

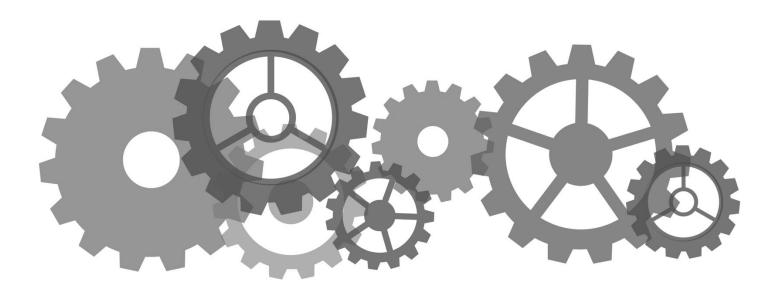
Health Information Systems Interoperability Maturity Toolkit

Assessment Tool









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MEASURE Evaluation Carolina Population Center University of North Carolina at Chapel Hill 123 West Franklin Street, Suite 330 Chapel Hill, North Carolina, USA 27516 Phone: +1 919-445-9350 | Fax: +1 919-445-9353 Email: measure@unc.edu **www.measureevaluation.org** This publication was produced with the support of the United States Agency for International Development (USAID) under the terms of MEASURE Evaluation cooperative agreement AID-OAA-I-14-00004. MEASURE Evaluation is implemented by the Carolina Population Center, University of North Carolina at Chapel Hill in partnership with ICF International; John Snow, Inc.; Management Sciences for Health; Palladium; and Tulane University. Views expressed are not necessarily those of USAID or the United States government. TI-17-03 B







INTRODUCTION

The objective of this assessment tool is to measure the status of each domain and subdomain for a health information system (HIS) that serves a country's data needs. Countries can use results from this assessment to plan for HIS activities necessary to build a strong national HIS with attendant subsystems that are able to receive and share data (interoperable).

The assessment tool is divided into sections for each subdomain in the HIS Interoperability Maturity Model. Each subdomain is defined (see Appendix B for a glossary), followed by a series of statements that are used to evaluate the country's maturity level for that subdomain. In using this tool, first, review the definition to understand what constitutes the subdomain. Then select all the statements that best describe the status of the HIS in your country or context. Use the "Evidence" column to note the reasons for selecting the statements and/or list the documents in which supporting information is given. Please see the Users' Guide in the Health Information Systems Interoperability Maturity Toolkit https://www.measureevaluation.org/resources/tools/health-information-systems-

<u>interoperability-toolkit</u>—for additional instructions on conducting the assessment, scoring the assessment, and using the results.

This is Version 1.0 of the assessment tool. We published Version 0.5 in late 2017 and updated the toolkit in January 2019 with lessons learned from early adoption by Ghana and Uganda.

DOMAIN: LEADERSHIP AND GOVERNANCE

A. Subdomain: Governance Structure for HIS

Definition: The exercise of technical, political, and administrative authority to manage national HIS affairs at all levels of a country's health system. The governance structure consists of the mechanisms, processes, and institutions through which actors and stakeholders articulate their interests, exercise their rights, meet their obligations, mediate their differences, and oversee the functioning of the HIS.

Statements	Check all applicable	Evidence
A1. Evolving governing body for health information systems (HIS) is constituted on a case-by-case basis OR no governing body exists.		
B1. An HIS governing body is formally constituted.		
B2. The governing body has a scope of work that includes the people responsible for data governance oversight.		
B3. The governing body oversees interoperability directly or through a separate technical working group (TWG).		
C1. The HIS governing body conducts regular meetings with stakeholder participation.		
D1. The HIS governing body uses a work plan (or another tool) to monitor the implementation of HIS interoperability.		
D2. The HIS governing body is government-led. ¹		
D3. The HIS governing body mobilizes resources (financial, human resources, and political) to accomplish its goals.		
E1. The HIS governing body is legally protected from interference or organizational changes. ²		
E2. The HIS governing body and its TWGs are nationally recognized as the lead for HIS interoperability.		
E3. The governing body works in liaison with other similar working groups regionally and/or around the world.		

