

MEMORANDUM

TO: Rep. Catherine Toll, Chair, House Committee on Appropriations
 Rep. William J. Lippert Jr., Chair, House Committee on Health Care
 Rep. Janet Ancel, Chair, House Committee on Ways and Means
 Rep. Stephen Carr, Chair, House Committee on Energy and Technology
 Sen. Jane Kitchel, Chair, Senate Committee on Appropriations
 Sen. Claire Ayer, Chair, Senate Committee on Health and Welfare
 Sen. Ann Cummings, Chair, Senate Committee on Finance
 Sen. Claire Ayer, Chair, Health Reform Oversight Committee
 Sen. Randy Brock, Chair, Joint Information Technology Oversight Committee
 Kevin Mullin, Chair, Green Mountain Care Board (GMCB)

FROM: Michael Costa, Deputy Commissioner, Department of Vermont Health Access (DVHA)
 Michael Smith, Vermont Information Technology Leaders (VITL)

DATE: November 1, 2018

RE: Fourth Progress Update on Health Information Exchange/Health-IT (Act 187)

Act 187: Continuation of Act 73 Health-IT Evaluation Report

Act 187 of 2018, *An act relating to health information technology and health information exchange*, provides a framework for the State and VITL to implement the recommendations from the Health-IT Evaluation Report required by Act 73 of 2017. This progress update is being submitted per the requirements of Act 187 to keep the legislature and the Green Mountain Care Board (GMCB) apprised of progress made toward enhancing VITL's business and technical operations and improving Health Information Exchange (HIE) planning, management and oversight, as guided by the Act 73 Evaluation Report. The following is a list of requirements of DVHA and VITL under Act 187 of 2018.

Act 187 Mandate	Due Date	Responsible Party	Status
A Work Plan with timelines and objectives to assist the General Assembly in evaluating the success or failure of DVHA and VITL's work	May 1, 2018	DVHA and VITL	Completed and subsequently updated and included in all Progress Updates.
Written Progress Updates from DVHA and VITL to the General Assembly and the GMCB on implementing the recommendations from the Act 73 evaluation report	May 1, July 1, September 1, November 1, 2018, January 1, 2019	DVHA and VITL	All Progress Updates have been delivered on time. The next update is due 1/1/19.
A Contingency Plan triggered if DVHA and VITL are unable to implement the recommendations from report	September 1, 2018	Capitol Health Associates (CHA) – contracted by DVHA	The Contingency Plan was delivered as dictated by Act 187 of 2018.
A Third-Party Evaluation of DVHA's and VITL's progress toward implementing the recommendations from the report	October 15, 2018	Health Tech Solutions (HTS) – contracted by DVHA	The evaluation is complete. The evaluator states that VITL and DVHA are making satisfactory progress.
Submission of the Health Information Technology Plan to the GMCB	November 1, 2018	DVHA	The HIE (HIT) Plan was delivered to the GMCB on 11/1/18.
A recommendation on Vermont's consent policy	January 15, 2019	DVHA	DVHA is currently engaging stakeholders in discussions about the state's consent policy.
A recommendation on how to improve the utility and interoperability of EHRs and HIE	January 15, 2019	DVHA	Related concepts are included in the HIE (HIT) Plan. The recommendation will be delivered in January 2019.

Highlights of Progress Made Since July 1, 2018

Within this document, there is an updated work plan with details about progress made toward implementing each of the recommendations from the Act 73 Evaluation Report. Additionally, VITL has provided a series of dashboards to illustrate progress made on priority areas. Highlights of progress made since the last Progress Update was delivered on September 1 include the following.

- ***Third-party evaluation illustrates that DVHA and VITL are making progress*** - HealthTech Solutions, the authors of the Act 73 Evaluation Report, were contracted to continue their evaluation with a focus on how DVHA and VITL were progressing toward implementing the recommendations from the 2017 Evaluation Report. In early October, a report from HealthTech Solutions was delivered which explains that DVHA and VITL have either completed or are making sufficient progress on all items evaluated.
- ***State wide strategic HIE Plan delivered to the GMCB*** - In late 2017, DVHA convened an HIE Steering Committee, consisting of a small group of dedicated stakeholders committed to developing a strategic plan to get the State's HIE work back on track. Per 18 V.S.A. § 9351, the strategic plan was delivered to the GMCB on November 1. The Plan represents a great deal of collaboration amongst a broad range of stakeholders and sets a precedent for a coordinated approach to HIE governance, strategic planning, oversight and evaluation in the coming years.
- ***DVHA/VITL contract for calendar year 2019 (CY19) under development*** - The scope and budget for the CY19 agreement between DVHA and VITL for the operations and enhancement of the VHIE has been finalized and sent to the Center for Medicaid & Medicare Services (CMS) for review. As the funder of a portion of the work included in the agreement, CMS has 60 days to review the contract. The agreement builds on work done by VITL on the essential areas defined in the state wide HIE Plan. VITL will be providing a mid-year budget update to the GMCB in November to outline any changes to its FY'19 budget based on the new contract.
- ***VITL Board of Directors (BOD) reorganization complete for 2018*** - The VITL BOD reviewed and voted on several new Board candidates at the September annual meeting, utilizing the broader criteria now permitted in statute and reflected in VITL bylaws. New members represent technical and user expertise as well as outside business and tech sector experience that will help guide the organization's execution of its State contract and related work. At the September annual meeting, the VITL BOD voted on a committee structure for nominating and governance going forward. The new structure will allow for recruitment of additional Board members as seats become available, consistent with the broader membership criteria now permitted.
- ***VITL's Operational Finance Review conducted by KPMG is complete*** -The final report is complete and has been reviewed by the finance committee of the VITL BOD. A plan has been developed to address findings in the report. VITL also presented the findings to the GMCB during its quarterly report.

DVHA and VITL will be presenting to the GMCB on November 7, 2018. DVHA will present the HIE (HIT) Plan and VITL will present the updated Connectivity Criteria, the criteria for creating or maintaining connectivity to the State's health information exchange network.

DVHA/VITL Work Plan

2018-2019

Updated as of November 1, 2018

Goal: Implement an effective HIE governance model								
Objective	Activity	Accountable Party & Stakeholders	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Establish an effective across-the-board Governance Committee	Establish the HIE Steering Committee administratively attached to and supported by the Department of Vermont Health Access	DVHA VITL OneCare Vermont Blue Cross Blue Shield of VT Blueprint for Health Vermont Care Network Department of Health Agency of Digital Services	November 2017	November 2017	Complete. DVHA established an HIE Steering Committee in November of 2017.	No change - Complete.	No change - Complete.	Complete. The 2017-2018 HIE Steering Committee worked to develop a consensus-driven, state wide strategic plan to support investment in and management of health information exchange efforts. Per 18 V.S.A. § 9351, the state wide plan was delivered to the GMCB on November 1.

