

Arizona Implementation Requirements

The following are requirements that State HIE Grant Recipients are to meet. The required documentation described within each requirement must be submitted to and reviewed by ONC program staff for approval. Further guidance will be provided on the reporting of requirement fulfillment.

These requirements reflect the actions/accomplishments expected of recipients to comply with the Terms and Conditions of the Notice of Award for states that have received ONC approval of their Strategic and Operational Plans. Each requirement is mapped to a category outlined in the State HIE Cooperative Agreement Program Funding Opportunity Announcement.

Requirements <i>Red Indicates Restriction</i>	FOA Reference:	Date
Planning		
Strategic and Operational Plans endorsed by Stakeholders		60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Previously approved Strategic and Operational Plans reviewed annually and any necessary updates submitted to ONC		TBD for 2011 2/8/2012 2/8/2013
Updated Strategic and Operational Plans approved by ONC		12/10/2011 12/10/2012 12/10/2013
Governance		
Stakeholder collaboration demonstrated and documented, e.g. participation in meetings	<i>Governance Structure - Establish a governance structure that achieves broad-based stakeholder collaboration with transparency, buy-in and trust. (p.12)</i>	Ongoing requirement
Medicaid agency has designated governance role, and the representative's participation adapts as necessary to ongoing state HIE needs	<i>Medicaid and Public Health Alignment - Coordinate and align efforts to meet Medicaid and public health requirements for HIE & meaningful use criteria. (p.13)</i>	Ongoing requirement
HIT Coordinator has designated governance role, and his/her participation adapts as necessary to ongoing state HIE needs	<i>State Government HIT Coordinator – The state government has appointed a State Government HIT Coordinator who is a state official and will coordinate state government participation in HIE. (p. 23)</i>	Ongoing requirement
State or SDE maintains and adheres to established policies and procedures.	<i>Oversight and Accountability – Establish oversight and accountability mechanisms to protect the public interest. (p.12)</i>	Ongoing requirement
State or SDE maintains oversight for HIE services, and is responsible for ensuring that HIE is operating effectively and within the appropriate regulatory environment		Ongoing requirement
Organization meetings posted and open to the public		Ongoing requirement
Governance model aligned with NHIN governance (as applicable)	<i>Alignment with National HIE Governance – Account for the flexibility needed to align with emerging nationwide HIE governance. (p.12)</i>	Ongoing requirement
State/SDE representatives in NHIN activities identified		Ongoing requirement

Finance			
Establish financial policies and implement procedures to monitor spending and provide appropriate financial controls.	<i>Fiduciary Oversight - Develop capacity to effectively manage funding necessary to implement the state's Strategic and Operational Plans.</i>	Ongoing requirement	
As part of annual updates to the strategic and operational plans/as a separate report, must develop a business plan that includes a sustainability plan capable of supporting HIE governance and operations beyond the ARRA funding	<i>Sustainability Plan - Develop a path to sustainability including a business plan with feasible public/private financing mechanisms for ongoing information exchange. (p.52)</i>	TBD for 2011 2/8/2012 2/8/2013	
Sustainability plan endorsed by stakeholders		TBD for 2011 2/8/2012 2/8/2013	
As part of annual updates to the strategic and operational plans, the recipient must report on the status of plans to use state purchasing power to enhance the demand for care coordination and information exchange.	<i>Business Plan – Develop a path to sustainability including public/private financing mechanisms (p/12).</i>	TBD for 2011 2/8/2012 2/8/2013	
Technical Infrastructure			
Implement statewide technical infrastructure as described in state's ONC approved plan	<i>Technical Infrastructure - Develop or facilitate the creation of a statewide technical infrastructure that supports statewide HIE. HIE Services include: Electronic eligibility and claims transactions; Electronic prescribing and refill requests; Electronic clinical laboratory ordering and results delivery; Electronic public health reporting (i.e. immunizations, notifiable laboratory results); Quality reporting; Prescription fill status and/or med fill history; Clinical summary exchange for care coordination and patient engagement.</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans	
Statewide technical infrastructure integrates with state-specific Medicaid management information systems		Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans	
Statewide technical infrastructure integrates with regional HIEs using NHIN standards		Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans	
Statewide technical infrastructure captures clinical requirements of healthcare providers of low income, longterm care and underserved populations		Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans	
Shared services offerings determined and developed consistent with state's ONC approved plan		<i>Shared Services – Develop or facilitate the creation and use of shared directories and technical services, as applicable for the state's approach for statewide HIE. (p.55)</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
State technical infrastructure aligns with HHS adopted interoperability standards		<i>Interoperability and Certification – Technical infrastructure leverages the appropriate HHS adopted standards and certifications for health information exchange.</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
Plan for maintaining alignment with NHIN core services and specifications established and on track - applies to inter-HIO exchange (intra-state and inter-state)		<i>Federal Healthcare Provider Exchange Architecture – Technical architecture aligns with NHIN core services and specifications.</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
As part of annual updates to the strategic and operational plans, the recipient must report on the status of plans to create web-enabled state level directories, supporting standards-based directory queries, including health care provider directories, health plan directories, and licensed clinical laboratories.			Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
As part of annual updates to the strategic and operational plans, the recipient must report on the status of demonstrations of provider and patient authentication services.		TBD for 2011 2/8/2012 2/8/2013	