¹Government-led: When one or more government agencies manage the calendar of events, exercise leadership by chairing meetings, maintaining records of meetings, and following up on the implementation of actions.

² Organizational changes: Changes in political leaders, restructuring within associated government ministries, agencies, or departments, or changes in personnel

B. Subdomain: Interoperability Guidance Documents³

Definition: The documents (policies, strategies, and frameworks) that guide decisions, implementation, and the course of action for HIS interoperability. They are important reference materials for stakeholders who are developing the HIS from its current status to a mature status.

Statements	Check if applicable	Evidence
A1. HIS interoperability guidance documents are absent, and HIS interoperability is implemented on a case-by-case basis.		
B1. The country has at least one of the following documents drafted to guide interoperability: interoperability strategy or policy; eHealth/digital health strategy that includes interoperability; or interoperability roadmap.		
C1. The interoperability guidance document(s) have been launched.		
D1. The interoperability guidance document(s) are government-owned.		
D2. The interoperability guidance documents are consistently used and referenced in efforts to guide implementation of HIS interoperability.		
E1. Processes are in place to regularly monitor the implementation of the interoperability guidance documents.		
E2. The interoperability guidance documents are regularly reviewed and updated based on lessons learned from implementation.		

³ The approved documents (policies, strategies, and frameworks) that guide HIS, and digital health/eHealth work in a country

C. Subdomain: Compliance with Data Exchange Standards

Definition: Adherence to organizational policies, procedures, and best practices related to HIS, including standards for data exchange, messaging, and security. It also means adherence to applicable laws, relevant industry standards, and internal policies (e.g., codes of conduct).

Statements	Check if applicable	Evidence
A1. No structures (working groups, steering committees, or units), processes, and procedures are in place to guide or enforce compliance with data exchange, messaging, and data security standards.		
B1. Structures (working groups, steering committees, or units) are in place to guide or enforce compliance.		
C1. The HIS has developed or adopted and implemented a regulatory framework for compliance.		
D1. The government enforces the regulatory framework for compliance.		
D2. The subsystems in the national HIS are required to meet compliance and certification criteria.		
E1. Compliance with standards for data exchange, messaging, and security is continuously reviewed.		
E2. The regulatory framework is reviewed and updated to reflect best practices for data exchange, messaging, and data security.		

D. Subdomain: Data Ethics

Definition: Data ethics addresses the moral dimensions of data management. This includes ensuring adherence to ethical principles throughout data generation, recording, curation, processing, dissemination, sharing, and use. Ethical practices should strive to ensure respect for the people behind the data; use of data in accordance with the intentions of the disclosing party; matching privacy and security safeguards to the expectation of individuals and populations from whom data are drawn; and following the law regarding personal health data privacy and security. These practices are also sometimes referred to as responsible data practices.

Statements	Check if applicable	Evidence
A1. The country has no healthcare-specific data laws, regulatory frameworks, or ethics provisions to guide data ethics issues, including data security, privacy, and confidentiality.		
B1. The country has drafted laws, policies, or a regulatory framework for data security and privacy that address issues related to health data.		
C1. The country has an approved health data regulatory framework.		
D1. The health data security and privacy laws have been implemented, and there are guidelines on how to operationalize the laws in the context of HIS.		
D2. HIS users have been sensitized on the data security and privacy laws.		
D3. The government and HIS stakeholders consistently enforce the data security and privacy laws.		
E1. The country has a recognized mechanism (e.g., a committee or working group) in place for reviewing data ethics issues within the national HIS, and for updating policies, procedures, and laws, as needed.		

E. Subdomain: HIS Interoperability Monitoring and Evaluation

Definition: Use of indicators/attributes from the maturity model to facilitate the tracking of inputs, processes, and outputs against desired results of HIS interoperability implementation, and using these data to make decisions.

