



Identity and Access Management in Health IT: Educational Webinar

November 1, 2011



A Collaborative Effort by the NASCIO Health Care Working Group
and the NASCIO State Digital Identity Working Group

November 1, 2011
3 p.m. EST

NASCIO Educational Webinar

Our Panel of Speakers

Opening Remarks and Introductions:

- **Doug Robinson**, Executive Director of NASCIO

Presenters:

- **Thomas Baden**, CIO of the Minnesota Department of Health Services
- **John Paulson**, CIO of the Minnesota Department of Health
- **David Mix**, HIT/MITA Program Manager at the Virginia Department of Medical Assistance Services
- **Mike Farnsworth**, CAS Project Manager at the Virginia Department of Motor Vehicles

About NASCIO

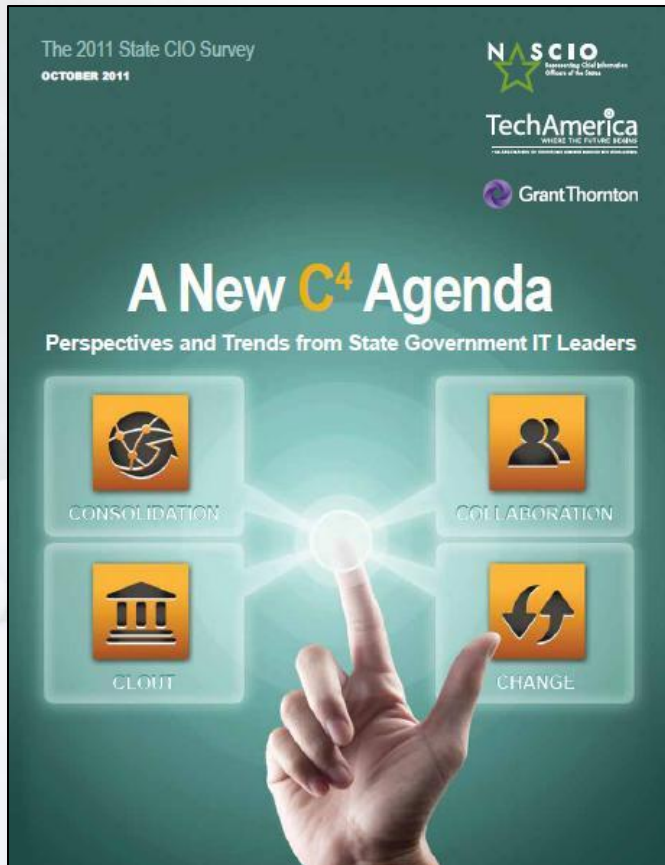
- National association representing state chief information officers and information technology executives from the states, territories and D.C.
- NASCIO's mission is to foster government excellence through quality business practices, information management, and technology policy.
- Founded in 1969 - we're a legacy system



State IT Landscape Today

- ✓ **Tough Times:** dealing with slow fiscal recovery, forced budget reductions, personnel actions
- ✓ CIOs seeking IT operational **cost savings** and alternative IT sourcing strategies
- ✓ Opportunities for change and innovation
- ✓ Living with the past - modernizing the **legacy**
- ✓ IT security and **risk!** Game has changed
- ✓ IT **workforce:** retirement wave, skills, recruiting
- ✓ State CIO transitions

2011 State CIO Survey Highlights



- Budgets continue to drive action
- Roles are changing
- Consolidation has broad appeal
- Health care cannot be ignored
- Mobility is on the move

