



# Data Exchange Framework

## Data Sharing Agreement (DSA) Policies & Procedures (P&P) Subcommittee Meeting #9

Wednesday, September 27, 2023

1:00 p.m. – 3:00 p.m.



# Meeting Participation Options

## *Written Comments*

- Participants may submit comments and questions through the **Zoom Q&A box**; all comments will be recorded and reviewed by CDII staff.
- Participants may also submit comments and questions – as well as requests to receive Data Exchange Framework updates – to [CDII@chhs.ca.gov](mailto:CDII@chhs.ca.gov).
- Questions that require follow up should be sent to [CDII@chhs.ca.gov](mailto:CDII@chhs.ca.gov)

# Meeting Participation Options

## *Spoken Comments*

- **Members of the public and DSA P&P Subcommittee Members** must “raise their hand” for Zoom facilitators to unmute them to share comments; the Chair will notify participants of appropriate time to volunteer feedback.

### Logged into Zoom

If you logged on via [Zoom interface](#)

Press “Raise Hand” in the “Reactions” button on the screen

If selected to share your comment, you will receive a request to “unmute;” please ensure you accept before speaking

### Phone Only

If you logged on via [phone-only](#)

Press “\*9” on your phone to “raise your hand”

Listen for your [phone number](#) to be called by moderator

If selected to share your comment, please ensure you are “unmuted” on your phone by pressing “\*6”

# Public Comment Opportunities

- Public comment will be taken during the meeting at designated times.
- Public comment will be limited to the total amount of time allocated for public comment on particular issues.
- The Chair will call on individuals in the order in which their hands were raised.
- Individuals will be recognized for up to two minutes and are asked to state their name and organizational affiliation at the top of their statements.
- Participants are encouraged to use the comment box to ensure all feedback is captured or email their comments to [CDII@chhs.ca.gov](mailto:CDII@chhs.ca.gov).

# Agenda



1:00 PM  
Welcome and Roll Call

1:05 PM Informational Item:  
Vision & Meeting Objectives

1:10 PM Discussion Item:  
Policies & Procedures (P&Ps)  
Development Status

1:15 PM Discussion Item:  
Data Elements to be  
Exchanged P&P

1:45 PM Discussion Item:  
Participant Directory P&P

2:40 PM  
Public Comment

2:55 PM Informational Item:  
Next Steps and Closing Remarks

# Welcome and Roll Call



# DSA P&P Subcommittee Members (1 of 2)

Name	Title	Organization
DeeAnne McCallin (Chair)	Deputy Director, Data Exchange Framework	CDII
Courtney Hansen	Assistant Chief Counsel	CDII
Ashish Atreja	CIO and Chief Digital Health Officer	UC Davis Health
William (Bill) Barcellona	Executive Vice President for Government Affairs	America's Physician Groups (APG)
Michelle (Shelley) Brown	Attorney	Private Practice
Jason Buckner	Chief Information Officer & Chief Technology Officer	Manifest Medex
Louis Cretaro	Lead County Consultant	County Welfare Directors Association of California
Matthew Eisenberg	Associate Chief Medical Informatics Officer	Stanford Health
John Helvey	Executive Director	SacValley MedShare
Sanjay Jain	Manager, Data Analysis	Health Net
Bryan Johnson	Chief Information Security Officer	CA Dept. of Developmental Services
Diana Kaempfer-Tong	Attorney	CA Dept. of Public Health
Justin Kaltenbach	Interim Chief Technology Officer	Los Angeles Network for Enhanced Services

# DSA P&P Subcommittee Members (2 of 2)

Name	Title	Organization
Helen Kim	Senior Counsel	Kaiser Permanente
Steven Lane	Chief Medical Officer	Health Gorilla
Sunny Lowell	Acting Chief Privacy Officer	CA Dept. Of State Hospitals
Lisa Matsubara	General Counsel & VP of Policy	Planned Parenthood Affiliates of California
Deven McGraw	Lead, Data Stewardship and Data Sharing, Citizen Platform	Invitae
Jackie Nordhoff	Director of Regulatory Affairs	PointClickCare
Eric Raffin	Chief Information Officer	San Francisco Department of Public Health
Mark Savage	Managing Director, Digital Health Strategy and Policy	Savage & Savage LLC
Tom Schwaninger	Senior Executive Advisor, Digital Ecosystem Interoperability	LA Care
Morgan Staines	Privacy Officer & Asst. Chief Counsel	CA Dept. of Health Care Services
Elizabeth Steffen	Chief Information Officer	Plumas District Hospital
Lee Tien	Legislative Director and Adams Chair for Internet Rights	Electronic Frontier Foundation
Belinda Waltman	Director of Analytics Integration	Los Angeles County Department of Health Services
Terry Wilcox	Director of Health Information Technology/ Privacy & Security Officer	Health Center Partners