Statements	Check if applicable	Evidence
A1. No tracking, or ad hoc tracking, is done of HIS interoperability activities related to plans, resources, and budgets for the national HIS.		
B1. The methods and tools to report on HIS interoperability implementation are defined and documented.		
C1. Implementation of HIS interoperability activities is regularly monitored and reviewed.		
C2. Regular reports on HIS interoperability performance are generated and disseminated to stakeholders.		
D1. Mechanisms to track and measure performance of HIS interoperability are government-approved and government-led.		
E1. The regular monitoring of HIS interoperability influences decisions about leadership, governance, resources, and technology.		

F. Subdomain: Business Continuity

Definition: Business continuity is the capability of the organization to continue the delivery of products or services at acceptable predefined levels following a disruptive incident. Business continuity is about devising plans and strategies that enable an organization to continue business operations, and enable it to recover quickly and effectively from any type of disruption, whatever its size or cause. Interoperability will not function as intended if the HIS and all its components do not function correctly. Therefore, business continuity of the national HIS is imperative for continuity of strong interoperability services of HIS. This includes putting in place systems for data recovery, continuity of healthcare, continuous flow of funding, staff transition plans, etc.

Statements	Check if applicable	Evidence
A1. There is no government-approved business continuity plan (BCP) in place for the national or subnational levels of the HIS.		
B1. The HIS has developed a BCP that outlines the processes needed to ensure continuity of critical business processes.		
C1. The BCP implementation has been audited.		
C2. Audit results show that at least 50% of the BCP has been implemented.		
D1. Audit results show that at least 75% of the BCP has been implemented.		
E1. Audit results show that all or most of the BCP has been implemented.		

G. Subdomain: Financial Management

Definition: The legal and administrative systems and procedures put in place permitting a government ministry and its agencies and organizations to conduct activities that ensure the correct use of public funds, and which meet defined standards of probity and regularity. Activities include management and control of public expenditures, financial accounting, reporting, and asset management, in some cases.

Statements	Check if applicable	Comments
A1. No clear plan exists for financial management of HIS, including interoperability activities.		
B1. There are budgets for national HIS, including interoperability, based on HIS workplans.		
C1. There are budgets developed for the subnational HIS, including interoperability, based on workplans.		
C2. HIS expenditures are monitored against HIS budgets.		
D1. The HIS budget is part of the Ministry of Health's budgeting process.		
D2. Regular financial audits are carried out to promote accountability in HIS spending.		
E1. An established, long-term HIS financial management system is owned, reviewed, tracked, and updated by the government, and is supported by stakeholders.		

H. Subdomain: Financial Resource Mobilization

Definition: All activities involved in securing new and additional financial resources for an organization (in this case, the HIS). It also involves making better use of and maximizing existing financial resources.

Statements	Check if applicable	Evidence
A1. There is no documented plan for financial resources for HIS strengthening, including HIS interoperability.		
B1. Financial resources for HIS strengthening, including HIS interoperability, are mostly donor driven.		
C1. A costed work plan ⁴ at national and subnational levels is in place that covers both the information and communications technology (ICT) infrastructure (network, hardware, and software) and personnel for HIS needed for HIS strengthening, including HIS interoperability.		
D1. The government and implementing partners have sufficient funding to implement the costed work plan.		
D2. The government owns the costed work plan (takes the lead in its review and updating, and leads its implementation).		
E1. The costed work plan for supporting ICT and human resources for HIS strengthening, including HIS interoperability, is long-term (five or more years).		
E2. A mechanism is in place to regularly review and update the costed work plan.		

⁴ A costed work plan identifies the activities, timeframe, costs, and sources of funding for HIS interoperability, at a minimum.

DOMAIN: HUMAN RESOURCES

A. Subdomain: Human Resources Policy

Definition: A set of principles, guidelines, and norms that an organization adopts to help manage its employees.

