HIT Policy, Standards and Guidelines

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Class Website

• www.vivaafrica.info
Objectives of the Session

• to ensure that students understand to develop, implement and maintain HIT policy

• to enable students understand the basic framework to guide policy initiation, development, rollout, monitoring and retirement in organizations (eg. Health institutions)
HIT/HIS Policy

• Policies are high level statements which ensure or guide compliance in Healthcare Institutions.
  – In relation to IS/IT strategy, policy may ensure compliance to the strategy
  – IS Security policy consists of high level statements relating to the protection of information and information producing resources across the business. It is critical that this is produced by or in consultation of top/senior management.
  – HIT policies articulate the firm's vision, strategy, and principles as they relate to the use of information and information technology resources.
HIT Policy Development and Administration Framework

*Guidelines to support HIT Policy Development, Implementation and Maintenance:*

This is outlined as follows…
Outline of Framework

1. Authorization and Scope
2. Rationale
3. Principles
4. Roles and Responsibilities
5. HIT Policy Governance and Approval
6. Stakeholder Involvement
7. HIT Policy Structure and Criteria
8. Approach and Publication
9. HIT Policy Life Cycle Process
10. Definition of Terms

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Information Systems Policy and Strategy – Dr Richard Boateng [richard@pearlrichards.org]
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Authorization and Scope

Whose Responsibility for management of policy?
What is the Scope of the policy?

The responsibility for HIT Policy management has been assigned to Information Technology Department of the hospital. This includes:

1. Coordination of HIT Policy and underlying development, dissemination, and education.
2. Review and analysis of existing policies for continued applicability and effectiveness.
3. Interpretation of current policy related to specific issues, situations and incidents.

Scope: The HIT Policy framework covers all departments of the hospital. It applies to all users of the hospital’s IT resources, including patients, healthcare staff (junior and senior), healthcare professionals and sponsored or guest users.
Rationale

What are the objectives of the policy?

IT policies **articulate** the hospital's vision, strategy, and principles as they relate to the management and use of **information** and **information technology resources**, while supporting core practice, research, and teaching and learning missions.

Further, IT policies also ensure **compliance** with applicable laws and regulations, promote operational efficiency, and manage institutional risk by specifying requirements and standards for the consistent management of IT resources in the hospital and as specified the Ghana Health Service, allied agencies and departments and the World Health Organization.
Principles
What are guiding principles for development and maintenance of the policy?

The HIT Policy structure and process employ the following principles:

1. Initiation Criteria
2. Initiation Process
3. Action-Oriented Living Document
4. Decentralization and Centralization Development Approach
5. Interactive and Transparent Development Process
6. Flexibility with Focus on Functionality
7. Implementation and Interpretation
Principles

What are guiding principles for development and maintenance of the policy?

The HIT policy structure and process employ the following principles:

1. **Initiation Criteria**: Policy work shall be initiated when there is a compelling need for new or revised policy. Triggers may include new technologies, new laws or regulations, or operational or compliance needs that are not appropriately covered by existing policies or guidance.

2. **Initiation Process**: Any unit of the hospital may request consideration of new HIT policies or changes to existing policies that apply institution-wide; the process to be followed for such consideration is outlined in this HIT policy development and administration framework.

3. **Action-Oriented Living Document**: Policies and guidance shall be implementable and sustainable. Impact analysis on both HIT systems and end-users should be included in the policy planning and review processes.

Principles

What are guiding principles for development and maintenance of the policy?

4. **Decentralization and Centralization Development Approach:** HIT policy development shall be accomplished via individual workgroups convened to address specific topics. Each team will include appropriate **subject matter experts**. The HIT Department will provide a **central coordination** function to ensure consistency and to address policy dependencies.

5. **Interactive and Transparent Development Process:** The policy development process shall be transparent. **Input from stakeholders** will be addressed and/or incorporated **throughout** the process. **Preliminary/interim** policies and guidelines will be **posted** and **disseminated** to solicit **feedback**.
Principles

What are guiding principles for development and maintenance of the policy?

6. **Flexibility with Focus on Functionality:** The policy development process shall be flexible. Circumstances may necessitate the *publishing of best practices* as a stop-gap to provide immediate guidance while a policy is being developed, vetted, and approved. In other cases, a policy may be established with detailed guidance to be provided at a later time.

7. **Implementation and Interpretation:** Hospital-wide policies shall be considered a floor, not a ceiling. Unit-level policies, guidelines, standards, or procedures may be developed to supplement hospital-wide guidance. They must meet the minimum criteria set forth in hospital-wide policies and related guidance, but may be more restrictive.
Roles and Responsibilities

Who will do what?

The roles and responsibilities defined below represent the staff positions or groups most directly involved in HIT Policy development.

- **Chief Information Officer (CIO):** The CIO has overall responsibility for HIT Policy and policy development, and approves new and revised standards and guidelines based on the recommendation of the Chief Information Security Officer.

- **Chief Information Security Officer (CISO):** The CISO works with the IT Department Staff to ensure protection of health information and health information producing resources across the business.
Roles and Responsibilities

• **HIT Department:** HIT Department will serve HIT Policy and compliance staff and provide overall direction for the HIT Policy function, including responsibilities for identifying and prioritizing policy needs, ensuring *appropriate involvement* in policy development, and *conducting research and benchmarking* for emerging policy development. The department provides *day-to-day staff support* for the policy development function.