# Speaker Introductions

## **DeeAnne McCallin**

Deputy Director, CDII

## **Courtney Hansen**

Assistant Chief  
Counsel, CDII

## **Rim Cothren**

Independent HIE  
Consultant, CDII

# Vision & Meeting Objectives



# The Vision for Data Exchange in California

Once implemented across California, the Data Exchange Framework (DxF) will create new connections and efficiencies between health and social services providers, improving whole-person care.

The DxF is California's first-ever statewide Data Sharing Agreement (DSA) that requires the secure and appropriate exchange of health and human services information to enable providers to work together and improve an individual's health and wellbeing.



# Meeting Objectives

- 1** Provide an update on **status of P&Ps in development**
- 2** Discuss proposed revisions to the **Data Elements to be Exchanged P&P**
- 3** Discuss concepts and approach for the **Participant Directory P&P**

# Policies and Procedures (P&Ps): Development Status



# P&P Status Summary

CDII continues to develop and solicit feedback on draft P&Ps.

P&P Topic	Status	To Be Covered Today
Early Exchange	Finalized, pending release	
Privacy Standards and Security Safeguards (Amendment)	Under Development (post-public comment)	✓
Requirement to Exchange HSSI (Amendment)	Under Development (post-public comment)	✓
Individual Access Services (Administrative Modification)	Under Development (public input)	✓
Data Elements to Be Exchanged (Amendment)	Under Development	★
Participant Directory	Under Development	★

✓ Informational Item

★ Focus of Discussion

# P&Ps – Aug/Sept Public Comment Period

**Between August 22, 2023 and September 18, 2023, CDII solicited public comments on amendments to two Policies and Procedures (P&Ps):**

- [Amended] Privacy Standards and Security Safeguards
- [Amended] Requirement to Exchange Health and Social Services Information (HSSI)

CDII received **over 100** individual comments during the public comment period that ended on September 18th.

CDII is currently reviewing comments to inform final P&P changes.

# P&Ps – Sept/Oct Public Input Period

CDII is proposing to make certain administrative changes to the "Individual Access Services" P&P.

- ❖ CDII is revising this P&P to ensure consistency with the DxF Glossary of Defined Terms and to clarify the use of certain terms. These revisions should not result in any change to the meaning of the P&P, or to CDII's expectations for Participants, and are otherwise not considered to be substantive.
- ❖ CDII is seeking public comment *only with respect to these administrative modifications* through a simplified process.
- ❖ Participants that object to CDII's determination that these changes are administrative may submit an objection through an online form provided on the DxF website. Objections are due by October 23, 2023.

Please see Section III.5. of the Development of and Modification to Policies and Procedures P&P for more information on the Administrative Modification Process.



# Data Elements to be Exchanged P&P



# Data Elements to be Exchanged (1 of 6)

Today's discussion covers proposed amendments to an existing P&P published in July 2022, amended (administratively) in December 2022.

## Overview

The *Data Elements to Be Exchanged P&P* establishes (1) the data elements that Participants must make available to or exchange with other Participants, (2) the standards that must be used to represent that data, and (3) the formats that must be used when exchanging that data.

Potentially substantive amendments are proposed to clarify questions raised by Participants as they ready for compliance with the P&P on January 31, 2024, and to align with other P&Ps published since December 2022.

There are no proposed changes to the data elements that Participants must provide access to or exchange.

Potential amendment of this P&P will be accompanied by administrative changes (not discussed today) to align with the Glossary of Defined Terms for consistency with other P&Ps.

# Data Elements to be Exchanged (2 of 6)

Proposed addition: Paragraph II.2.d to allow continued use of legacy formats and terminologies in existing point-to-point connections through January 31, 2026.

d. The above paragraphs notwithstanding, a Participant that uses an established point-to-point interface utilizing a legacy or proprietary standard for data element format, terminology, and/or code set different than those identified in paragraphs 2.a, 2.b, and 2.c may continue to use the legacy or proprietary standard until January 31, 2026. No later than February 1, 2026, every point-to-point interface must conform to the above identified standards.

**Rationale:** Existing interfaces provide value. The Technical Requirements for Exchange P&P allows point-to-point connections using any open technical standard. However, there is a desire to standardize format and terminology to improve semantic interoperability.