State CIO Priorities for 2012

1. **Consolidation / Optimization:** centralizing, consolidating services, communications and marketing "enterprise" thinking, identifying and dealing with barriers
2. **Budget and Cost Control:** managing budget reduction, strategies for savings, reducing or avoiding costs, dealing with inadequate funding and budget constraints
3. **Governance:** improving IT governance, data governance, partnering, inter-jurisdictional collaboration, industry advisory boards, legislative oversight - achieving proper balance, agencies participating as members of a "state enterprise"
4. **Health Care:** the Affordable Care Act, health information and insurance exchanges, health enterprise architecture, assessment, partnering, implementation, technology solutions, Medicaid Systems (planning, retiring, implementing, purchasing)
5. **Cloud Computing:** scalable and elastic IT-enabled capabilities provided "as a service" using internet technologies; governance, service management, service catalogs, platform, infrastructure, security, privacy, data ownership, vendor management, indemnification, service portfolio management
6. **Security:** risk assessment, governance, budget and resource requirements; security frameworks, data protection, training and awareness, insider threats, third party security practices as outsourcing increases; determining what constitutes "due care" or "reasonable"
7. **Broadband and Connectivity:** strengthening statewide connectivity, public safety wireless network/interoperability, implementing Broadband Technology Opportunities Program (BTOP) grant
8. **Shared Services:** business models, sharing resources, services, infrastructure, independent of organizational structure, service portfolio management, marketing and communications related to organizational transformation
9. **Portal:** maturing state portal, e-government, single view of the customer/citizen, emphasis on citizen interactive self-service, accessibility
10. **Mobile Services/Mobility:** devices, applications, workforce, security, policy issues, support, ownership, communications, wireless infrastructure

Italics: New to list for 2012

Source: NASCIO State CIO Survey, October 2011

Priority Technologies, Applications and Tools

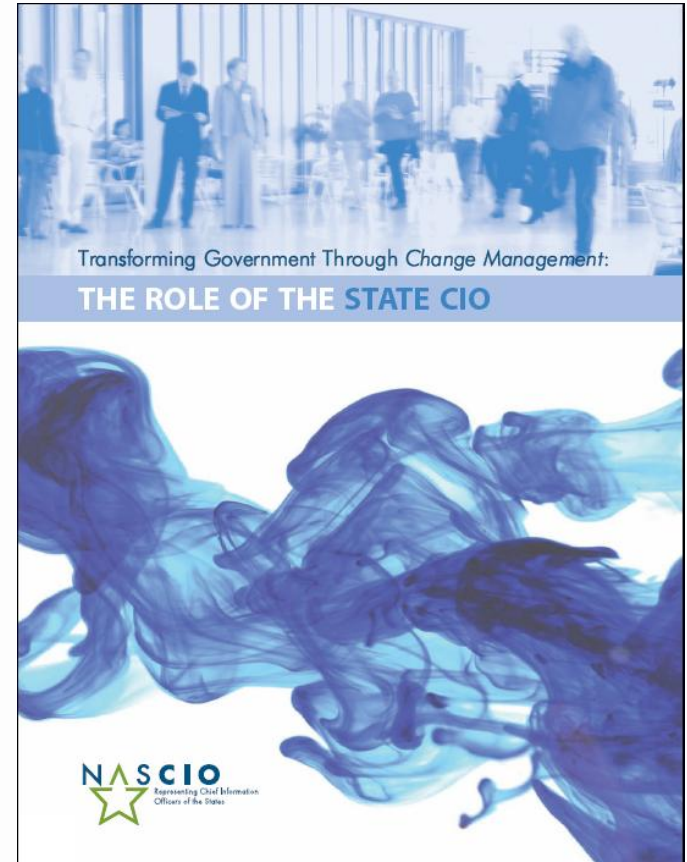
1. **Virtualization:** servers, desktop, storage, applications, data center
2. **Legacy application modernization / renovation**
3. **Cloud computing:** software as a service, infrastructure, platform, storage
4. **Mobile workforce technologies**
5. **Networking:** voice and data communications, unified
6. **Enterprise Resource Planning (ERP)**
7. **Identity and access management**
8. **Business Intelligence (BI) and Business Analytics (BA) applications**
9. **Document/Content/Records/E-mail management:** active, repository, archiving, digital preservation
10. **Public Safety Radio Network**