Statements	Check if applicable	Evidence
A1. There is no human resources policy that recognizes HIS-related cadres.		
B1. A national needs assessment has been completed showing the number of staff and type of skills needed to support HIS, including digital HIS and interoperability.		
B2. HIS-related cadre roles and responsibilities are mapped to the government's workforce and schemes of work.		
C1. A human resources policy and/or strategic plan exists that identifies the HIS, digital HIS, and interoperability skills and functions needed to support the national digital HIS.		
D1. Implementation plans are in place for growing a cadre of staff at national and subnational levels for digital HIS and interoperability.		
E1. A long-term plan is in place to grow and sustain staff with the skills needed to sustain HIS and digital HIS and interoperability.		
E2. Performance management systems are in place to monitor growth and sustainability of the HIS workforce.		

B. Subdomain: Human Resources Capacity (Skills and Numbers)

Definition: Availability of adequate personnel with characteristics, attributes, and capabilities to perform a task/set of tasks to achieve clearly defined results.

Statements	Check if applicable	Evidence
A1. The country has no dedicated cadre of staff for maintaining digital HIS and interoperability.		
B1. The country depends on technical assistance from external stakeholders to support the national and subnational digital HIS and interoperability.		
C1. The country has sufficient national-level staff with the relevant skills to support digital HIS and interoperability activities.		
D1. The country has sufficient subnational level staff with the relevant skills ⁵ to support digital HIS and interoperability activities.		
E1. A "human resources for health" strategic plan is in place to continuously upgrade staff skills continuously to reflect international best practices in digital HIS and interoperability, preferably with locally generated resources.		

⁵ Relevant skills: governance and leadership, data collection, data management, data sources, information and communications technology, and managing information products, data exchange, and HIS business continuity

C. Subdomain: Human Resources Capacity Development

Definition: An organized activity with clear learning outcomes that aims to impart knowledge and skills, shape attitudes, and develop specific competencies and capabilities in personnel.

Statements	Check if applicable	Evidence
A1. The country has no training programs to build human resource capacity on digital HIS, including interoperability.		
B1. There is a nationally-recognized pre-service training curriculum outlining competencies for human resources for digital HIS and interoperability for HIS.		
C1. A plan exists for in-service training of HIS staff to build their skills around digital HIS and interoperability, based on a nationally or internationally recognized HIS curriculum.		
D1. The country has the capacity to train enough staff to support digital HIS and interoperability, through in-country pre- service and in-service training institutions or partnerships with other training institutions.		
D2. The government and its stakeholders provide sustainable resources for health ministry staff to receive training on HIS, including digital HIS and interoperability.		
E1. Opportunities and incentives are in place for continuing education in digital HIS and interoperability for HIS-related cadre staff to keep them up-to-date as the HIS field evolves.		

DOMAIN: TECHNOLOGY

A. Subdomain: National HIS Enterprise Architecture

Definition: Enterprise architecture is a method and an organizing principle that aligns functional business objectives and strategies with an information technology (IT) strategy and execution plan. A national enterprise architecture for an HIS defines how HIS subsystems interact and exchange data, and shows the necessary services for that data exchange, such as an interoperability services layer.

Statements	Check if applicable	Evidence
A1. A national HIS enterprise architecture document defining technology requirements and data exchange formats for interoperability does not exist OR there is a draft document, but it has not been validated or shared with the country's HIS community.		
B1. A validated national HIS enterprise architecture exists that defines technology requirements and exchange formats for interoperability.		
B2. Point to point data exchange between some HIS applications exists, but there is no systematic implementation of agreed upon architecture.		
C1. The country has foundational tools and rules for HIS interoperability. They include tools such as a health information management system for routine and surveillance data, and core authoritative registries (Facility Registry, Metadata Dictionary, Master Patient Index, and Health Worker registry).		
C2. The Interoperability Services Layer (ISL) for the HIS is operational and provides core functions, such as data authentication, translation, and interpretation.		
D1. The government owns, enforces, and leads implementation of the national HIS enterprise architecture, including the ISL and core authoritative registries (Facility Registry, Metadata Dictionary, Master Patient index, and Health Worker registry).		
E1. The national HIS architecture and its ISL are fully implemented using industry standards.		
E2. The ISL provides core data exchange functions and is periodically reviewed and updated to meet the changing country data needs.		