• **Hospital IT Council:** The Council consists of representatives from all departments in the hospital. They will guide the CIO and CISO to provide ongoing *oversight and direction* for HIT Policy program; *sets policy development priorities*; and *reviews* and *approves* new or revised policies as the first level of governance approval.
**HIT Policy Governance and Approval**

How and Who governs the policy development and review?

The different levels of governance review and vetting of policies, standards and guidelines.

1. **CISO**: Initial review of policies, guidelines, and standards
2. **HIT Department**: First level of governance review for IT policies, standards, and guidelines
3. **CIO**: Second level of governance review for IT policies; final approval of guidelines and standards before adoption and dissemination to campus
4. **HIT Council**: Third level of governance review for IT policies; new or substantially revised policies require IT Council approval
5. **Hospital Executive Committee**: Final level of governance review for IT policies; policies recommended for adoption as a new or revised Standard Practice Guide require approval of the Executive Committee.

Stakeholder Involvement

Who will be involved?

**Hospital stakeholders** will be engaged throughout the HIT Policy development process—in both individual and group settings—to ensure that all appropriate perspectives are accounted for and incorporated as feasible in final versions of new or revised policies, standards, and guidelines. HIT Department will maintain a list of potential stakeholders to be involved at various stages in the HIT Policy life cycle process.

**Specific individuals and groups** will be identified during the planning and initiation phase of a given policy, standard, or guideline. Membership in policy development working groups will vary based on the primary content of a policy being developed.

**Selected Patients, Guests, Regulatory Agencies, and Partner Institutions** will have opportunities to provide input and feedback on draft policies, standards, and guidelines that deal with student code of conduct amendments or have the potential to impact availability of, or access to, IT resources for students.
HIT Policy Structure and Criteria

How will they work together: policies, standards, guidelines and procedures?

**HIT Policies** articulate the hospital’s values, principles, strategies, and positions relative to a broad IT topic. They are designed to guide organizational and individual behavior and decision making. They are concise, high-level, and independent of a given technology. HIT policies are *mandatory*. *Example*: Hospital Information Security Policy

**HIT standards** specify requirements for becoming compliant with hospital IT policies, other hospital policies, as well as applicable laws and regulations. Standards may include technical specifications. Standards are *mandatory*. *Example*: IP Address Standards

**HIT guidelines** provide guidance and best practices relative to a particular IT topic. They may accompany, interpret, or provide guidance for implementing IT policies, other hospital policies, or applicable laws and regulations. Hospital IT guidelines are not *mandatory*. *Example*: Privacy and Retention of Security Logs

**HIT Procedures** document "how to" accomplish specific IT tasks or use IT services. These procedures may be localized to reflect the practices or requirements of a specific unit.

Approach and Publication

What are the procedures for dissemination?

HIT policies will be documented and considered for approval as Standard Practice Guide (SPGs).

The HIT policies, standards and guidelines, based on relevance and with regards to security policies, will be made accessible to users of the hospital’s IT resources, including patients, healthcare staff (junior and senior), healthcare professionals and sponsored or guest users.

Based on relevance, selected HIT policies, standards and guidelines will be made accessible on the hospital’s website.
HIT Policy Life Cycle Process

What is the process for development and maintenance?

1. Identification, Planning and Initiation
2. Development, Review, and Approval
3. Rollout
4. Compliance, Review and Maintenance
5. Policy Retirement

Standards and guidelines may require fewer approvals than formal policies.
HIT Policy Life Cycle Process

What is the process for development and maintenance?

Identification, Planning and Initiation

– Identify compelling need for new or updated policy/guidance.
– Determine whether the need should be satisfied by a policy, guideline, or standard – Use HIT Policy Criteria Decision Tree (see class website)
– Identify sponsorship, stakeholders, working group members and their relevant roles
– Develop high level implementation impact analysis
– Obtain approval to proceed with draft policy (or guideline, standard)
– Prioritize and schedule policy work

HIT Policy Life Cycle Process

What is the process for development and maintenance?

Development, Review, and Approval

- Draft initial policy (guideline, standard)
- Distribute to a small group of stakeholders for initial review and input
- Incorporate initial feedback
- Distribute to a larger group of stakeholders for review and input
- Post final draft on the HIT Policy web site for general feedback
- Review and, where appropriate, incorporate feedback
- Present to appropriate governance entity for approval
- Obtain approval

HIT Policy Life Cycle Process

What is the process for development and maintenance?

**Rollout**
- Post and announce guidance (policy standard, guideline)
- Conduct educational activities
- Initiate implementation activities (efforts to develop/update standards and guidelines may be needed for some new policies)
- Determine ongoing review cycle (default review cycle is annual)

**Compliance, Review and Maintenance**
- Monitor compliance and effectiveness of implemented guidance
- Review and implement modifications per annual review cycle (last revision and review dates shall be posted on each policy).
HIT Policy Life Cycle Process

What is the process for development and maintenance?

Policy Retirement

– As part of the maintenance and review process, policies, standards, and/or guidelines may be identified as out-of-date or no longer needed.
– They will be retired via the same process by which they were approved.

Standards and guidelines may require fewer approvals than formal policies.
Definition of Terms

• A definition of terms section has to be provided
• It will contain approved definitions and conceptualizations of all relevant key, controversial, social, political, medical, technologies and necessary terminologies which can threaten and impair the enactment and implementation of HIT policies, standards, guidelines and procedures.
Other Documents of Relevance

1. HIT Policy Criteria Decision Tree
Determine whether the need should be satisfied by a policy, guideline, or standard – Use HIT Policy Criteria Decision Tree (see class website)

See Class website