Source: NASCIO State CIO Survey, October 2011

State CIOs Recognize the Challenge

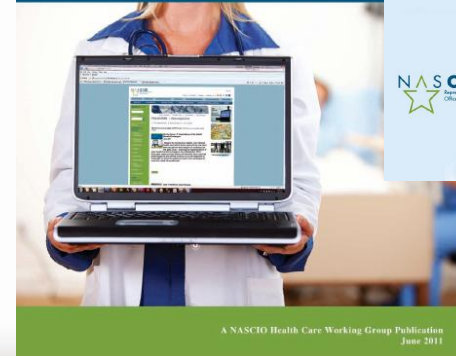
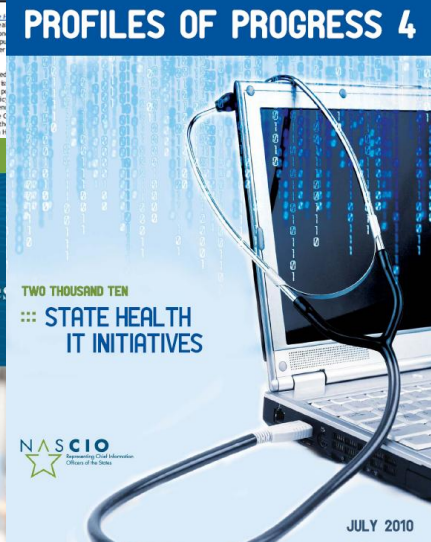
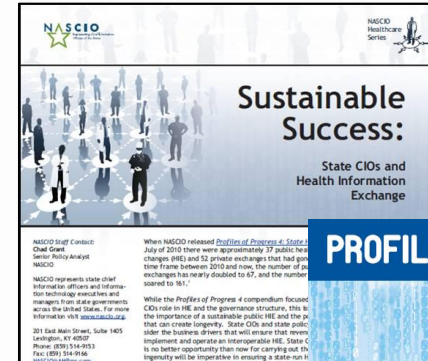
“Every aspect of our work across the states and with NASCIO has a dependency directly related to identity and credential management.”

- Stephen Fletcher
NASCIO Past President and
Chief Information Officer, State of Utah



States, Health Care and IT

- Recovery Act, HITECH funding, PPACA and state responses
- Stakeholder collaboration to achieve HIE interoperability
- Legal, regulatory and administrative barriers
- Data architecture
- Security and privacy concerns
- Health insurance exchanges
- Medicaid cost control



Why Identity Management in Health IT is a Top Priority



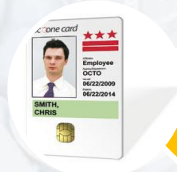
Supports national framework for interoperability providing interoperability and trust across multiple jurisdictions.



Promotes state enterprise approach: avoids silos, avoids proprietary solutions. Adoption of the standards will reduce redundant credentialing efforts and expenditures.



Follows the great work the states have led in improving drivers license issuance. FIPS 201 has a standardized identity proofing process and standardized issuance procedures. Provides strong proof of cardholder identity.



Supports multiple applications & legacy infrastructure: issue once, use many times.



Enables standards-based provisioning of access management and auditing

Digital Identity and the States

- States - nucleus of identity for individuals
- Identity - basis for providing services and sharing data across agencies
- Issue identity credentials - too many!
- Create identity silos
- Lots of technical, operational, policy and legal questions to resolve

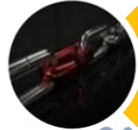
States need a national framework for interoperability: a trusted federated identity model



Looking Ahead



Collaborate on building an identity ecosystem...2016?



Support the emphasis on Chain of Trust



Leverage Federal initiatives: more steering, less rowing?



Identity implications of healthcare reform?



Demand for secure identities by citizens



Extending the enterprise: Federal, state and local?

