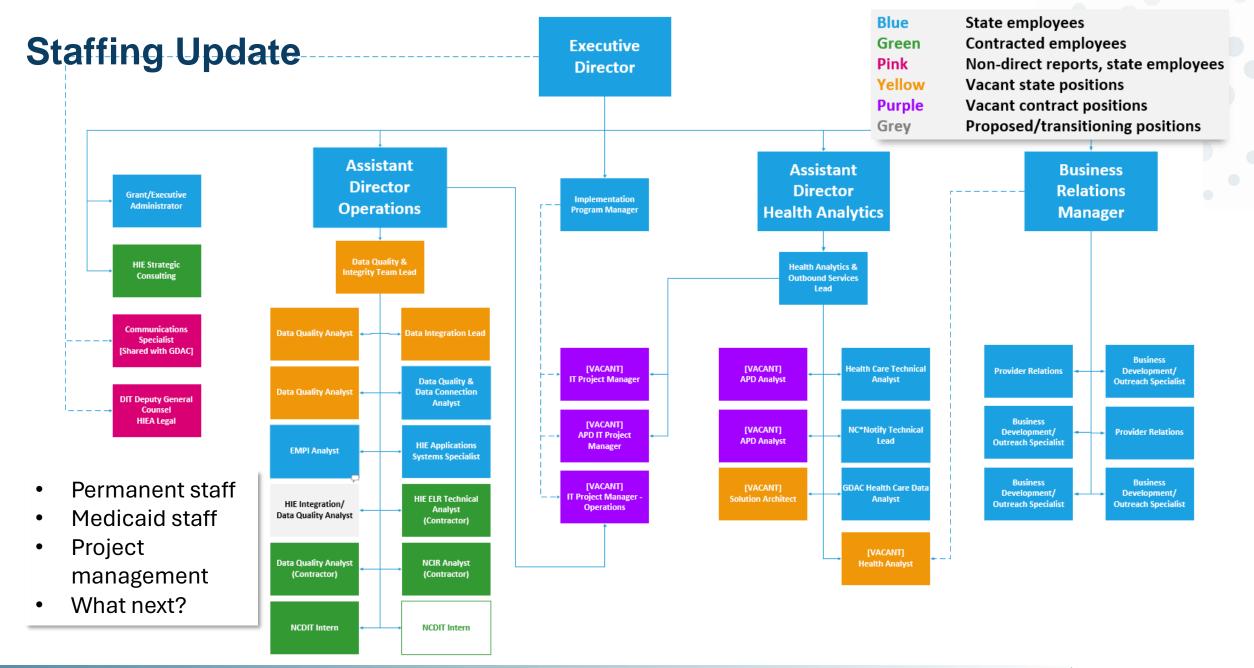
As of April 30, 2024



Budget & Contract Update

- State Fiscal Year Ends June 30
- General Fund appropriation for FY24-25 is:
 - Base Appropriation: \$13,384,204
 - New Appropriation: +\$2,200,000
 - *Nonrecurring:* +\$3,800,000
 - Total = \$19,384,205
- In April and May, the NC HIEA amended existing MOUs with Medicaid and DPH to receive additional funding in relation to services performed for Medicaid and public health. Total value of these MOUs for FY24-25 is: ~\$6m
- SAS contract:
 - Three addenda executed this month.
 - Discussing transitioning provider connections from time and materials to deliverables-based
 - Notify+ procurement







Legislative Update





Research Policy Update

Draft Update: SECTION 12: ACCESS TO DATA FOR RESEARCH

- Permitted Research Purposes set out in N.C. Gen. Stat. 90-414.4(a) and N.C. Gen. Stat. 90-414.2
- Limited Scope patient/provider organization relationship
- Use Case Workgroup Process application, evaluation, presentation, review and decision
- Draft to be sent out to the board





Update on Medicaid Workstreams





Upgrade Update and Clinical Viewer Demo



HealthShare Upgrade 2023.1 – Timelines & Tasks

Planning & Upgrade

Testing & Remediation

Go Live Cut Over

- Platform/OS Upgrade
 - \rightarrow Mirth RHEL 7.9 \longrightarrow 8.x
 - > RHEL SAS 9.4
- Provider Clinical Portal Upgrade
 - UI Requirements
 - UI upgrade to 2023.1 in test environment
 - Testing tools

- Verification & Validation
- Comparison 2019 vs 2023.1
- Issue remediation
- Penetration Testing
- Communication to participants

- Go live- checklist
- Go live Mid Aug 2024
- Smoke Testing
- Series of communication update to participants

Sep 2023 to May 2024

Feb 2024 to Aug 2024



NC HealthConnex Upgrade

How this affects connection projects for participants.