Goal: Implement an effective HIE governance model								
Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Create temporary and permanent subcommittees to support the Governance Committee's work	In the HIT Plan, define the HIE/HIT Governance Model, including ongoing and ad-hoc subcommittees.	<u>HIE Steering Committee</u>	May 2018	November 2018	<i>In Progress.</i> The HIT Plan will be delivered to the GMCB by November 1, 2018.	<i>In Progress.</i> The HIE Steering Committee continues to work towards the development of an HIT plan, which will include a proposed governance model for future HIE oversight and management. The HIE Steering Committee is scheduled to focus on this topic in August 2018.	<i>In Progress.</i> The HIE Steering Committee has reviewed various HIE/HIT governance models and is contemplating a model that is most appropriate for Vermont, particularly in its first year of operation. The proposed governance model will be presented to HTS for consideration in mid-September.	<i>Complete.</i> The 2017-2018 HIE Steering Committee proposed a permanent governance model within the state wide HIT strategic plan. The proposed governance model will be established in January/February of 2019.

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Create temporary and permanent subcommittees to support the Governance Committee's work	Establish Subcommittees to draft a data governance policy, oversee HIT plan updates, provide recommendations on the consent policy, and address other timely needs	<u>HIE Steering Committee</u>	November 2018	March 2019	<i>In Progress.</i> The HIT Plan will contain a proposed governance model.	<i>In Progress.</i> The governance model will include proposed subcommittees that will focus on specific areas identified in the Evaluation Report, and potentially, other priority areas as identified by the HIE Steering Committee. The consent policy will be addressed through a working group, as directed by the legislature through Act 187 of 2018. It is also expected that a formal subcommittee will address this topic of consent on a longer term basis.	<i>In Progress.</i> The governance model is being designed to effectively manage execution of the HIT plan, including the priority areas noted in the 2017 Evaluation Report.	<i>Complete.</i> See the HIE (HIT) strategic plan submitted to the GMCB on November 1 for details on the proposed HIE governance model.

Goal: Develop and manage to a strong HIE strategic plan

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
<p>The Governance Committee will develop a new HIT Plan that is performance-based and traceable to state strategy. The State will commit to follow and meet the HIT Plan goals and objectives.</p>	<p>Establish a stakeholder engagement process for the HIT Plan development</p>	<p><u>HIE Steering Committee</u></p>	<p>May 2018</p>	<p>November 2018</p>	<p><i>In Progress.</i> The HIE Steering Committee intends to leverage existing provider and consumer advisory groups outside of the Steering Committee membership's expertise to obtain direct feedback on the HIE Plan. Future stakeholder engagement strategies will be included in the HIE Plan.</p>	<p><i>In Progress.</i> DVHA is working with the GMCB to schedule time with the Primary Care Advisory Group to review the HIT Plan. It is likely that this meeting will occur in September, and Advisory Group members will be provided with materials to review before the meeting. VITL is resurrecting its Provider Advisory committee which may also be a feedback mechanism for the HIT Plan.</p>	<p><i>In Progress.</i> DVHA and partners from the HIE Steering Committee will be meeting with stakeholders to discuss the HIT Plan throughout September and October. This includes the GMCB Primary Care Advisory Group, amongst others. The goal of these meetings is to engage stakeholders in the planning process, build a community-wide understanding of the new HIE governance model, and support current and future planning efforts.</p>	<p><i>Complete.</i> On behalf of the HIE Steering Committee, DVHA facilitated an "HIE (HIT) Plan Roadshow" to engage stakeholders in the planning process, build a community-wide understanding of the new HIE governance model, and support current and future planning efforts. More information on the Roadshow is included as an Appendix to the HIE (HIT) Plan.</p>

Goal: Develop and manage to a strong HIE strategic plan

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The Governance Committee will develop a new HIT Plan that is performance-based and traceable to state strategy. The State will commit to follow and meet the HIT Plan goals and objectives.	In the HIT Plan, establish a more formal process of setting funding and prioritizing projects based on efficient and effective use of public and private resources and define accountability standards to ensure program transparency. Complete an inventory of existing and projected funds to help guide priorities.	<u>HIE Steering Committee</u>	June 2018	November 2018	<i>In Progress.</i> The HIT Plan is currently in development and will be delivered to the GMCB no later than November 1, 2018.	<i>In Progress.</i> The HIE Steering Committee continues to develop an HIT Plan that addresses the recommendations from the Evaluation Report and charts a path forward for the State.	<i>In Progress.</i> <i>No change.</i>	<i>Complete and Ongoing.</i> The HIE Steering Committee addressed financing and sustainability issues in the recently submitted HIE (HIT) Plan. See pages 13, 34 and 25 in the HIE (HIT) Plan. These issues will be continually addressed by the HIE Steering Committee in 2019 and in future iterations of the HIE Plan.

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<p>The Governance Committee will develop a new HIT Plan that is performance-based and traceable to state strategy. The State will commit to follow and meet the HIT Plan goals and objectives.</p>	<p>In the HIT Plan, clearly define the roles and relationships among the major HIT/HIE organizations and initiatives (e.g., Blueprint for Health, OneCare Vermont – All-Payer Model, VITL, CMS 1115 Waiver)</p>	<p><u>HIE Steering Committee</u></p>	<p>June 2018</p>	<p>November 2018</p>	<p><i>See above.</i></p>	<p><i>See above.</i></p>	<p><i>See above.</i></p>	<p><i>Complete and Ongoing.</i> See the Tactical Plan in the recently submitted HIE (HIT) Plan. Roles and responsibilities will continually be addressed by the HIE Steering Committee to ensure there is clear alignment across stakeholders in service of meeting HIE goals.</p>
	<p>In the HIT Plan, include mechanisms that require ongoing review, evaluation, and continuous improvement of HIT/HIE initiatives and outreach/education plans.</p>	<p><u>HIE Steering Committee</u></p>	<p>June 2018</p>	<p>November 2018</p>	<p><i>See above.</i></p>	<p><i>See above.</i></p>	<p><i>See above.</i></p>	<p><i>Complete and Ongoing.</i> The HIE Steering Committee, as proposed, will oversee and evaluate HIE efforts to continually improve upon strategies aimed at achieving state wide HIE goals.</p>