Identity and Access Management in Health IT

*Thomas Baden, CIO of the Minnesota Department of
Human Services*

*John Paulson, CIO of the Minnesota Department of
Health*

11/1/2011

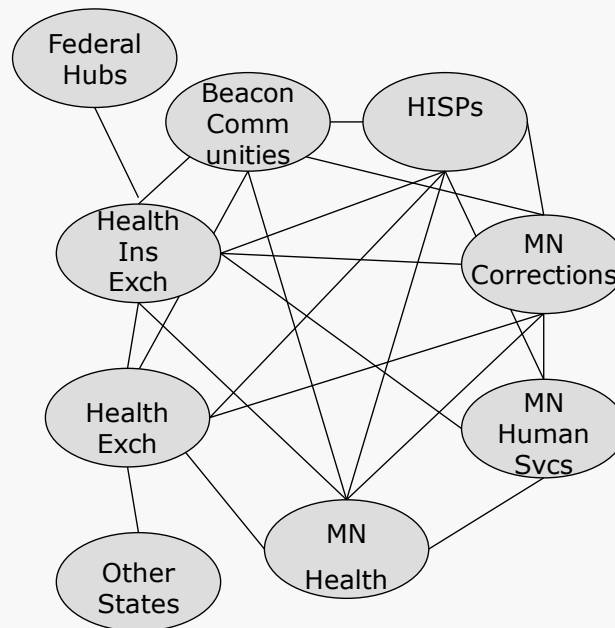
Minnesota Identity and Access Management strategy in Health IT

- The Problem to be solved
- Benefits of the solution
- Barriers to implementation
- The Minnesota Strategy for Identity in Health IT Strategy

IAM in Health IT

What is the IAM Health IT problem

Too many inconsistent identities



A *simplified* view of the current complexity

Benefits of a Minnesota Identity and Access Management strategy in Health IT

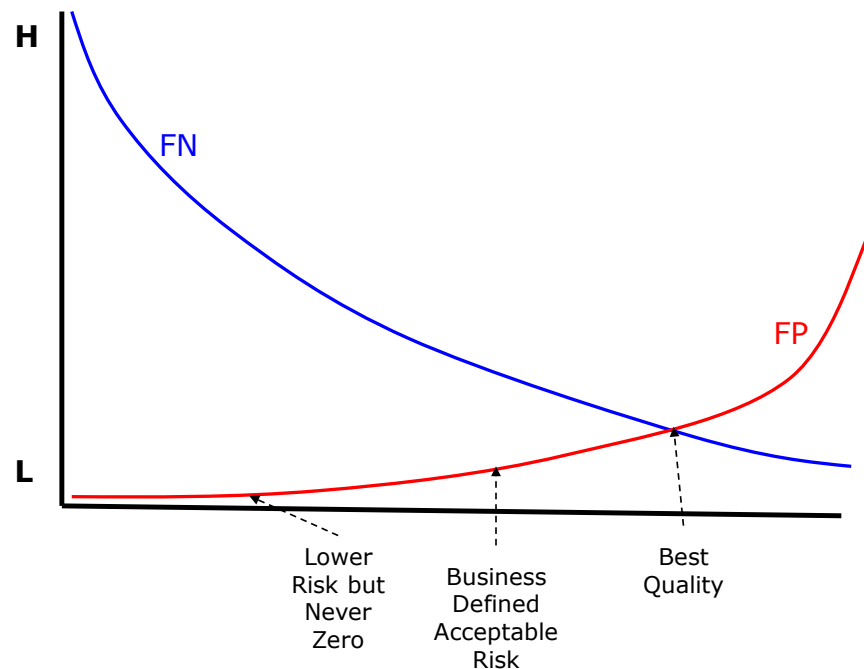
- Efficiency
 - Fewer point to point identities to maintain, support, and operate
 - Fewer Data Use Agreements to create and manage
 - Less resource cost in total, but more total resources for a very robust system.
- Privacy
 - More focused resources around standard and trusted processes and systems. Improved privacy and security profile
- Improved Health Outcomes
 - Identity Consistency leads to fewer errors
 - More Health resources on Health vs. Identity