B. Subdomain: Technical Standards

Definition: An established norm based on a set of requirements, specifications, guidelines, or characteristics that can be used consistently to ensure that digital health systems, health information services, and processes are appropriate for their purpose. Standards provide a common language and set of expectations that enable interoperability among systems and/or devices. The technical standards include standards for data exchange, transmission, messaging, security, privacy, and hardware.

Statements	Check if applicable	Evidence
A1. No defined technical standards exist for use in the country's HIS data exchange.		
A2. Applications are hosted by the providers without any control from the government or Ministry of Health.		
B1. An HIS ICT infrastructure assessment ⁶ has been conducted and the needs for a coherent HIS ICT infrastructure architecture have been documented.		
B2. The country has adopted or developed technical standards for health data exchange, messaging, and security.		
C1. An interoperability lab ⁷ exists for new partners to test technical standards or for onboarding new HIS subsystems.		
C2. A certification mechanism exists for new HIS subsystems to be integrated in the national HIS.		
D1. Technical standards for national data exchange have been published and disseminated in the country under the government's leadership.		
D2. The ISL is orchestrating data exchange between existing HIS applications hosted by the integrated ICT infrastructure supporting the national HIS.		
E1. A routine review of standards and requirements compliance is conducted to ensure continuous integration of the various subsystems.		

⁶ Key components of this assessment should include network, hardware, governance, security, maintenance, power availability, server uptime, and software. The assessment should be conducted at the national, subnational, and facility levels.

⁷ An interoperability lab is a test software development environment in which organizations can test applications to ensure they meet the technical standards required for new HIS subsystems.

C. Subdomain: Data Management

Definition: Data management consists of the development, execution, and supervision of plans, policies, programs, and practices that control, protect, deliver, and enhance the value of data and information assets for decision making. Data management includes procedures on how data are captured, stored, analyzed, transmitted, and packaged for use across the data supply chain.

Statements	Check if applicable	Evidence
A1. No national document for data management procedures exists for the national HIS.		
B1. Electronic data management procedures ⁸ or the HIS are clearly developed and documented in a nationally recognized document.		
C1. A roadmap is in place to migrate data collection and reporting ⁹ from a paper system to an electronic system, complete with necessary data security safeguards.		
C2. A documented mechanism is in place for maintaining data quality throughout the data supply chain.		
D1. National electronic data management processes are published and disseminated for the HIS.		
D2. A standard operating procedure and/or data use plan is in place to facilitate data use by the country and its stakeholders.		
D3. A data warehouse, integrating data from all HIS subsystems and allowing for data triangulation and quality control, is fully functional and in use.		
E1. Data access and use are constantly monitored, and data management systems are updated accordingly.		
E2. Electronic data transmission is the default method to move data among information systems.		
E3. Dashboards displaying information from multiple sources are available to decision makers.		

⁸ Data management procedures are procedures on how data are captured, stored, analyzed, transmitted, and packaged for use across the data supply chain.

⁹ A data collection and reporting migration plan includes plans for how data from paper systems will be captured in the new electronic system, how data collection and reporting workflows will change, and when users will begin using the new system

D. Subdomain: HIS Subsystems

Definition: A system that collects one or more of the data sources in a national HIS. Examples include routine HIS, health management information systems, civil registration and vital statistics systems, logistics management information systems, and human resource information systems.