PROGRESS • We will work to complete data connections for participants whose project is currently in progress.

Onboarding activities will be subject to a change freeze. Planned data integrations that were not completed by Friday, June 14, 2024, were temporarily put on hold until later in the year.

If a connection project has not yet started, the participant will remain in our onboarding queue until after the upgrade is complete.

 A participant organization already live and submitting data to NC HealthConnex will need to take no action.



NC HealthConnex Upgrade Benefits

- Modernize the NC HealthConnex infrastructure to current health information exchange standards.
- RHEL Upgrade
 - ightharpoonup Performance: V6 \rightarrow V7 (30% \uparrow) | V7 \rightarrow V8 (35% \uparrow)
 - > Security: enhanced firewall and encryption
 - > Overall: Better dependency and patch management
- HealthShare Upgrade
 - ➤ Better performance (25-30%)
 - Additional features
 - Enhanced developer and administration tools
 - Easier upgrade path
- Clinical Portal Upgrade:
 - Improved Clinical Summary section for a better viewing experience
 - Ability to do a text search within individual chartbook pages
 - Additional clinical sections within the patient record



Clinical Portal Upgrade - Login



SYSTEM MAINTENANCE THIS WEEKEND: From Saturday April 20 2024 at 7:00 a.m. ET. to Sunday April 21 2024 at 5:00 p.m. ET.

Log In



Help Desk contact information: Support Line: 919-531-2700 hiesupport@ss.com Provider Help

Announcements

USER EXPRESSLY CONSENTS TO MONITORING

This system is provided by the State of North Carolina and is for authorized users ONLY. Unauthorized access may result in disciplinary action, civil and criminal penalties. Users have no expectation of privacy.

PAA (Participant Account Administrator)

You must attest to facility user activity for the Q1-2024 quarter. Login with your PAA account and review user activity on your PAA home page. When ready, click the "Attest to Audit" button to complete the audit.

Other Updates

Printing functionality has changed with recent upgrades to the clinical portal. Please see page 45 in the User Guide for more details!

Additional unparsed clinical documents (C/CDA) may be available and are noted by a "No" in the "Document Parsed" column on the Summary and Documents tab.

NC HIEA PERSONAL ENVIRONMENT

The North Carolina Health Information Exchange Authority (NC HIEA) operates North Carolina's statewide health information exchange, NC HealthConnex. This secure, standardized electronic system promotes the access, exchange, and analysis of health information.

Login Agreement

Please note that every time you login, you are agreeing to the terms signed by your organization that provided you with a unique User ID, including (but not limited to) the following:

- . I will not share my User ID or password with anyone
- I will only access patient information for treatment, payment, or health care operation purposes as defined by HIPAA and as permitted by the NC HIEA Participation Agreement
- I understand that all access of patient information is monitored and recorded.
- I will safeguard patient information from inappropriate disclosure
- . I will immediately report any suspected breach of patient information to my supervisor, if applicable
- I will immediately report any suspected breach of patient information to both entities below:

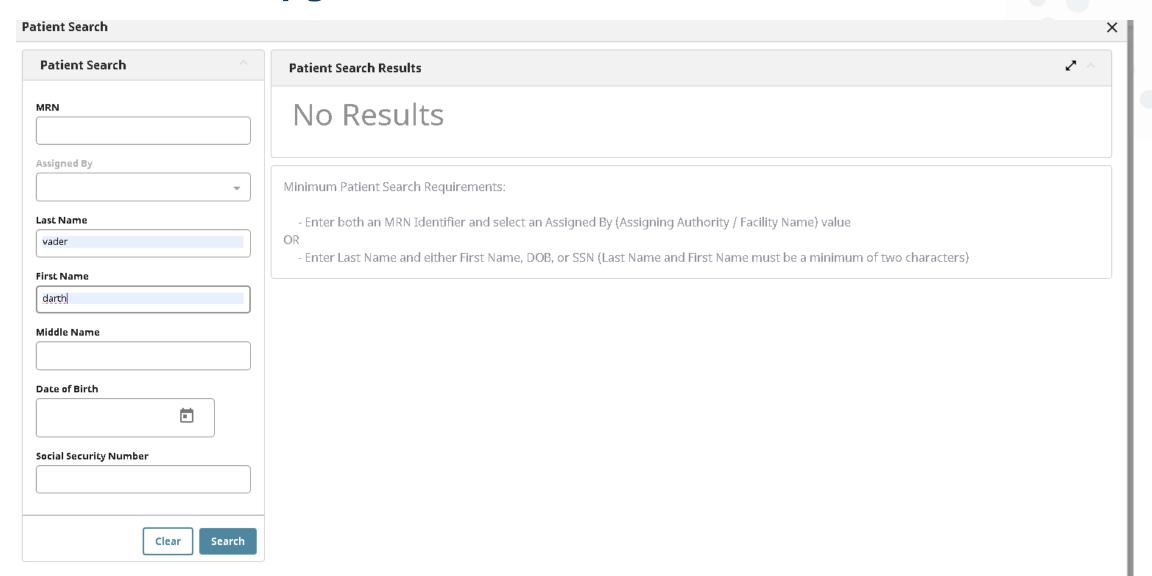
NC HIEA Legal NC HIEA Help Desk
HIEALegal@nc.gov HIESupport@sas.com