Goal: Ensure the VHIE is well-governed and compliant with federal and state regulations

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Establish an Advisory Committee to Oversee VITL's Progress	Establish a workgroup to guide VITL's short-term transition and support planning.	<u>VITL Board Chair and select Board members</u> DVHA VITL Executives	December 2017	ongoing	<i>Ongoing.</i> This group has convened at least every other week since December via phone and in-person meetings. The group developed a work plan to guide work which is included in the Appendix.	<i>Ongoing.</i> The group continues to meet, but meeting schedules have changed to better compliment other collaborative engagements and align with the dates established in Act 187.	<i>Ongoing.</i> No change	<i>Ongoing.</i> No change
	Develop and execute a short-term strategic plan for VITL to set the organization on a course toward addressing the recommendations outline in the evaluation report.	<u>VITL</u>	January 2018	January 2018	<i>Complete.</i> The short-term strategic plan is represented in the work plan noted above.	<i>No change - Complete.</i>	<i>No change - Complete.</i>	<i>No change - Complete.</i>

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Appropriately staff the VHIE operator	Fill the vacant CEO position.	<u>VITL Board of Directors</u>	January 2018	February 2018	<i>Complete.</i> On February 16, 2018, Michael Smith agreed to accept VITL's CEO position.	<i>No change - Complete.</i>	<i>No change - Complete.</i>	<i>No change - Complete.</i>
	Assess VITL's organizational construct and fill vacancies, when deemed necessary.	<u>VITL</u>	January 2018	March 2018	<i>Complete.</i> Organizational needs were assessed and necessary hiring was completed.	<i>Complete.</i> VITL provided the evaluator (HealthTech Solutions) with an organizational chart, per their request. A strategic plan was also requested, which will be provided once complete (see activity below related to VITL strategic planning).	<i>No change - Complete.</i>	<i>No change - Complete.</i>

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Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Ensure that VITL is compliant with financial and operational regulations and standards as it operates the Vermont's HIE infrastructure	Enlist a third-party to conduct a performance and operational audit to determine effectiveness of internal financial controls, management policies, and practices.	<u>VITL</u>	April 2018	September 2018	<i>In Progress.</i> An RFP for this work was released in March 2018. VITL will endeavor to select a vendor and place under contract ASAP, and no later than July 2018 for a September 2018 completion.	<i>In Progress.</i> Contractor has been selected (KPMG) and project is underway.	<i>In Progress.</i> The auditor (KPMG) has documented compliance requirements, conducted interviews, and performed a workflow analysis. A gap analysis is currently underway and the performance and operational report is in development as work progresses.	<i>Complete.</i> Gap analysis and summary of findings are complete. The final report is complete and has been reviewed with the VITL Board of Directors Finance Committee in advance of the newly formed Audit Committee's review. VITL also presented the findings on 10/17/18 to the GMCB during its quarterly update.

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Ensure that VITL is compliant with financial and operational regulations and standards as it operates the Vermont's HIE infrastructure	Evaluate whether the contract relationship with VITL ensures that Federal Uniform Guidance §200.330 and Vermont's Agency of Administration Bulletin 5 are complied with.	<u>DVHA</u>	May 2018	June 2018	<i>Not started.</i>	<i>Complete.</i> Uniform Guidance and Bulletin 5 pertain to grants. Since the state has shifted all VITL agreements to contracts, this guidance no longer applies.	<i>Complete.</i> State legal and audit authorities reviewed the current agreements between DVHA and VITL and determined that they are validly construed as contract relationships. This review included a comprehensive look at internal state policy and process and the Uniform Guidance.	<i>No change - Complete.</i>

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Ensure that VITL is compliant with financial and operational regulations and standards as it operates the Vermont's HIE infrastructure	Establish an Audit Committee on the HIE Board of Directors to ensure compliance with findings from recent audits and guidance provided in the Act 73 Evaluation Report.	<u>VITL Board of Directors</u>	September 2018	September 2018	<i>Not started.</i>	<i>In Progress.</i> VITL Board voted in May to formally establish an Audit Committee. The committee will be staffed in September at the VITL Annual Board Meeting.	<i>In Progress.</i> The VITL Board of Directors has updated the bylaws charging this committee with monitoring, retaining consultants to execute, and reporting on the process and outcomes to the full Board regarding all fiscal and organizational audits. Committee membership shall consist of no fewer than three Directors and the Chair shall not be the Treasurer or Board Chair. The Committee shall be staffed in September at the VITL Annual Board Meeting.	<i>Complete.</i> The VITL Board of Directors staffed the Audit Committee at its September annual meeting. The committee's first task will be to review the recently-completed performance and operational audit, and will monitor the company's financial audit.

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Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Increase Transparency through Improved Public Reporting on the VHIE	Provide the HIE Steering Committee and the VT Legislature with an annual report to include the status of projects funded through the federal HITECH Act and the State's HIT Fund and financial reporting reflective of HIE best practice.	<u>VITL</u>	January (annual)	January (annual)	2018 - <i>Complete.</i> VITL provided an annual report to the Vermont Legislature in January of 2018. The report provided a more transparent view into VITL's finances.	<i>Complete for 2018.</i> The 2019 Annual Report to be developed and submitted before next January deadline.	<i>Complete for 2018. No change.</i>	<i>In Progress.</i> VITL has begun drafting the annual report to be published by January 15, 2019.

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Increase Transparency through Improved Public Reporting on the VHIE	Review all VHIE policies on an annual basis, and publicly post all policies, Board meeting agendas, minutes, and handouts on its website, and ensure that the most current version of policies are posted. A report of this review shall be provided by VITL to the HIE Steering Committee.	<u>VITL</u>	January 2018	July 2018	<i>In Progress.</i> VITL posts policies, and Board meeting agendas and minutes currently are on the VITL website.	<i>In Progress.</i> Annual review of all VITL policies is underway. Financial policies will be reviewed through the performance and operational audit to be performed by KPMG.	<i>In Progress.</i> Security policies and procedures have been reviewed and updated. The VITL Privacy and Security Officers and CEO have approved/signed the policies. Copies were provided to the State's Agency of Digital Services at the August security meeting and posted to the VITL website. Financial policies will be reviewed through the performance and operational audit being conducted by KPMG (see Audit update above).	<i>In Progress.</i> Financial policies have been reviewed through the performance and operational audit conducted by KPMG (see Audit update above). Work is underway to revise the policies based on KPMG's recommendations and with VITL's new audit firm, Gallagher Flynn & Company.

