HIE Evaluation Check List

From the
HIMSS Guide to Participating in HIE

HIMSS HIE Guide Work Group
November 2009

Here is a link to a Microsoft Excel version of this document
# HIE Evaluation Check List

**HIE Evaluation Checklist**

[Select a criteria score of 1 to 5]  
6 = Strong  
5 = Neutral (neither helps nor hurts)  
1 = Needs Improvement  
NA = Not Applicable

<table>
<thead>
<tr>
<th>Item Description</th>
<th>Complete</th>
<th>Quality of Item</th>
<th>Aligns with Organization Philosophy</th>
<th>Item Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>(✓, X)</td>
<td>(1-5, NA)</td>
<td>(Y, N)</td>
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## HIE General Information - understanding the goals and philosophy of the HIE

The most basic questions will help determine if there is a fit between the ultimate goals and vision of both organizations or your organization and the existing HIE. In the early stage it is important to determine that there is a fit with your organization’s mission, goals and priorities.

1. **Does this HIE have Governing Principles?**
   - What is the legal structure of the HIE?
   - Is there a governing body/Board of Directors/steering committee in place?
   - Are providers directly involved at the governance level?
   - Is there a written board profile and board member description?
   - Does the governing body/Board of Directors/steering committee make final decisions and are they accountable for those decisions?
   - Are there executive officers of the HIE?
   - Are there organizational requirements for joining this HIE?

2. **Does this HIE have a Business Plan?**
   - What value does the HIE offer?
   - Are there serious underlying business/technical/financial issues?
   - Is there an existing project plan/rollout schedule?
   - Is the project plan/rollout schedule realistic?
   - What services are currently being provided? What services are planned for the next 6 – 12 months?
   - What is the overall timeline of the HIE?
   - Are the needs of the providers being addressed?
   - Are the needs of the consumers being addressed?
   - Is there a ‘Go-to-Market’ plan?
   - Is there a change management process/plan identified/created for your participants?
   - Is there a plan for training the local community and patients/consumers?

3. **Does this HIE have a mission statement, vision, and end goal?**

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### 4. Is there a definable scope to this HIE?

### 5. Is there a quantifiable measurement of success or failure?
- Does this HIE fall into one of the standard models or approaches?

### 6. Are there other organizations in the HIE?

### 7. Are other organizations considering participation?

### 8. Have any organization declined to join this HIE?

### Financial Commitment and Benefits - understanding the economics and sustainability of the HIE

You will need to be aware of the financial costs and benefits of participation in an HIE:

1. **Has there been external funding of the HIE?**
   - Is there a participation cost to our organization (capital vs. ongoing subscription fees, transaction fees, licensing/maintenance fees, etc.)?

2. **Is there a promised financial benefit to this HIE?**
   - What are the costs (financial, in-kind, or other resources)?
   - Fixed, variable? Projected over time?
   - What return on investment will our organization realize?
   - What benefits accrue to others? Do they share in responsibility for the costs?

### Organization Internal Commitment - understanding the internal requirements of participating in an HIE

You will need to determine if your organization is willing to commit to this endeavor at the expected level:

1. **Is the HIE opportunity aligned with our own strategic direction?**
   - Can we afford the investment (people and technology) needed to pursue this opportunity?
   - Is Executive Management willing to sponsor and support this endeavor?
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Are there dedicated resources?  
(Example commitments of several key positions/departments - CFO,  
CEO, CIO, CMO, Compliance Officer, Information Technology,  
Finance, Compliance, Information Management, Medical Staff,  
Clinical Departments, etc.)

Do the resources have the proper skills and talent to be  
successful?

If additional resources are needed, can we get what we need?  
Are additional partners (outside vendors) needed to accomplish  
our goals?  
If additional partners (outside vendors) are needed will they  
complicate our situation/goals?

Can our IT infrastructure handle such an endeavor?  
Are our providers onboard or will there be an internal power  
struggle?

Is there a provider champion onboard?

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### Technical Information - understanding the technology behind the HIE

Ensure that your organization can handle all technical requirements

1. Are requirements clearly defined and are they technically feasible?
2. What type of data model will be used?  
   Who is responsible for maintaining the data model  
   (service/support)?
4. Is there a proof-of-concept?  
   Has the decision been made if the technical solution is "buy or build"?
5. Is there a vendor requirement to join? Must you have like  
   technologies at some level?
6. Does this solution involve new or unproven technologies?
7. Is the solution scalable for future growth opportunities?
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**Benefits - understanding non-economic Benefits (indirect ROI)**

HIE benefits go beyond financials directly to the patient and the community at large.

1. Will winning enhance our reputation and market positioning?
2. Will joining the HIE open up new market opportunities for us?
3. Will joining the HIE give us an advantage over our competitors?
4. Will end users directly see benefits?
5. Will service quality improve?
6. Will patient safety improve?
7. Will patient outcomes improve?
8. Will staffing efficiency improve?
9. Will disaster recovery improve?
10. Will overall wait times improve?
11. Are all populations being served?
12. Are community needs are being addressed?

**Risks/Liabilities - understanding both the negative impacts of an HIE**

You must consider both the legal ramifications and image risks you many encounter.

1. Is liability shared by all involved?
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### Items

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<tbody>
<tr>
<td>2. Are there existing data use/sharing agreements in place?</td>
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<td>3. Can we contractually protect our intellectual property?</td>
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<tr>
<td>4. Are there external threats to the HIE?</td>
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<td>5. Are there other, compelling, HIE efforts in the community?</td>
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<td>Are there internal threats to the HIE (signs of weakness)? Lack</td>
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<td>or waning of interest? Pending failure?</td>
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<td>6. Is there a Compliance Officer (understanding Applicable</td>
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<tr>
<td>Regulations/HIPAA) and legal team in place?</td>
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<td>Have the new additions in regards to HIPAA brought by the ARRA</td>
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<td>been enforced to HIE?</td>
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<td>8. Are the contract terms and conditions acceptable to us?</td>
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<td>9. Are there any state laws that impact privacy and security?</td>
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<td>10. Is there an oversight/watchdog committee to ensure stakeholders are in compliance with the exchange's approach and principles?</td>
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### Overall Concerns:

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<th># of √'s</th>
<th># of 1's</th>
<th># of NA's</th>
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<tbody>
<tr>
<td>0</td>
<td>0</td>
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<tr>
<td>Cell: D4</td>
<td>Comment: Has the HIE considered this point?</td>
<td></td>
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<tr>
<td>---------</td>
<td>--------------------------------------------</td>
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</tr>
<tr>
<td>Cell: E4</td>
<td>Comment: How important is this point to your organization?</td>
<td></td>
</tr>
<tr>
<td>Cell: F4</td>
<td>Comment: Does this point help validate your organization’s own Mission Statement, Values and/or Goals?</td>
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