Questions? Contact us: http://hiea.nc.gov/contact



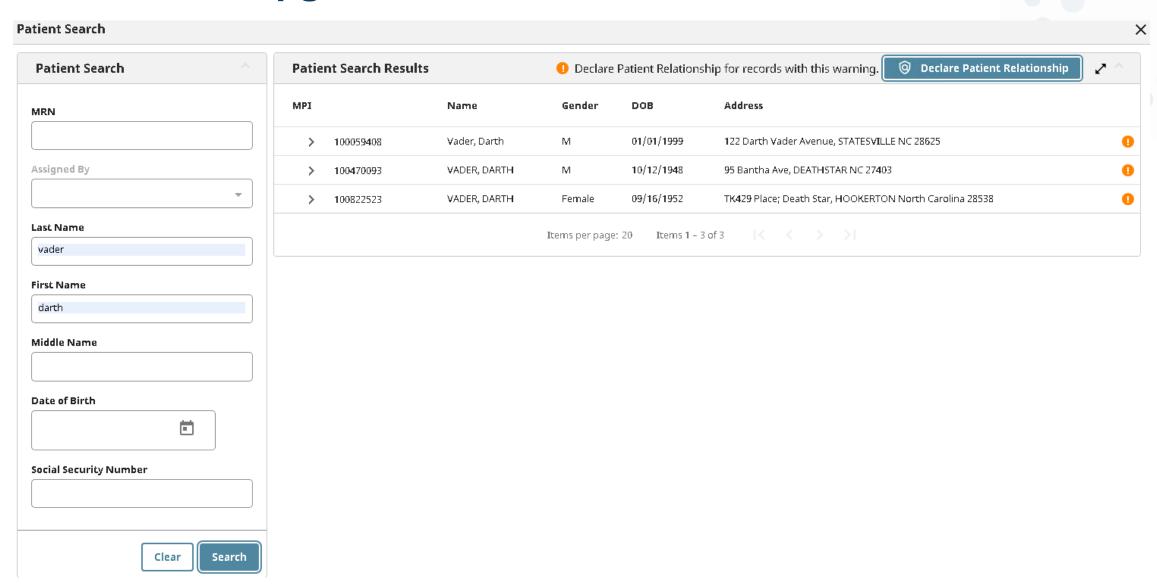


Clinical Portal Upgrade – Patient Search



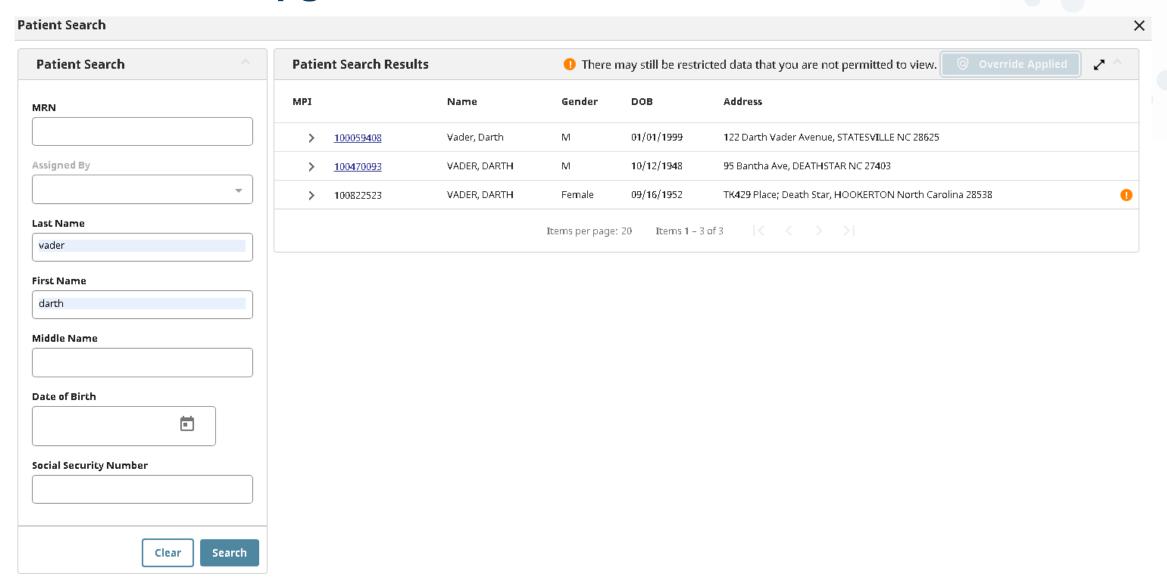


Clinical Portal Upgrade – Search Results



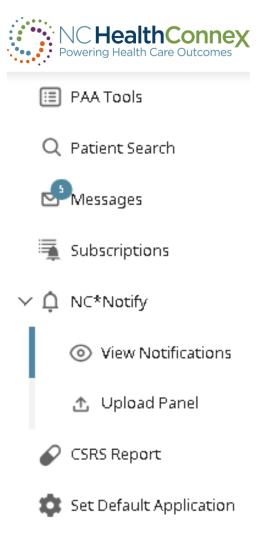


Clinical Portal Upgrade – Break the Seal





Clinical Portal Upgrade – Top Navigation = Left Navigation



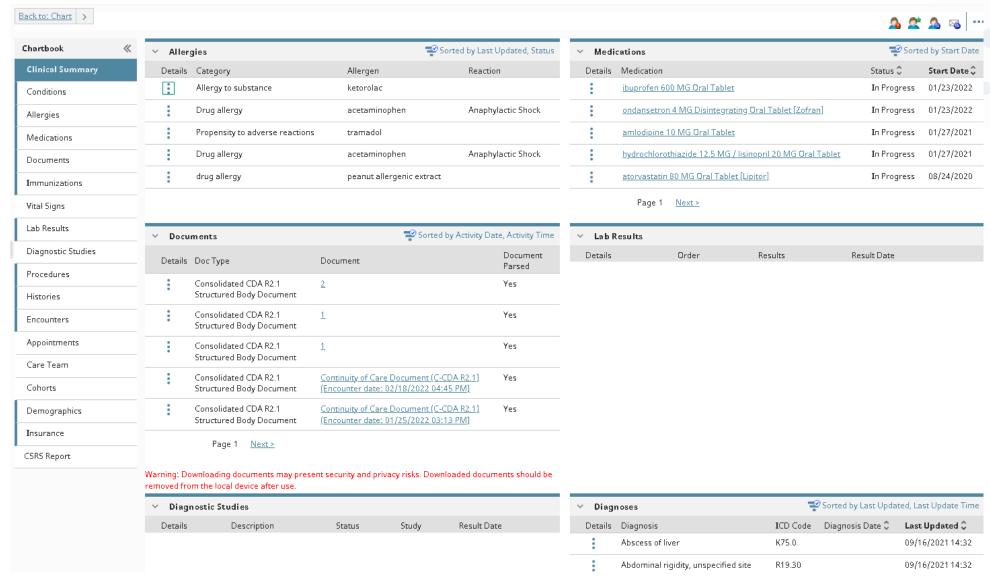


Clinical Portal Upgrade – Chartbook Navigation





Clinical Portal Upgrade – Clinical Summary





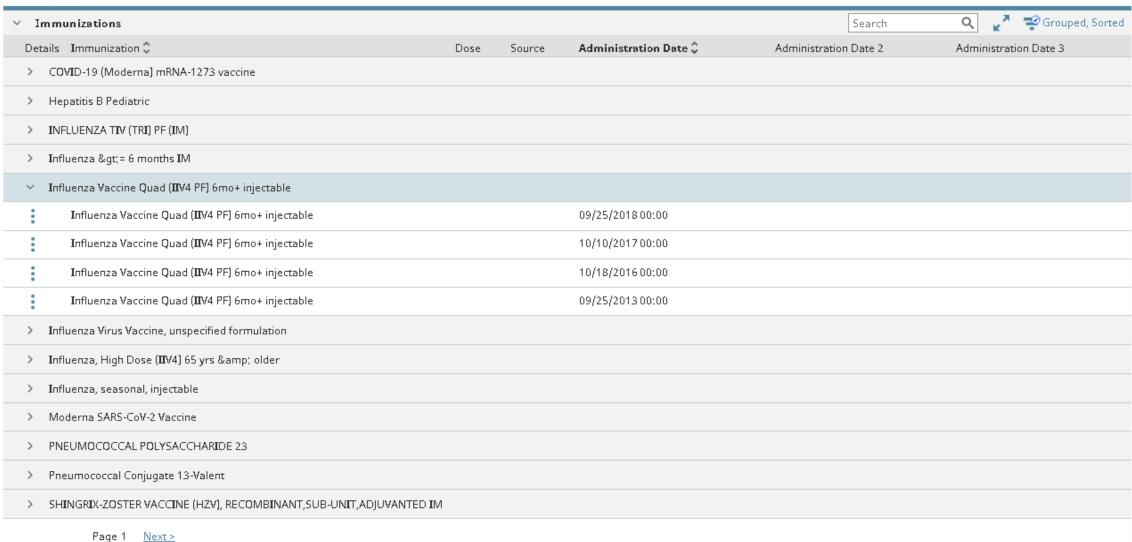
Clinical Portal Upgrade – Individual Chartbook Search

Immunizations							
V Immunizations				influ Q Sorted by Administration Date, Immunization			
Details	Immunization 🗘	Dose	Source	Administration Date 🗘	Adminis	stration Date 2	Administration Date 3
:	Influenza >= 6 months IM			08/17/2020 00:00			
:	<mark>Influ</mark> enza, seasonal, injectable			02/04/2019 00:00			
:	<mark>Influ</mark> enza, seasonal, injectable			02/04/201912:01			