Statements	Check if applicable	Evidence
A1. The country's HIS mainly consists of stand-alone program- specific subsystems working in silos addressing only the basic needs (routine HIS, surveillance system, and human resources).		
B1. HIS data exchange is mainly facilitated by a single subsystem directly linked to other subsystems (integration) to enable basic data exchange.		
C1. Guidelines for compliance with technical standards for HIS subsystems interoperability with the national HIS have been disseminated.		
C2. An increasing number of HIS subsystems are web-based and integrated with the ISL following the national standards requirements.		
D1. The government requires all HIS subsystems to comply with the country's interoperability plan, including use of technical standards.		
E1. Most HIS subsystems are exchanging data electronically according to industry standards/ best practices.		

E. Subdomain: Operations and Maintenance (for computer technology)

Definition: A set of procedures to ensure a high uptime for computer hardware, software, and network resources.

Statements	Check if applicable	Evidence
A1. Operations and maintenance services for electronic systems are ad hoc or non-existent.		
B1. Maintenance for network and hardware is a mix of reactive and evolving preventive procedures.		
C1. The country is receiving technical support to build a strong in-country capacity for computer technology maintenance.		
C2. Standard operating procedures exist that detail protocols for routine network and hardware maintenance.		
D1. The country has the capacity for strong in-country computer technology maintenance.		
D2. Computer operations and maintenance services are part of the HIS plan or the country's strategic plan for health.		
D3. A disaster recovery plan for digital HIS is in place and meets best practices.		
E1. The operations and maintenance services plan is continuously reviewed and adapted to evolving HIS interoperability requirements, and follows industry-based standards.		
E2. Simulations are undertaken regularly to increase the ability of technology staff to respond to a disaster.		

F. Subdomain: Communication Network: Local Area Network and Wide Area Network

Definition: A communication network is several computers linked together to allow them to share resources. Networked computers can share hardware, software, and data. Most computer networks have at least one server. A local area network (LAN) and a wide area network (WAN) are typically distinguished by the geographical coverage of the network, with a LAN usually covering and offering services to a relatively small geographical area as compared to a WAN.

Statements	Check if applicable	Evidence
A1. The country has no reliable network connection to support a national HIS.		
B1. An ICT infrastructure assessment has been conducted to determine LAN and WAN requirements for the country's HIS.		
C1. A national implementation plan to meet the LAN and WAN requirements in the country exists.		
C2. A national network maintenance plan exists to ensure high uptime, including clear procedures to recover from network failure.		
C3. The country has begun implementing a technical solution to ensure permanent connectivity to the HIS services.		
D1. All national offices of the Ministry of Health have a strong and reliable network connection to access the various HIS network services.		
D2. At least 50% of the subnational offices of the Ministry of Health and health service providers have a strong and reliable network connection to the various HIS network services.		
D3. An HIS-dedicated ICT and network support team is in place.		
E1. All or almost all (more than 75%) of the Ministry of Health's national and subnational offices and health service providers have a reliable and robust network connection.		
E2. The network support team has adequate financial, human, and technology resources.		

G. Subdomain: Hardware

Definition: An assembly of tangible physical parts of a system of computers, including servers and virtual private networks that provide services to a user in the HIS.

Statements	Check if applicable	Evidence
A1. The country has limited/inadequate hardware (e.g., servers, computers, printers, and supportive accessories) to support a national HIS.		
B1. An ICT infrastructure assessment has been done to identify the hardware required at national and subnational levels.		
B2. Less than 50% of the Ministry of Health's national and subnational offices have the required hardware (computers, printers, connecting devices, etc.).		
C1. Fifty percent (50%) or more of the Ministry of Health's national and subnational offices have the required hardware, including back-up hardware.		
D1. Seventy-five percent (75%) of the Ministry of Health's national and subnational offices have the required hardware.		
D2. There is a back-up and recovery plan for the national HIS.		
E1. The hardware meets national and/or international specifications, and a long-term plan (five years or more) is in place that details how to keep hardware up-to-date.		



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