## **Questions:**

1. Should DxF allow use of formats and terminology (e.g., other than those in USCDI) that do not align with national standards?
2. Should this allowance be sunsetted, and if so when?

# Data Elements to be Exchanged (3 of 6)

Proposed addition: Paragraph II.3.c to allow continued use of legacy data standards in existing point-to-point connections.

c. The above paragraphs notwithstanding, a Participant that uses an established point-to-point interface utilizing a legacy or proprietary data format different than those identified in paragraphs 3.a and 3.b may continue to use the legacy or proprietary format.

**Rationale**: Existing interfaces provide value. The Technical Requirements for Exchange P&P allows point-to-point connections using any open technical standard, and this change may be required to make that allowance effective.

## **Questions**:

1. Should DxF allow use of data formats (e.g., flat files) that do not align with named national standards?
2. Should this allowance be sunsetted, and if so when?

# Data Elements to be Exchanged (4 of 6)

Proposed addition: Paragraph II.3.b establish a precedence for data element, terminology, and data format standards.

b. Participants shall use standardized data element formats, terminologies, and code sets identified in paragraphs 2.a, 2.b, and 2.c to the extent they are supported by the data formats identified in paragraphs 3.a and 3.b.

**Summary**: Participants must exchange specified data elements (e.g., USCDI v2) using specified terminologies (e.g., those named in USCDI), but only if those elements and terminologies are supported by the named data format standards (e.g., CDA R2).

**Rationale**: USCDI represents ONC's most recent thinking on the core data elements to be exchanged. However, not all common technical standards mandated by certification or used by nationwide networks (including TEFCA) fully support USCDI (any version).

## **Questions**:

1. Is this the correct allowance?

# Data Elements to be Exchanged (5 of 6)

For discussion: Paragraph II.3 requires the use of HL7 v2, CDA R2, or FHIR R4. CDA R2 is most common content standard for Request for Information using standards required by Technical Requirements for Exchange P&P. No CDA R2 template exists for claims.

Potential addition (not being proposed or recommended): Add a paragraph to II.3 allowing for exchange of claims using alternative standards (e.g., X12).

**Rationale**: The addition is not recommended for the following reasons:

1. X12 is not listed in SVAP, which CDII references for National and Federally Adopted Standards.
2. FHIR R4 remains a viable standard with an implementation guide for claims as FHIR is adopted.
3. The most valuable elements in a claim (e.g., filled medications, procedures, diagnoses) can be represented and exchanged using CDA R2.

**Questions**:

1. Should an alternative standard be added specifically to support health plan exchange of claims outside of the CMS requirements for patient access?

# Data Elements to be Exchanged (6 of 6)

## Next Steps

1. CDII will update the changes to the P&P based on today's discussion.
2. CDII will add administrative changes to the P&P to align with the Glossary of Defined Terms, and with the style and language used in other P&Ps published after December 2022.
3. The draft amendment will be posted (tentatively in mid-October) for public comment.
4. Issues raised in public comment that might benefit further discussion may be brought to the DSA P&P Subcommittee at the December 5, 2023 meeting of the Subcommittee.
5. CDII will finalize the amended P&P language, review substantive amendments with the IAC, and publish the amended P&P.

# Participant Directory P&P





# Participant Directory (1 of 8)

## Per Health and Safety Code § 130290

“Data Exchange Framework will be designed to enable and require real-time access to, or exchange of, [health and social services information]... through any health information exchange network, health information organization, or technology that adheres to specified standards and policies.”

Many Participants will use an intermediary to exchange health and social services information:

1. A Nationwide Network or Framework
2. An Intermediary, such as a health information organization (HIO), Qualified HIO, or vendor

Some may use their own technology solutions or point-to-point connections.