:	influenza virus vaccine, inactivated			11/03/2018 00:00			
:	Influenza Vaccine Quad (IIV4 PF) 6mo+ injectable			09/25/2018 00:00			
:	Influenza >= 6 months IM			09/06/2018 00:00			
:	Influenza Vaccine Quad (IIV4 PF) 6mo+ injectable			10/10/2017 00:00			
:	Influenza >= 6 months IM			09/20/2017 00:00			
:	Influenza Vaccine Quad (IIV4 PF) 6mo+ injectable			10/18/2016 00:00			
:	<mark>Influ</mark> enza >= 6 months IM			09/26/2016 00:00			
:	Influenza Virus Vaccine, unspecified formulation			09/22/2015 00:00			
:	<mark>Influ</mark> enza, High Dose (II V4) 65 yrs & older			09/15/2015 00:00			
:	Influenza Vaccine Quad (IIV4 PF) 6mo+ injectable			09/25/2013 00:00			
:	INFLUENZA TIV (TRI) PF (IM)			12/16/2012 00:00			
:	Influenza >= 6 months IM			10/18/2010 00:00			
:	Influenza >= 6 months IM			11/07/2003 00:00			



Clinical Portal Upgrade - Grouping

Immunizations



New 42 CFR Part 2 Rule



Confidentiality of SUD Patient Records: 42 U.S.C. § 290dd-2 & Part 2 Rules

What records?