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Increase Transparency through Improved Public Reporting on the VHIE	Publicly report to the GMCB on VITL core functions and budget.	<u>VITL</u>	May (annual)	May (annual)	<i>In Progress.</i> On May 9, 2018, VITL will present their core functions and budget to the GMCB. They will join DVHA in presenting this work plan and providing an update on progress to date. VITL provided reporting documentation to the GMCB staff in late April.	<i>Complete for 2018.</i> VITL presented their core functions and proposed budget to the GMCB on May 9, 2018. The GMCB subsequently approved the budget. Presentation materials were provided to HealthTech Solutions for review and evaluation. Act 187 amends GMCB oversight to approval of VITL's budget, not its core activities.	<i>Complete for 2018.</i> No change.	<i>In Progress.</i> VITL and DVHA have come to agreement on the scope and budget for the CY19 contract. VITL will be providing a mid-year budget update to the GMCB in November which will outline changes to its FY19 budget based on the negotiated CY19 DVHA contract.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Use the State's contracts with VITL to transparently tie program goals to HIE financial investments	Extend VITL's SFY18 contracts with the state through the first half of SFY19 to allow time for the completion of the HIT Plan, which will further define the role of the VHIE and include goals that will tie directly to future contract deliverables.	<u>DVHA</u> VITL	March 2018	December 2018	<i>In Progress. The SFY18 contracts between DVHA and VITL are being amended to extend the contract period through December 2018, and to include deliverables that better demonstrate progress toward improving the VHIE's core functions. See the Contract Matrix in the Appendix for more detail.</i>	<i>Complete.</i> The contracts between VITL and DVHA have been executed, thereby extending the contract period through December 2018. See the Contract Matrix in the Appendix for more detail.	<i>No change - Complete.</i>	<i>No change - Complete.</i>

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

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Use the State's contracts with VITL to transparently tie program goals to HIE financial investments	Enhance DVHA's contracts with VITL to include delivery-based payment conditions tied to improving core services, quantifying levels of improvement, and the execution of corrective action plans associated with financial, security and technology assessments.	<u>DVHA</u> VITL	September 2019	December 2019	<i>Not started.</i> Contracts will be developed to align with the HIT Plan and support continued progress on deliverables included in the SFY19 6-month extension period.	<i>Not started.</i> In September 2018, VITL and DVHA will begin to discuss future agreements, assuming that VITL continues to successfully address the recommendations from the Evaluation Report. The State intends to shift contract periods from SFY to calendar year to better align with the State's All-Payer Model agreement with OneCare Vermont. This better positions HIE activities to support the health reform efforts outlined in the ACO contract.	<i>In Progress.</i> A project plan for the CY19 contract development process has been created. Additionally, the annual IAPD request (federal funds) has been submitted, as has the SFY19 state appropriation request, to secure funding for the CY19 contract. The project plan kicked-off in late August, beginning with DVHA's internal review of legal and operational contract considerations. Due to the length of the project plan it was not included in this document but will be provided to HTS directly for review.	<i>In Progress.</i> DVHA and VITL are developing the CY19 contract. VITL has reduced the funding request by \$500k as planned. The scope and budget of the contract were finalized on 11/1/18 to allow for CMS' required 60-day review period.

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Develop a VHIE strategic plan that is reflective of customers' needs and the strategy outlined in the HIT Plan	Develop a VHIE strategic plan that defines the services VITL provides and includes a sustainability plan and technological approaches to meeting the goals outlined in the State's HIT Plan and addressing the technical issues identified in the Evaluation Report. Deliver the Plan to the GMCB and the HIE Steering Committee.	<u>VITL</u> DVHA Provider community OneCare Vermont Blue Cross Blue Shield of VT Blueprint for Health Vermont Care Network Department of Health Agency of Digital Services	April 2018	March 2019	<i>In Progress. Plan development – Spring - ongoing</i> <i>January – incorporate into annual report</i> <i>January – February- present to GMCB and HIE Steering Committee</i>	<i>In Progress.</i> Plan development - VITL is engaged in a strategic planning process with its Board, which is underway with progress continuing. VITL has completed its technical review and has engaged with the HIE Steering Committee, HTS evaluators, and GMCB (through the May 9th FY19 Budget presentation). The technology plan is designed to support data quality, data availability and use, patient matching and consent, and data security and privacy.	<i>In Progress.</i> A strategic plan discussion memorandum for the VITL Board of Directors has been drafted for distribution in advance of the VITL Annual Meeting & Board Retreat on 9/25/18. A final plan to include technology and sustainability will be reviewed in November for a Board vote at the December meeting.	<i>In Progress.</i> The strategic plan memorandum was discussed at the VITL Annual Meeting & Board Retreat on 9/25/18. A final plan to include technology and sustainability will be reviewed in November for a Board vote at the December meeting.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