## **Question the Participant Directory is intended to answer:**

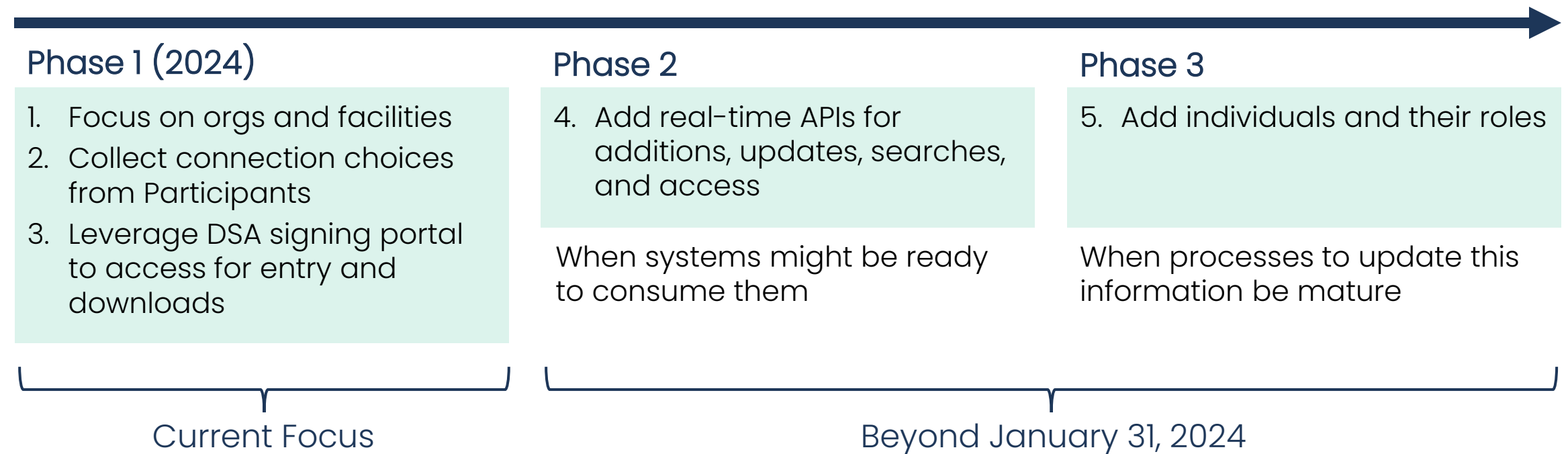
How does one Participant know how to request information from or send information to another?

The purpose of the Participant Directory is to facilitate exchange, and not to meet the other needs of or use cases for a Provider Directory.

# Participant Directory (2 of 8)

## Phased Approach to Participant Directory

1. Collect and communicate Participant information on how they choose to exchange HSSI.
2. Expand initial web-based access to enable automation via APIs.
3. Add individuals and their roles at organizations and facilities to the listing.



# Participant Directory (3 of 8)

## Purpose of the Participant Directory P&P

Establish requirements for CDII to create and Participants to maintain a directory of information that allows:

1. Participants to declare the exchange networks, health information organizations, or technologies they use to provide access to and exchange of HSSI; and
2. Entities to discover the choices of other Participants.

## Phase 1 (from August 2023 IAC meeting)

1. Create a way to input and access Participant choices to exchange HSSI
2. Rely on detailed information available from networks, frameworks, QHIOs, other Intermediaries
3. Focus on organizations and facilities, adding individual users (e.g., physicians) in a future phase

## Preview

Our discussion today will focus on:

- Who must enter their choices
- What information must be entered
- How are choices made available to other Participants

# Participant Directory (4 of 8)

## Questions

- Should only Participants that are not Intermediaries be required to enter their choices?
- Should Intermediaries (that are Participants) be required to enter data about themselves?
- Should Participants be allowed to delegate connection details to their Intermediary(ies)?

## **Assumptions and Constraints (for consideration and confirmation)**

- Participants that are not Intermediaries are likely the only Participants creating HSSI
- Participants that are not Intermediaries are likely the ultimate recipients of Information Delivery
- Participants should perhaps be authoritative for their choices
- Some Participants may not know, understand, or have bandwidth to manage Directory details
- Networks and frameworks have established how they interact, and the methods are known
- QHIOs are required to exchange with each other; CDII is not dictating the method but instead encouraging QHIOs to coordinate among themselves

# Participant Directory (5 of 8)

## Questions

- What information about choices should the Participant Directory collect?
  - Name of entity(ies) (self, network/framework, QHIO, other Intermediary)?
  - Type(s) of exchange (Request for Information, Information Delivery, Notification of ADT Events)?
  - Required Purpose(s) (Treatment, Payment, Health Care Operations, Public Health)?
- Can we rely on Participants to know the intricacies of how to navigate QHIOs/networks?

## **Assumptions and Constraints (for consideration and confirmation)**

- Participants listing “self” may need to be prepared to maintain point-to-point interfaces with many, perhaps all, other Participants
- Participants may choose to use different entities for different types of exchange
- Participants may choose to use different entities for different subordinate organizations
- Some nationwide networks/frameworks prohibit sharing URL endpoints, certificates beyond their participating members

# Participant Directory (6 of 8)

## Questions

- Who should be able to access the Participant Directory?
- Should CDII (or should CDII be allowed to) publish the Directory for anyone to access?
- Should Participants be prohibited from disclosing the contents of the Participant Directory? If so, for what purposes is disclosure allowed?