• Applies to "[r]ecords of the identity, diagnosis, prognosis, or treatment of any patient which are maintained in connection with the performance of any program or activity relating to substance use disorder education, prevention, training, treatment, rehabilitation, or research, which is conducted, regulated, or directly or indirectly assisted by any department or agency of the United States." 42 U.S.C. § 290dd-2.

What restrictions apply?

 Records are confidential and can only be disclosed and used pursuant to 42 U.S.C. § 290dd-2 and related federal regulations

Why specific restrictions for SUD patient records?

Prevent harm and stigma



Coronavirus Aid, Relief, and Economic Security (CARES) ACT

- -Enacted in 2020
- -Section 3221 of CARES Act
 - made changes to 42 U.S.C. § 290dd-2
 - Required US DHHS to "make such revisions to [Part 2] regulations as may be necessary for implementing and enforcing the amendments made by this section."

Aligning with HIPAA Standards

Definitions

- 42 U.S.C. § 290dd-2(k)
- 42 CFR § 2.11

Penalties

- 42 U.S.C. § 290dd-2(f)
- 42 CFR § 2.3

Breaches

- 42 U.S.C. § 290dd-2(j)
- 42 CFR § 2.16(b)



Patient Consent

Amended consent requirements in 42 U.S.C. § 290dd-2:

- (b)Permitted disclosure.
- (1) Consent. The following shall apply with respect to the contents of any record referred to in subsection (a): [...]
- (B) Once prior written consent of the patient has been obtained, such contents may be used or disclosed by a covered entity, business associate, or a program subject to this section for purposes of treatment, payment, and health care operations as permitted by the HIPAA regulations. Any information so disclosed may then be redisclosed in accordance with the HIPAA regulations. Section 13405(c) of the Health Information Technology and Clinical Health Act (42 U.S.C. 17935(c)) shall apply to all disclosures pursuant to subsection (b)(1) of this section.
- (C) It shall be permissible for a <u>patient's prior</u> written consent to be given once for all such future uses or disclosures for purposes of treatment, payment, and health care operations, until such time as the patient revokes such consent in writing . . .

42 CFR § 2.31 Consent Requirements

Subsection (a) excerpts:

- . . . For a <u>single consent for all future uses and disclosures for treatment, payment, and health care operations</u>, the recipient may be described as "my treating providers, health plans, third party payers, and people helping to operate this program" or a similar statement . . .
- . . . If the recipient is a covered entity or business associate to whom a record (or information contained in a record) is disclosed for purposes of treatment, payment, or health care operations, a written consent must include the statement that the patient's record (or information contained in the record) may be redisclosed in accordance with the permissions contained in the HIPAA regulations, except for uses and disclosures for civil, criminal, administrative, and legislative proceedings against the patient . . .

Subsection (d) excerpt:

Patient consent for use and disclosure of records (or testimony relaying information contained in a record) in a civil, criminal, administrative, or legislative investigation or proceeding cannot be combined with a consent to use and disclose a record for any other purpose.

42 CFR § 2.32 Notice and copy of Consent to Accompany Disclosure

Requirements that must accompany disclosures



Patient Consent (continued)

42 CFR § 2.12 Applicability

Subsection (d) excerpt:

A part 2 program, covered entity, or business associate that <u>receives records based on a single consent for all treatment, payment, and health care operations is not required to segregate or segment such records.</u>

42 CFR § 2.33 Uses and Disclosures Permitted with Written Consent

Subsection (a) excerpt:

(2) When the consent provided is <u>a single consent for all future uses and disclosures for treatment, payment, and health care operations</u>, <u>a part 2 program</u>, <u>covered entity</u>, <u>or business associate may use and disclose those records for treatment, payment, and health care operations as permitted by the HIPAA regulations</u>, until such time as the patient revokes such consent in writing.