Barriers to implementation of a Minnesota Identity and Access Management strategy in Health IT

- Funding
 - Budget pressures in general
 - Funding for most Health activities is Grant and Silo based targeted towards areas, not the enterprise
- Organizational
 - Many Health organizations or divisions are focused on their service, rather than the enterprise. Identity management is not seen as strategic to the organization
- Privacy and data practices
 - Many privacy and data practice concerns must be addressed for all constituents
 - No citizen ID can be stored at some agencies. Linking will always be a difficult process.

Identity has larger scope than privacy, security and authorization. When there is no “ID” there will be this Health Care information quality trade-off.

The Quality False Positive & False Negative Tradeoff



Practical Implications

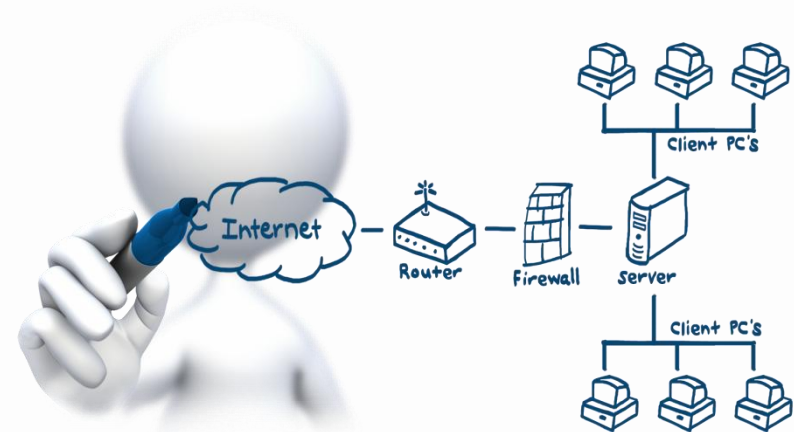
- Diverse set of actors
 - Individuals
 - State, county staff
 - Providers (provider staff)
- Application portfolio complexity
 - Integration (legacy to service orientation)
 - Infrastructure life cycle
 - Directory design and architecture
 - Delegated administration
 - Compliance proactive and reactive controls
- Entry and exit barriers
 - Governance structure
 - Architecture
 - Effort contribution
 - Implementation and total cost of ownership
 - Exit-ability



Integrated Service Delivery

- Simplicity
- Flexibility
- Efficiency
- Responsiveness
- Effectiveness

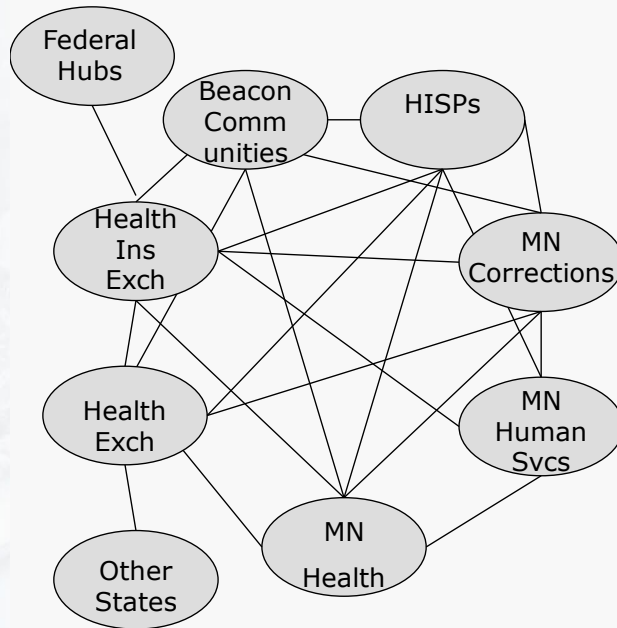
- No wrong door
- Self directed
- Outcomes based
- Fully integrated Health & Human Services