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Address the issues with VHIE core functions identified in the Act 73 Evaluation Report	Develop and implement mechanisms to increase the number of Vermonters who consent to have their data viewable in the VHIE. Goal - 35% by 12/31/18	<u>VITL</u> DVHA Provider Community VHIE Clients	January 2018	ongoing	See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> Patient consent currently over 34%. VITL is in discussion with one hospital to engage in a project to provide patient consent electronically, thereby reducing provider and staff burden to manually update consent in the VHIE. See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> Patient consent is currently over 35%. VITL is testing one hospital's ability to transmit patient consent electronically, thereby reducing provider and staff burden to manually update consent in the VHIE. VITL is in discussion with two more hospitals to engage in a similar project in the future.	<i>In Progress.</i> Patient consent as of 9/30/2018 is over the 35% target at 37.55%, and work is ongoing. VITL is concluding its testing of one hospital's ability to transmit patient consent electronically, thereby reducing provider and staff burden to manually update consent in the VHIE.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Address the issues with VHIE core functions identified in the Act 73 Evaluation Report	For the patients who have already provided consent, expend resources to match the patients with their records. Goal - 40% reduction in duplicate records by 12/31/18	VITL DVHA	May 2018	ongoing	See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> A new tool has been developed to reduce the duplicates within the VHIE. VITL is currently testing the tool to begin using in July. Additional improvements have been implemented to strengthen matching and avoid degradation of matched records in the VHIE. See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> VITL has established that 35% of the patient records in the VHIE may be duplicates. VITL is currently testing a deduplication tool and analyzing the results. VITL's is targeting reducing the duplicate rate to 33% in September with an overall target of 21% by 12/31/18. <u>Note:</u> reducing the duplicate patient records may cause fluctuations in the consent rate.	<i>In Progress.</i> VITL has met its target of a 28% reduction in the number of duplicate records by the end of October, and work toward the goal is ongoing. <u>Note:</u> Reducing the duplicate patient records may cause fluctuations in the consent rate.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Address the issues with VHIE core functions identified in the Act 73 Evaluation Report	Implement easier ways to access and use the data in the VHIE that do not burden providers and facilitate healthcare reform measures. Goal: Enable provider access to VHIE data directly within a hospital EHR by 12/31/18	<u>VITL</u> DVHA	May 2018	ongoing	See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> VITL is actively engaged with two hospitals to enable direct access to VHIE data from within the EHR. See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> VITL is actively testing with two hospitals to integrate the access of VHIE data within the organization's electronic health record (EHR). VITL and the hospitals are targeting the services to be live in early November 2018.	<i>In Progress.</i> VITL is concluding its testing with one hospital to integrate the access of VHIE data within the organization's electronic health record (EHR) in early November 2018. The other hospital's testing has been rescheduled to better align with their vendor availability to resume testing in mid-November for an implementation by end of December 2018.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Address the issues with VHIE core functions identified in the Act 73 Evaluation Report	<p>Improve the quality of the data in the VHIE by making sure that records are accurate and complete.</p> <p>Goal - Implement terminology services tools into production by 12/31/18</p>	VITL DVHA	July 2018	ongoing	See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> VITL began a technical and architecture review to advance the use of terminology services within the VHIE production environment. See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> VITL has submitted the Terminology Services plan to DVHA. This plan includes an architecture integration diagram, the mechanism for testing, and impact analysis on the Data Quality Infrastructure preparation and configuration is underway in the VHIE test environment. A Data quality impact report is due to be delivered by 12/1/18.	<i>In Progress.</i> VITL has submitted a revised Terminology Services plan to the State. The revised plan provides additional information about terminology services, how it is used, and the tool that was purchased. It also identifies the change in scope based on stakeholder feedback to standardize key terms for more than one health care organization. A detailed, revised project plan was also included. Terminology services configuration testing has completed. VITL is currently building custom terminology mapping tables based on input from stakeholders.

Goal: Ensure that the VHIE operator is focused and delivers upon its core mission

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Address the issues with VHIE core functions identified in the Act 73 Evaluation Report	Inform the assessment of the VHIE technical structure by completing the State's Architectural Assessment.	<u>Agency of Digital Services</u> DVHA VITL	May 2018	September 2018	See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> The Agency of Digital Services is currently working to complete the existing assessment and provide DVHA with recommended action steps. VITL will review the assessment before it is made final. See the Contract Matrix in the Appendix for more detail and contract period goals.	<i>In Progress.</i> The Agency of Digital Services (ADS) has completed the Architectural Assessment for the Information domain. The Assessment was reviewed with VITL on August 29. It is expected that VITL's feedback will be considered for the final version of the assessment document, which includes plans for completion of the other Architectural Assessment domains.	<i>In Progress.</i> In August, ADS completed an Architectural Assessment of VITL related to the Information domain. ADS worked with VITL to arrange for completion of the IT domain of the Assessment in February of 2019. The Business domain will be completed in July of 2019, and an Applications domain will be completed in January of 2020.

Goal: Make VHIE operations accountable to all customers, including the state

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Create an HIE Board of Directors consisting of a mix of stakeholders including subject matter experts and users to serve Vermont's HIE needs	Develop new membership criteria for Board service focused on users or potential users of core services (providers) and on stakeholders in health care reform who utilize the VHIE for population health management. Suggested criteria will be provided to the State for review through the HIE Steering Committee.	<u>VITL Board of Directors</u>	May 2018	September 2018	<i>In Progress.</i> Legislative change under consideration in H.901.	<i>In Progress.</i> VITL Board approved a process to re-examine and update the Board membership criteria, bylaws, and committees at the May Board meeting. Through Act 187, the legislature and Governor provided flexibility in staffing the VITL Board.	<i>In Progress.</i> The Governance Committee of the VITL Board has reviewed the HTS report criteria and is set to recommend two new directors to the Board, both with technical and HIE expertise; the bylaws have been updated to reflect the new law with broader membership criteria; and the VITL Board will consider further substantive changes to the process for additional recruitment at its annual meeting in September.	<i>Complete.</i> The VITL BOD reviewed and voted on several new Board candidates at the September annual meeting, utilizing the broader criteria now permitted in statute and reflected in VITL bylaws. New members represent technical and user expertise as well as outside business and tech sector experience that will help guide the organization's execution of its State contract and related work.

Goal: Make VHIE operations accountable to all customers, including the state

Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Create an HIE Board of Directors consisting of a mix of stakeholders including subject matter experts and users to serve Vermont's HIE needs	Craft and execute a plan for recruiting new memberships and fully restructuring VITL Board.	<u>VITL Board of Directors</u>	September 2018	March 2019	<i>Not started.</i>	<i>Not started.</i>	<i>Not started.</i> Nominations for two new directors will be considered at VITL's upcoming Board meetings	<i>Complete (for 2018).</i> At the September annual meeting, the VITL Board voted on a set of new members and a committee structure for nominating and governance going forward that will allow for recruitment of additional Board members as seats are available, consistent with the broader membership criteria now permitted.
	Fill State's role on the VITL Board.	<u>AHS</u> VITL Board of Directors	December 2018	March 2019	<i>Not started.</i>	<i>Complete - State representation on the VITL Board is no longer in statute. This requirement was removed through Act 187.</i>	<i>No change - Complete</i>	<i>No change-complete.</i>

Goal: Demonstrate progress in implementing the recommendations from the Act 73 Evaluation Report and plan for contingencies								
Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Provide the General Assembly and the GMCB with reports on progress made in implementing the recommendations from the Act 73 Evaluation Report	Provide bi-monthly progress reports that demonstrate progress made in execution of this work plan and quantifiable progress made in meeting Vermont's HIE needs.	<u>DVHA & VITL</u>	April 2018	On or before May 1, July 1, September 1, and November 1, 2018 and January 1, 2019	<i>In Progress.</i> The May 1 progress report was submitted in the form of a memo and this work plan.	<i>In Progress.</i> The July 1 progress report was submitted in the form of a memo and an updated work plan and contracts matrix.	<i>In Progress.</i> The September 1 progress report was submitted in the form of a memo and an updated work plan, project plan and VITL dashboard.	<i>In Progress.</i> The November 1 progress report was submitted in the form of a memo and an updated work plan and VITL dashboard. The final report will be submitted on January 1, 2019.