Subsection (b) excerpt:

If a patient consents to a use or disclosure of their records consistent with § 2.31 [Consent Requirements], the recipient may further disclose such records as provided in subpart E [Court Orders Authorizing Use and Disclosure] of this part, and as follows:

(1) When disclosed for treatment, payment, and health care operations activities to a covered entity or business associate, such recipient may further disclose those records in accordance with the HIPAA regulations, except for uses and disclosures for civil, criminal, administrative, and legislative proceedings against the patient.



Public Health Disclosures Without Consent

42 U.S.C. § 290dd-2(b)Permitted disclosure:

(2) Method for disclosure. Whether or not the patient, with respect to whom any given record referred to in subsection (a) is maintained, gives written consent, the content of such record may be disclosed as follows:

$[\ldots]$

(D) To a public health authority, so long as such content meets the standards established in section 154.514(b) of title 45, Code of Federal Regulations (or successor regulations) for creating de-identified information.

42 CFR § 2.54 Disclosures for public health:

A part 2 program may disclose records for public health purposes without patient consent so long as:

- (a) The disclosure is made to a public health authority as defined in this part; and
- **(b)** The content of the information from the record disclosed has been de-identified in accordance with the requirements of 45 CFR 164.514(b) such that there is no reasonable basis to believe that the information can be used to identify a patient.



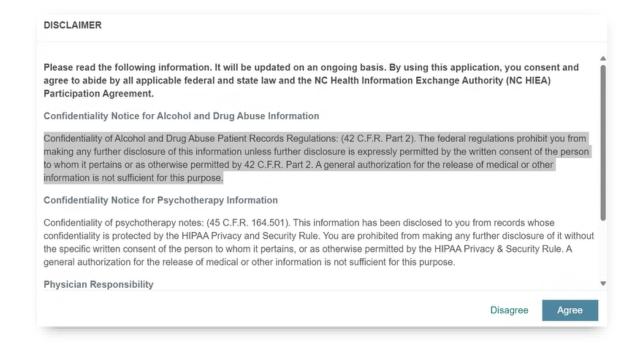
Where We Are Headed on Part 2 Data

Major Changes in the New Part 2 Rule - Patient Consent

- Allows a single consent for all future uses and disclosures for treatment, payment, and health care operations.
- HIPAA covered entities and business associates that receive records under this consent can redisclose the records in accordance with the HIPAA regulations.

Next Steps in Planning:

- Allowing Part 2 providers to submit panels for notifications and engage in bidirectional exchange
 - Part 2 data captured for this purpose would be completely and permanently internal.
- Ingesting/storing/exchanging Part 2 clinical data
 - We are starting to explore:
 - Solutions for capturing consent
 - Models for ingestion/storage/exchange
 - Major cost considerations





Participation and Data Connections

Participant Engagement Overview



- High Touch Approach
- Accessible
 - HIEA Main Inbox
 - HIEA Main Telephone Line
 - Direct Access to Team Members
- Direct Access
 - 1-on-1



Education & Training

- Teletown Halls (100 Registrations on average)
- Office Hours (150+ Registrations on average)
- 1-on-1 Trainings
 - NC HealthConnex Overview
 - NC HealthConnex Clinical Portal Demonstrations
 - NC*Notify Demonstrations
- Virtual Training Modules
- Lunch & Learn Sessions
- Groups
 - Clinical Data User Group
 - Behavioral Health and Intellectual Developmental Disabilities (BH/IDD) Work Group





Proactive & Reactive Outreach

New Engagement Efforts

- Proactive: 200+ engagements (Started: September 2023)
- Reactive: Anticipating 50+ engagements (Starting: June 2024)
- Goals:
 - 1. Build and maintain relationships
 - 2. Provide stellar support and timely responses

Proactive Scenarios

- Participants with newly executed PA's (not yet connected)
- Participants recently connected (30 45 days)
- Heavy utilizers



- Electronic medical record migrations
- Quarterly audit follow up
- Low utilizers