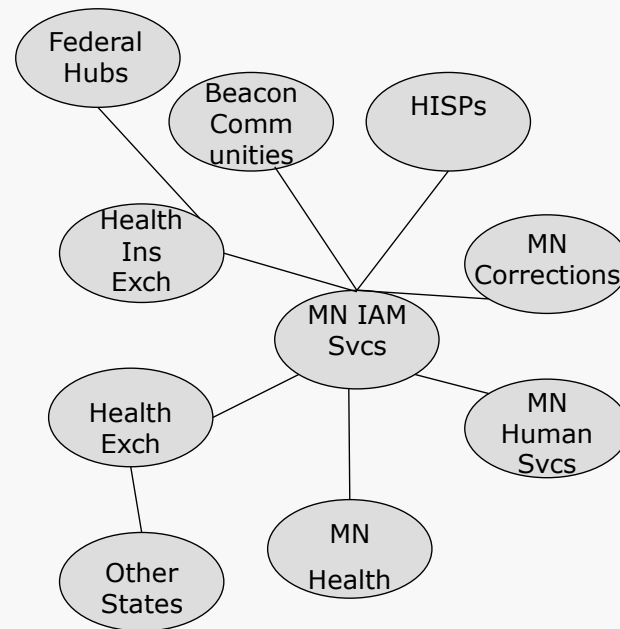
IAM in Health IT, the Minnesota Strategy

Why a MN State IAM Service

Fewer, more consistent, more trusted, more accurate identities



A simplified view of the current complexity



An optimistic view of the what we could do
As part of a broader State IAM Framework

Status of a Minnesota Identity and Access Management strategy in Health IT

- State Funding
 - The Minnesota Office of Enterprise Technology purchased and implemented a Minnesota State IAM system (production target December 2011). Part of broader MN State trust framework.
 - Minnesota Department of Health and Minnesota Department of Human Services are charter members of the State IAM Steering Committee
 - Operational funding strategy has been determined and is in place.
- Organizational
 - MDH and DHS are targeting pilot programs to test the State IAM system.
 - MDH and DHS are discussing shared identity systems and next steps
 - MDH and DHS will need to pursue agency funding in FY 2013
- Privacy and data practices
 - Data practice and data privacy discussions are just beginning.

Identity and Access Management in Health IT

*David Mix, HIT/MITA Program Manager at the Virginia
Department of Medical Assistance Services*

*Mike Farnsworth, Commonwealth Authentication Service
(CAS) Project Manager at the Virginia Department of
Motor Vehicles*

Business Drivers

- Coordinated Federal and State efforts are addressing health care reform. These efforts are being driven by the American Recovery and Reinvestment Act (ARRA) and the Patient Protection and Affordable Care Act (PPACA). Further, there is significant Federal funding assistance available to the states from these Acts.
 - Relevant provisions in ARRA provide funding for the Health Information Exchanges (clinical information exchanges) as well as a provider incentive program for hospitals and professional practices to adopt, implement, or upgrade and meaningfully use certified electronic medical record systems (EMR).
 - Relevant provisions in PPACA include funding an expansion of Medicaid (~40%+ increase in members), the Health Benefit Exchange (insurance exchange), Federal subsidies for purchasing of health insurance, and an enhanced match for the States to replace/renovate their eligibility systems to support a streamlined eligibility process necessary to support a Health Benefit Exchange.