Business and Technical Operations		
Alignment between State Medicaid HIT Plan (SMHP) and statewide HIE plan. The recipient must also confirm that the State Medicaid Director (SMD) supports the Medicaid content in the HIE Strategic and Operational Plans as a required sign-off. In order to demonstrate coordination and alignment, the recipient must provide ONC with a letter of support from the State Medicaid Director.	<i>Medicaid and Public Health Alignment - Coordinate and align efforts to meet Medicaid and public health requirements for HIE & meaningful use criteria. (p. 13)</i>	Ongoing requirement with initial confirmation 60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Alignment between public health requirements and statewide HIE plan. The recipient must also confirm that the State Public Health Administrator approves the content in the HIE Strategic and Operational Plans as a required sign-off.		Ongoing requirement with initial confirmation 60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Collaboration with relevant Federally qualified health centers (FQHC) or health center controlled networks (HCCN) to support the statewide HIE plan.	<i>Alignment with ARRA – Statewide HIE efforts are aligned with other federal programs. (p.30, 52, 54)</i>	Ongoing requirement with initial confirmation 60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Collaboration with relevant Regional Extension Centers (Regional Centers) to support the statewide HIE plan.		Ongoing requirement with initial confirmation 60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Project management protocols implemented and, as necessary, reviewed and updated	<i>Monitoring Capacity - Monitor and plan for remediation of the actual performance of HIE throughout the state. (p. 13)</i>	Ongoing requirement
State or State Designated Entity is monitoring and reporting on all required program evaluation metrics		Ongoing requirement with reporting due according to schedule outlined in the original notice of award and additional ONC guidance
All staff positions filled consistent with state's ONC approved plan	<i>Staffing – Establish and maintain adequate staff to effectively operate statewide HIE functions. (p.54)</i>	Ongoing requirement with initial confirmation 60 days from date of Strategic and Operational Plans approval notification (i.e., 60 days from date of this revised notice of grant award)
Communications strategy implemented to effectively communicate with stakeholders and the health community.	<i>Communications – Effectively communicate with key stakeholders and the health community. (p.37)</i>	Ongoing requirement
Legal/Policy		
Privacy policies are updated as needed to reflect new flow and uses of protected health information and any new obligations of patients	<i>Harmonization – Identify and harmonize legal and policy requirements that enable appropriate HIE. (p.13)</i>	Ongoing requirement
Statewide Policy Framework established and submitted to ONC	<i>Statewide Policy Framework – Establish a statewide policy framework that allows incremental development of HIE policies over time. (p.13)</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
Statewide Policy Framework endorsed by stakeholders		Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
Privacy policies, procedures and trust agreements allow incremental/adaptable development of HIE policies over time		Ongoing requirement

Enforcement mechanisms have been implemented and are actively maintained that ensure appropriate safeguards are in place and adherence to legal and policy requirements	<i>Enforcement – Implement enforcement mechanisms that ensure appropriate safeguards are in place and adherence to legal and policy requirements. (p.13)</i>	Ongoing requirement, with specific targets as identified in approved Strategic and Operational Plans
As part of annual updates to the strategic and operational plans/as a separate report, on the implementation and evaluation of policies and legal agreements related to HIE submitted to ONC	<i>Implementation and Evaluation – Policies and legal agreements are implemented and evaluated as a part of annual program evaluation. (p.13)</i>	TBD for 2011 2/8/2012 2/8/2013
Within three months of ONC approval of the State Plan, the recipient must begin executing their plan to remove regulatory and policy barriers identified in the analysis conducted as part of the State Plan and also use regulatory authority to advance standards compliance and trading partner participation in HIE.	<i>State Roles – States are to use their authority, programs and resources to remove barriers and create enables for HIE. (p.8)</i>	6/20/2011
Outcomes and Performance Measures		
Establish performance benchmarks for HIE enabled state level technical services, following future ONC provided program guidance.	<i>Outcomes and Performance Measures – Monitor and maintain a targeted degree of participation in HIE enabled state level technical services. (p.31)</i>	Ongoing requirement, with delivery dates to be established through future ONC guidance
Recipient submits a report to ONC on statewide HIE alignment with other federal programs.	<i>Alignment with ARRA – Statewide HIE efforts are aligned with other federal programs. (p.30, 52, 54)</i>	TBD for 2011 2/8/2012 2/8/2013
For each year of award, the recipient participates in the nationwide HIE program evaluation.		Ongoing requirement
Training and Technical Assistance		
Recipients are required to participate in NHIN Governance Training. Further guidance will be provided by ONC.		Ongoing requirement
Recipients are required to review updates to the statewide HIE toolkit modules as new guidance is announced. Further guidance will be provided by ONC.		Ongoing requirement
Other		
Grantee must submit to ONC updated measures on lab and pharmacy connectivity rates.		12/10/2011
Grantee must submit to ONC the actual measures of success for achieving meaningful use requirements through Phase I implementation.		12/10/2011
Grantee must demonstrate the meeting of established benchmarks, in Phase I prior to moving to Phase II.		As required
Grantee must submit to ONC and get approval of an updated Phase II plan for robust exchange services based on lessons learned and successfully meeting benchmarks and performance measures for phase I prior to implementation of phase II.		As required