

Advancing HIE in Washington State DRAFT Governance Requirements

Presented to:
Stakeholder Participants
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Assumptions and Objectives

Assumptions:

Best Practice: Form follows function.

Therefore, HIE Governance will follow HIE services development and will most likely be “phased in”

Presentation Objectives:

- DEFINITIONS & GOVERNANCE CONCEPTS
- DEFINE WHAT IS NEEDED AND WHEN
- EVALUATE THE CONCEPT OF PHASING IN GOVERNANCE OVER TIME

Governance and Organizational Requirements

- The Federal ARRA grants require that States address how the HIE projects will be governed.
 - How will community get involved to leverage existing assets and work?
 - How will community commit to longer range goals?
 - How will public agencies be involved?
- SSB 5501. Calls for a “lead private sector organization”... To lead state-wide consensus building and development of HIE.
- We do expect that there will need to be substantial “shared decisions” among private/public entities that use the HIE.
 - Strategic Planning:
 - What are the right services and business model?
 - How will we use it?
 - How much are we willing to invest (along with Federal grants) to advance HIE in our market and across the State?
 - Implementation Planning:
 - What are the right standards and conventions that we will implement?
 - When will individual organizations adopt, how will this effect the business model?

Types of Organizational Models

- Need to be clear about “governance” vs. other types of organizational models
 - e.g., convener role in a voluntary collaborative model.
- Conversations frequently move among these models and it is vital that the boundaries and definitions be established.
- Major differences among models:
 - All models allow us to:
 - Get input, provide transparency.
 - Evaluate options and develop business cases
 - Make policy recommendations to public policy makers, e.g., legislature, executive branch and or rule making bodies.
 - Very few models allow for:
 - Making “binding” and final decisions on behalf of the community or even less so for a specific organization.
 - Making binding policy decisions which rule making agencies enforce.

Types of Organizational Models

- Convener/facilitator
- Ombudsman/advocate
- Advisory – usually somewhat unbiased or expert or representative of powers
- Governor/Governance – final decision maker – binding upon community and/or an organization:
 - Fiduciary
 - Project Governance – coalition of the willing
 - Policy – Regulator and Legislator

Types of Governance That May Apply

- Fiduciary – traditional role of a Board and usually involves money and decisions about a company.
- Project – Make *final decisions* about scope, timelines and budgets, may or may not make *decisions* about sources of funds.
- IT governance – usually in addition to Project governance, make *final decisions* on specifications, technical architecture, implementation strategy and standards/ conventions/ protocols.
- Policy Governance – difficult area to assert *binding* authority, typically either a function of a *fiduciary (intra-company)* or a *duly appointed* body (across State)
 - At a minimum would require legislative action to appoint a body, or we would be using a voluntary convener/ advisory model in this area.

Governance Requirements

- Strategic planning:
 - Develop and approve architecture and definition of shared infrastructure
 - Define options and evaluate how to raise capital (grants and other sources)
 - Define business model and pricing for shared services
 - Policy development, maintenance, and approval
 - Data standards adoption/application, maintenance, and approval/consensus
- Implementation (assuming a shared operation of infrastructure):
 - Selection and contracting with service providers and users
 - Dispute resolution (architecture, business model, priorities, certification, etc)
 - Operations management
 - Monitor key operating metrics
 - Procure services
 - Project management and scope management for shared infrastructure.
 - Oversee technical operations
 - Oversee enhancements
 - Outreach and adoption of services
- Public interest
 - Consumer protection and associated policies
 - Public sector participation
 - Open participation in shared services – accept all comers (assuming they meet requirements)
 - Federal grant applications

Requirements Validation

- Are these “requirements” correct for “governance” of a thin layer of community connectivity, called HIE?
- If not, what should be added and why?
- Anything we should remove and why?

Governance Strawman -- Phase I

- Just enough “governance” and let it evolve as the initial services evolve
 - Place emphasis on developing technology/quick hits (via collaboration/consensus models)
 - Less emphasis/spending on creating an entity and full governance system
- Likely focus on high value organizational areas:
 - Develop consensus on which “quick hit” services are most ready to be used.
 - Develop consensus on a transparent business model and pricing for shared services and push the market to voluntarily adopt and pay for the services.
 - Develop process to get consensus on high value data set that the market will use and then collaboration on adopting existing data standards – leverage HITSP and national standards
 - Gain consensus on HIE Security and Privacy Policies and best practices – collaborate on local implementation of HITSP and more
 - Focused collaboration on detailing longer term architecture and need for more robust governance once the initial services and business models are more defined.

Validation

- Is this phased governance approach right for the 2010 initial work plan?
 - **Yes** – our organization supports this approach, governance needs to evolve as services are developed.
 - **No** – this is not enough – would like to see more formal governance structure. We are willing to help capitalize and provide resources for creation/operation of an organization even in advance of services development.
 - **Neutral** – not ready for involvement regardless of services offered and governance structure – many other things to work on right now, we may get involved later, once services and structure are already in place.

Governance of the Thin Layer – Shared Infrastructure