Virginia Strategy

- Leverage the Centers for Medicare and Medicaid Services (CMS) Medicaid IT Architecture (MITA) framework as core strategy to address both ARRA and PPACA requirements
 - Adopt MITA vision (self-directed services)
 - Look at requirements from an enterprise perspective
 - Use MITA State Self Assessment process to align efforts to Federal direction
 - Maximize Federal funding assistance
- Establish Secretariat level HIT/MITA Program office to coordinate efforts
- Leverage Virginia's existing assets
 - Collaborate on identity management efforts
 - Virginia Department of Motor Vehicles
 - Health information exchange
 - State agencies
 - VITA provides enterprise infrastructure
 - Governance, standards, competency centers (new), hosting, disaster recovery, strategic planning, help desk, cost allocation/rate setting, IT procurement/project approval, project management
 - Strategic planning at Secretariat level with State Agency alignment begins to reflect migration path to enterprise interoperability
 - Legacy systems can interoperate on the enterprise using standards-based services/interfaces
- Enterprise technical infrastructure becomes an enabler of business transformation

Trusted Use of IDM

- Authentication improvements are needed
 - Fragmented processes for authentication lead to benefits fraud and problems with traceability
 - These problems will worsen in the future as more transactions will continue to occur online instead of face-to-face
 - Government resources are scarce as population and benefits programs grow
- Private sector authentication benefits not typically seen in government
 - Private sector authentication resulted in lower administrative costs, reduced theft and better/cheaper service to customers
 - Not using this technology results in losses
- Authenticate correctly out of the gate then the remaining process simply works

Interoperability

- Multiple Identity Providers (IDP)
 - Public and Private
 - Federal and State
- Many Relying Parties (RP)
 - Truly a collaborative effort
- Ties to other bridges
 - Success is in the numbers
- Standards based implementation
 - Ensures streamlined adoption
 - Narrows the gap from complex to simple
 - Standards are emerging

Adoption

- Already prevalent in some industries (Aerospace, Defense)
- Health IT serves as avenue for implementation
- Uncertainty
 - Comfort Level
 - Risk Tolerance
- Difficulty
 - Tighter resource and budget constraints
- Return on Investment
 - Is it worth it in the long run?

Where We Are

- Commonwealth Wide Initiative
 - DMV, VITA, DSS, DMAS, DHP, VDH
- Health IT as Primary Driver
 - Health Information Exchange
 - Social Services Benefits Self Service
- DMV Primary Identity Provider
 - In-Person Proofing
- Multi-Phase Approach
- Alignment to other initiatives

Questions?

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A Call to Action:
Information Exchange Strategies for Effective State Government

NASCIO Staff Contact:
Lisa Swanson
Senior Strategic Advisor
NASCIO

NASCIOPartners can assist information exchange and information technology issues. Information exchange is a government activity. Contact them for available material via info@nascio.org

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NASCIO Recommends: State Government Adopt the National Information Exchange Model (NEM) to Enable Government Information Sharing
April 26, 2011

The National Information Exchange Model (NEM) provides a broad range of products and capabilities for planning and engineering enterprise-wide information exchange. Government effectiveness and efficiency require government services to be effective in the areas of collaboration and interoperability. Use of national standards will avoid redundant investment and unnecessary variation. What is needed is a common digital infrastructure that is employed by all government lines of business. The National Information Exchange Model (NEM) sets a path for the federal, state, and local government.

NASCIO recommends that state government adopt NEM capabilities as a component of state government enterprise architecture and data management strategy. This brief will provide some of the history and rationale for NEM, the status of NEM, success stories, and guidance on how to get started. The appendix presents a number of relevant references.

In general, NASCIO recommends that state governments:

- Learn how to plan an information exchange and how to use data support through operational and technical staff members.
- Train: Take advantage of NEM training - online and on-site.
- Engage: Use NEM, leverage NEM national support.
- Grow: Gain knowledge, experience and skills through ongoing National Information Exchange Model (NEM) training.
- Stay connected to the NEM site for new developments, as well as continue adoption across government.
- Promote NEM for government interoperability by adopting Government Enterprise Architecture, Data Management and Interoperable NEM into Project Management and Procurement.
- Explore and Evaluate: Initiate line of business relationships to agency service delivery.