Specialty Outreach

Unengaged Outreach 2023

5000+ Letters Sent

- Safety Net Providers 2024
 - Patient Education Mass Mailing 2024

10000+ Brochures Sent

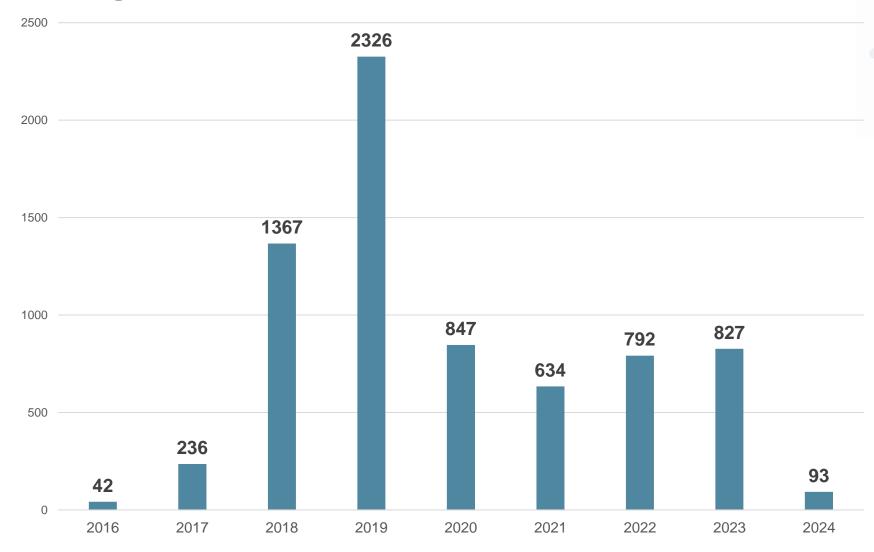


Data Collection: Feedback Is A Gift

- Participant Surveys
 - Nearly 80% satisfied with time
- Proactive & Reactive Outreach
- AHEC Coaches & Monthly Leadership Calls
- Taking Every Opportunity



Participation Agreements







Health Data Utility



What is a Health Data Utility?

- Health Data Utilities (HDUs) are models with cooperative leadership, designated authority, and advanced technical capabilities to combine, enhance, and exchange electronic health data across care and service settings for treatment, care coordination, quality improvement, and community and public health purposes.
- HDUs support multistakeholder, cross-sector needs by serving as a data resource <u>for use</u> <u>cases beyond clinical care delivery through</u> <u>multi-directional exchange.</u>







Characteristics of a HDU



Neutrality and flexibility in meeting stakeholders' goals



Designated authority





Connected region or state geography



Multi-stakeholder, cross-sector participation



Modular infrastructure and advanced technical services



Public-private partnerships



Inclusive governance strategy



Leverage state and local authority

Health Data Utility Framework — A Guide to Implementation, Civitas Networks for Health, March 2023 - https://www.civitasforhealth.org/wp-content/uploads/2023/03/Civitas-HDU-Framework-Final-2023-03-26.pdf



What Differentiates a HDU from a HIE?

- Scope of Technical Capabilities and Infrastructure
- Relationship with State(s) and Authority Policy Levers
- Governance
- Stakeholder Engagement and Community Partnerships
- Financing
- Privacy and Security
- Accountability and Measurement





Phases of Adoption

- Assessment current conditions; policy levers; available supports for planning and implementation
- Planning convene a committee; develop and action plan with goals and objectives
- 3. Implementation coordinate resources to maximize efficiency; implement plans for linkage, exchange and analysis; assess progress
- **4. Sustainability** secure diverse funding; implement continuous quality improvement





Planning Workgroup

- 1. Convene key governmental stakeholders
 - As a group, identify critical additional representation, e.g., human service organizations, academics, providers, payers
- 2. Review findings from assessment/environmental scan (HDU Adoption Phase 1)
- 3. Develop action plan with goals and objectives. Plan could be inclusive of:
 - A rough sketch of initial technical requirements
 - A funding strategy
 - A request to general assembly for HDU designation

Share progress with board at each stage of planning process

Process to kick off in September!







New Business