Goal: Demonstrate progress in implementing the recommendations from the Act 73 Evaluation Report and plan for contingencies								
Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Develop a Contingency Plan should DVHA and VITL prove unable to act on the recommendations from the evaluation report	Procure services from a third-party to develop a contingency plan to align with the details of H.901 including an assessment of data and property ownership interests.	<u>DVHA</u> VITL	April 2018	September 2018	<i>In Progress.</i> In April, an RFP was posted and a vendor was selected. The contract with the third-party is currently under review by CMS, a pre-requisite to securing federal funding for this work. The contingency plan will be delivered to the General Assembly and the GMCB no later than September 1, 2018.	<i>In Progress.</i> Capitol Health Associates (CHA) were selected through a complete bid process to deliver an HIE Contingency Plan to the State no later than September 1, 2018. The contract between DVHA and CHA was executed in mid-May and CHA held a project kick-off meeting with VITL and DVHA in early June. VITL is actively engaged in supporting the contingency work.	<i>Complete.</i> CHA developed a Contingency Plan, as contracted by DVHA, which was submitted to the identified legislative committees and the GMCB per Act 187 of 2018. CHA is also contracted to provide up to three in person presentations of the Contingency Plan to representatives from the VT legislature and GMCB.	<i>Complete - no change.</i>

Goal: Demonstrate progress in implementing the recommendations from the Act 73 Evaluation Report and plan for contingencies								
Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Execute a third-party analysis of progress	Enlist the support of HealthTech Solutions to conduct an evaluation of progress made in addressing the issues identified in the Act 73 Evaluation Report.	<u>HealthTech Solutions</u> DVHA (contract manager) VITL	May 2018	November 2018	<i>In Progress.</i> HealthTech will deliver a report on their evaluation no later than October 15, 2018. DVHA and VITL will present all progress reports, the work plan, and other related details directly to HealthTech to support their work in evaluating progress made toward implementing the recommendations in their initial evaluation report.	<i>In Progress.</i> See previous status update. HealthTech issued a progress report in June reporting that satisfactory progress has been achieved by DVHA and VITL in addressing the recommendations in the initial evaluation report. VITL and DVHA will present the next progress report to HealthTech in mid-July.	<i>In Progress.</i> HealthTech continues their review of DVHA and VITL's progress in implementing the recommendations from the 2017 Evaluation Report. Upon submission of this update, DVHA provided HealthTech with a project plan containing additional details on how progress is being made. HealthTech will complete an evaluation report for submission to the legislature and GMCB no later than October 15, 2018.	<i>In Progress.</i> HealthTech completed their review of DVHA and VITL's progress in implementing the recommendations from the 2017 Evaluation Report. The report established that DVHA and VITL have made satisfactory progress to date and are on track in addressing the recommendations from the 2017 Evaluation Report. The evaluation was submitted to the legislature and GMCB on October 2, 2018. DVHA presented the evaluation results to the GMCB on October 17, 2018.

Goal: Demonstrate progress in implementing the recommendations from the Act 73 Evaluation Report and plan for contingencies								
Objective	Activity	<u>Accountable Party & Stakeholders</u>	Start Date	End Date	Status as of May 1, 2018	Status as of July 1, 2018	Status as of September 1, 2018	Status as of November 1, 2018
Provide recommendations to inform future HIE and consent policy legislation and activity	Provide the legislative committees named in H.901 with recommendations on Vermont's consent policy and improving interoperability of electronic health record systems.	<u>DVHA</u> <u>VITL</u> Office of the Health Care Advocate	August 2018	January 2019	<i>Not started.</i>	<i>In Progress.</i> DVHA has begun internal planning for legislative reporting. <u>Note:</u> H.901 was signed by the Governor on May 28, 2018. The bill is now included in Act 187 of 2018.	<i>In Progress.</i> DVHA has started the process of engaging stakeholders in the development of the report on Vermont's consent policy. Thus far, the Office of the HealthCare Advocate, VITL, the GMCB and the ACLU have been engaged.	<i>In Progress.</i> DVHA continues work to engage stakeholders in the process of developing a report on Vermont's consent policy. DVHA will present progress and engage the public in a conversation about the consent policy at a GMCB in mid-December.

VITL Progress Report

November, 2018



VERMONT
INFORMATION
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LEADERS, INC.

Progress Report Introduction

Project	Status
1) Build a Strategic Plan	On Track In Good Standing
2) Board Governance	On Track In Good Standing
3) Improve Data Quality & Terminology Services	On Track In Good Standing
4) Implement Easier Ways to Access Data	On Track In Good Standing
5) Percent of VT Patients Who Have Provided Consent	On Track In Good Standing
6) Reduce Duplicate Patient Records	On Track In Good Standing
7) Financial Performance and Operational Audit	Complete

Project - Build a Strategic Plan

Purpose: To develop a strategic plan.



Project - Board Governance

Purpose: To organize the board to effectively and efficiently meet the needs of the organization.