## **Assumptions and Constraints (for consideration and confirmation)**

- Most nationwide networks and frameworks and most HIOs in California publish lists of their participants, some with the services they provide to them
- CDII publishes a list of DSA signatories already
- Some might consider Directory details, if included, to be a security risk
- Some nationwide networks and frameworks may have restrictions on publishing connection details

# Participant Directory (7 of 8)

## Also require:

- Participants to indicate if they chose to exercise their option to delay exchanging HSSI until January 31, 2026, as allowed by HSC § 130290
- Voluntary Participants to indicate if they choose to terminate the DSA pursuant to Section 15(b)
- Participants to indicate if they cease operations

## Question

- What concerns do you have that we have not discussed?

## Additional thoughts (for consideration)

- Time is short before many Participants must begin to exchange HSSI
- The Participant Directory and its contents will mature over time
- QHIO applicants have agreed to discuss details of the Participant Directory with CDII and import/export Directory information once QHIOs are named

# Participant Directory (8 of 8)

## Next Steps

1. CDII will refine development of the Participant Directory based on today's discussion.
2. CDI will develop draft P&P language to be discussed with the DSA P&P Subcommittee at its next meeting (October 31, 2023).
3. The draft P&P will be revised as necessary and posted (tentatively in late November) for public comment.
4. Issues raised in public comment that might benefit from further discussion may be brought to the DSA and P&P Subcommittee for discussion at the December 5, 2023 meeting of the Subcommittee.
5. CDII will finalize and publish the phase 1 version of the P&P and finalize phase 1 development of the Participant Directory.



# Public Comment Period



# Next Steps and Closing Remarks



# Next Steps for P&Ps - Summary

P&P	Tentative Next Steps
Early Exchange	Release ( <i>simultaneously with amended Privacy Standards and Security Safeguards P&amp;P</i> )
Privacy Standards and Security Safeguards (Amended)	Finalize P&P and release
Requirement to Exchange HSSI (Amended)	Finalize P&P and release
Individual Access Services (Administrative Amendment)	Upon conclusion of the public input period*, finalize P&P and release
Data Elements to be Exchanged (Amended)	Revise, as needed, and release for public comment
Participant Directory	Develop and release for public comment

# P&P Roadmap

**In Q4 2023, CDII anticipates releasing a slate of proposed P&P amendments for public comment to harmonize definitions and language across P&Ps and support DxF implementation.**

- CDII is reviewing previously published P&Ps to:
  - Ensure consistency with recently finalized P&Ps and the DxF Glossary of Defined Terms and address
  - Assess opportunities to clarify expectations to support ongoing DxF implementation
  - Address concerns raised by stakeholders since publication of finalized materials
- Proposed amendments will be released for public input or public comment:
  - *For P&Ps with administrative changes only*
    - Public Input: Provides opportunity for the public to raise objections to the categorization of a proposed revision as an "administrative modification".
  - *For P&Ps with substantive changes*
    - Public Comment: Provides opportunity for the public to provide comments on substantive changes and the overall content of proposed amendments to a P&P.
      - Note: prior to release for public comment, proposed significant changes to P&Ps may be reviewed with the DSA P&P Subcommittee if stakeholder input is required.

# Next Steps

## **CalHHS will:**

- Consider the feedback provided by the DSA P&P Subcommittee
- Continue to advance P&Ps in development and, where applicable, solicit public comment
- Post a summary of today's meeting

## **DSA P&P Subcommittee Members and Members of the Public may:**

- Provide any feedback on proposed changes to P&P language following instructions on the DxF [website](#)

# Meeting Schedule

IAC Meetings	Date
IAC Meeting #10	October 10, 2023, 10:00 AM – 12:30 PM
IAC Meeting #11	November 16, 2023, 9:00 AM – 11:30 AM
IAC Meeting #12	December 19, 2023, 2:00 PM – 4:30 PM

DSA P&P Subcommittee Meetings	Date
DSA P&P SC Meeting #10	October 31, 2023, 9:00 AM – 11:30 AM
DSA P&P SC Meeting #11	December 5, 2023, 9:00 AM – 11:30 AM

For more information or questions on DSA P&P Subcommittee meeting logistics, please [email CDII](#).

# DxF Webinar Schedule

<b>DxF Information is Power Webinar Series*</b>	<b>Date</b>
DxF Webinar #12	October 16, 2023, 10:30 AM – 11:30 AM
DxF Webinar #13	November 7, 2023, 2:00 PM – 3:00 PM
DxF Webinar #14	December 13, 2023, 1:00 PM – 2:00 PM

\*Future webinars may be released at CDII's discretion.