State IT Workforce: Under Pressure

NASCIO
Representing Chief Information Officers of the States

January 2011

A National Survey of the State IT Workforce

NASCIO Healthcare Series

State CIOs and Health Information Exchange

PUBLISHED BY PUBLIC TECHNOLOGY INSTITUTE

CIO Leadership for State Governments:
Emerging Trends and Practices

Change Transition Handbook
NATIONAL ASSOCIATION OF STATE CHIEF INFORMATION OFFICERS

On the Fence:
IT Implications of the Health Benefit Exchanges

A NASCIO Health Care Working Group Publication
June 2011

Sustainable Success:
State CIOs and Health Information Exchange

When NASCIO released *Profiles of Progress: A State Health IT Initiatives in July of 2010* there were approximately 37 public health information exchanges (HIE) and 52 private exchanges that had gone live. During the short time frame between 2010 and now, the number of public health information exchanges has nearly doubled to 67, and the number of private HIEs has soared to 91.

While the *Profiles of Progress* compendium focused on the various CIOs role in HIE and the governance structure, this issue brief will focus on the importance of a sustainable public HIE and the possible revenue that can create long-term. State CIOs and state policy officials need to consider the business drivers that will ensure that revenue needed to implement and operate an interoperable HIE. State CIOs recognize it is no better opportunity than now for carrying out these goals, the urgency will be imperative in ensuring a state-run HIE is independent when public grants may no longer be available.

Measure Twice, Cut Once
While the goal of the health care stakeholder community has been to create the interoperability of individual identifiable data in a secure and efficient manner, the reality is that states will need additional federal funding to meet these goals. The Health Information Technology Economic and Clinical Incentives Act (HITECH) section of the American Recovery and Reinvestment Act of 2009 (ARRA) helped provide the initial grant to make this goal a reality and also included direct funding to the state-designated entities (SDEs) to establish health information exchange (HIE) in areas where there are limited options. In August 2010, the Office of the National Coordinator (ONC) completed the first round of the State HIE Cooperative Agreement Program awarding state, eligible territories, and qualified state designated entities awards. In order to receive the grant money states were required to submit state strategic and operational plans and are required to submit state sustainability plans to ONC by 2012. ONC has committed to submit

Capitals in the Clouds
The Case for Cloud Computing in State Government Part I: Definitions and Principles

NASCIO Staff Contact:
NASCIO
Representing Chief Information Officers of the States

State Cyber Security Resource Guide
AWARENESS, EDUCATION AND TRAINING INITIATIVES
October 2011

SECURING GOVERNMENT IN A DIGITAL WORLD.

A New C⁴ Agenda
Perspectives and Trends from State Government IT Leaders

CONSOLIDATION
COLLABORATION
CIO/IT
CHANGE

Sustainable Success: State CIOs and Health Information Exchange

The 2011 State CIO Survey
OCTOBER 2011

NASCIO
TechAmerica
Grant Thornton

State government is actively pursuing cloud computing as an innovation that can drive distinct and growing progress. What is pushing government leaders towards embracing cloud computing is the May 2011 National Association of State Budget Officers (NASBO) report on state government spending. The report shows that state governments are spending less on IT services than in previous years. This is a significant challenge for state governments as they seek to maintain their IT infrastructure while reducing costs. The report also highlights the importance of IT in state government operations and the need for state governments to invest in IT to improve their services to citizens. The report also notes that state governments are increasingly turning to cloud computing as a way to reduce IT costs and improve their IT services. This is a trend that is expected to continue in the coming years. The report also highlights the importance of IT in state government operations and the need for state governments to invest in IT to improve their services to citizens. The report also notes that state governments are increasingly turning to cloud computing as a way to reduce IT costs and improve their IT services. This is a trend that is expected to continue in the coming years.