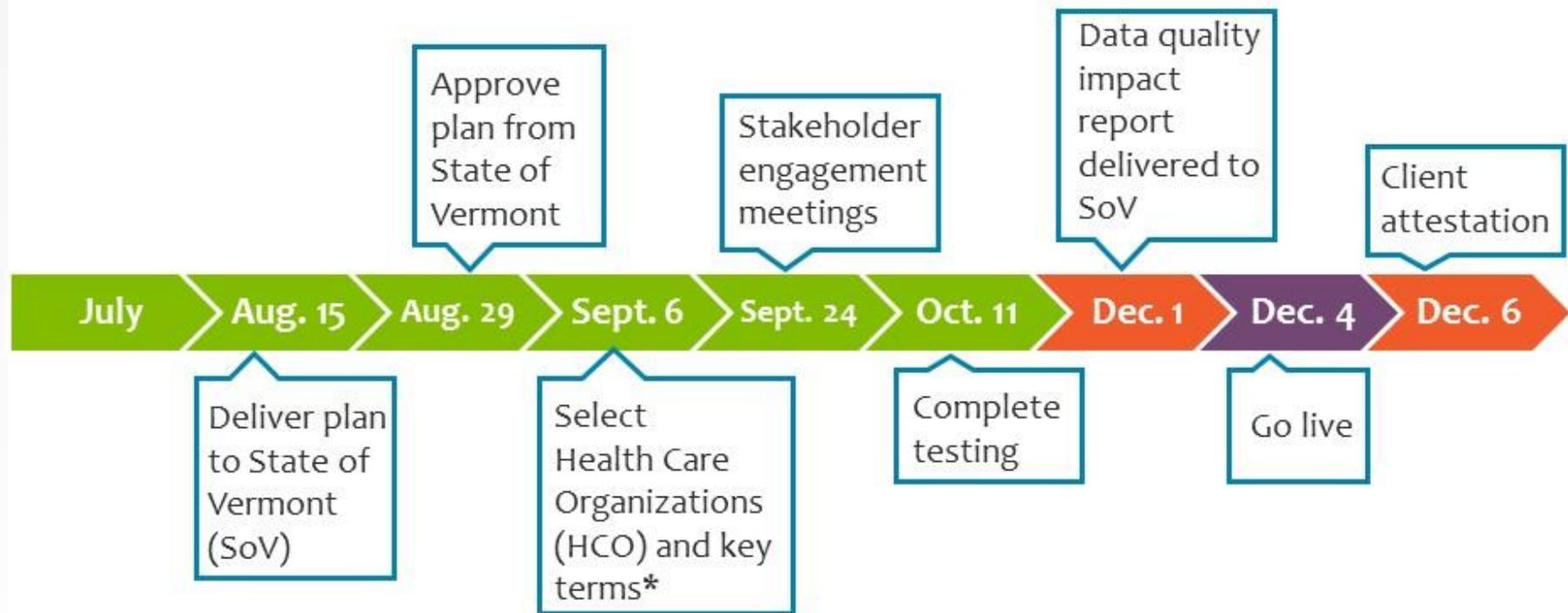
Tasks	May – Sept. 2018
1) Review HTS report board models from other states; research specific board membership criteria employed by other state HIEs.	Completed
2) Review VITL bylaws and draft proposed revisions to Sections 2.2, 2.3, and 2.11-2.15 as needed:	
a. Phase 1 – conforming to new statute – Adopted June 2018	Completed
b. Phase 2 – Bylaw revisions to reflect HIT plan priorities for committee work and other governance matters – Board vote in November on draft discussed at Sept. Annual Meeting	On Track In Good Standing
3) Facilitate board decisions regarding the adoption of a resolution to support a process to refresh board membership criteria and seats, as informed by that work during 2018-2019.	Completed
4) Adopt appropriate revisions to the criteria for board membership and service, consistent with HTS report recommendations	Completed

Project - Board Governance

Tasks	Sept. 2018 – March 2019
5) Recruit new board members for some vacant positions, holding elections for new members to fill those after the 2018 annual meeting (September 2018 deadline).	Complete
6) Identify and recruit new members to fill board seats that will open up before or at the 2019 annual meeting (Oct. 2018 – March 2019 deadline).	Complete
7) Refresh committee structure by creating committee charters that incorporate expected areas of oversight and support, as the VITL board directs after consideration of the State HIE Steering Committee recommendations and State HIE Plan: set expectations for board and outside membership for each committee (March 2019 deadline).	In Progress
8) Revise bylaws on committee functions and membership further if needed, to conform with committee structure refresh. Upcoming Bylaws amendment vote in Nov.; will then consider under new structure whether further amendments needed. (March 2019 deadline)	In Progress

Project - Improve Data Quality & Terminology

Purpose: Improve the quality of data by making sure records are accurate and complete, using consistent terminology.

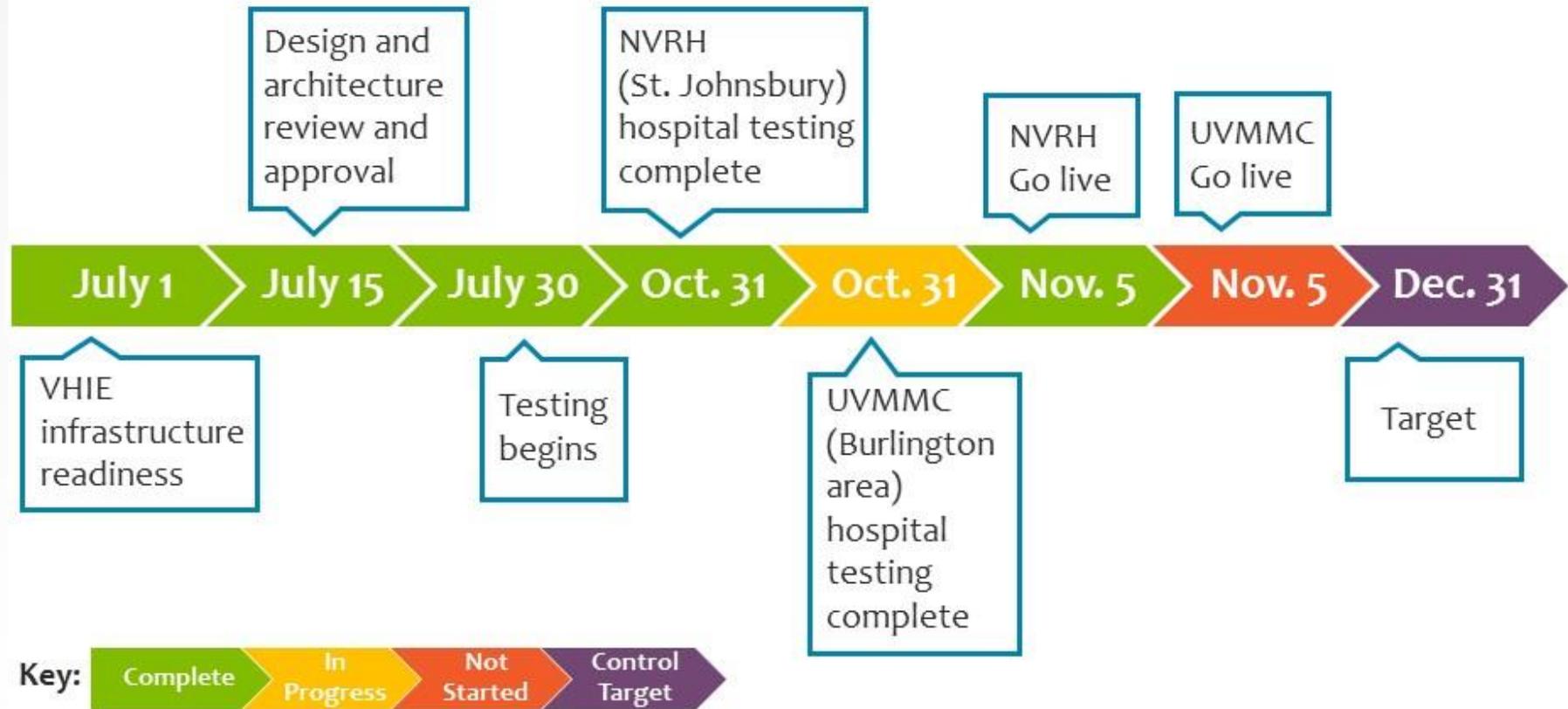


Key: Complete In Progress Not Started Contract Target

**Scope of project has changed based on stakeholder feedback*

Project - Implement Easier Ways to Access Data

Purpose: Provide a mechanism that allows providers to search, discover and access clinical data in the VHIE, or access their patients' VHIE information from within an EHR.



Project - % of VT Patients Who Have Provided Consent

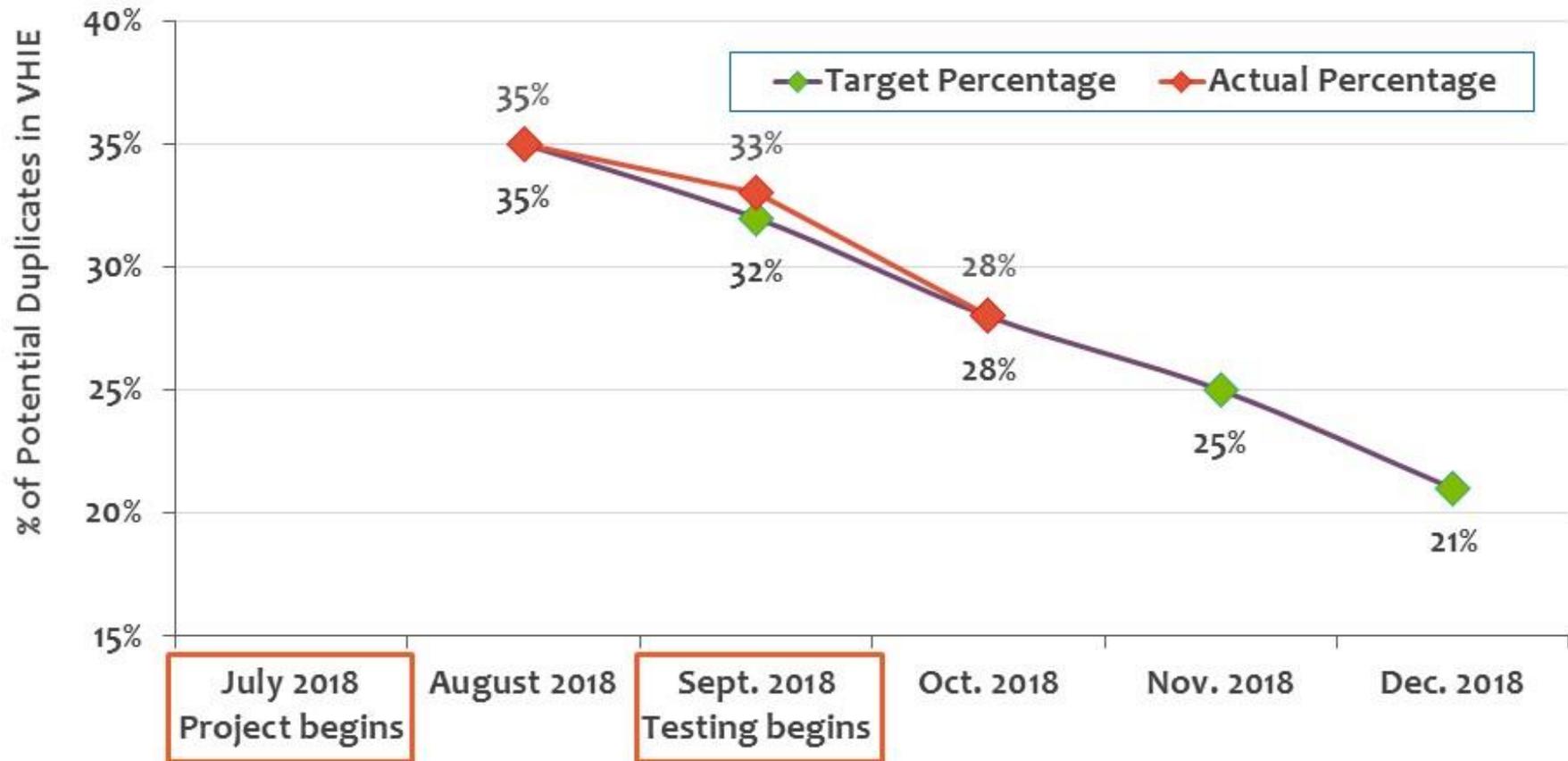
Purpose: Implement mechanisms to increase the number of Vermonters who consent to have their data viewable in the VHIE. Increase rate from 19% to 35%.



*Fluctuations in consent may occur as a result of the project to reduce patient duplicate records.

Project - Reduce Duplicate Patient Records

Purpose: Expend resources to match the patients with their records from all contributing providers, and reduce duplicate records by 40%.



Project - Reduce Duplicate Patient Records

Milestones	Status
1) Establish baseline duplication report.	Completed
2) Test duplication tool in VHIE test environment.	Completed
3) Analyze results.	Completed
4) Complete test.	Completed
5) Begin use of duplication tool in production environment.	In Progress
6) Complete deduplication of repositories.	Target: 12/31/18

Project – Financial Performance and Operational Audit

Purpose: To review financial operations and procedures to ensure efficiency and effectiveness.

Task	Status	KPMG Key Actions/Milestones
Task 1 – Strategize and plan	Completed	
Task 2 – Focus interviews	Completed	
Task 3 – Confirm/ document major compliance requirements	Completed	Conducted quality assurance review of baseline matrix content.
Task 4 – Conduct workflow analysis	Completed	Conducted additional walkthroughs / interview sessions to gain further understanding of select processes.
Task 5 – Perform gap analyses and identify gaps	Completed	Provided status of pending documentation to VITL on 8/3/18 and 8/10/18. Open documentation requests remain. Conducted supplemental quality assurance review of matrix in progress.
Task 6 – Develop report	Completed	Began populating project report with results of past tasks: report due Sept. 30.
Project Management	Completed	Provided ad-hoc verbal reports as necessary. Provided project status report through August 17, 2018.