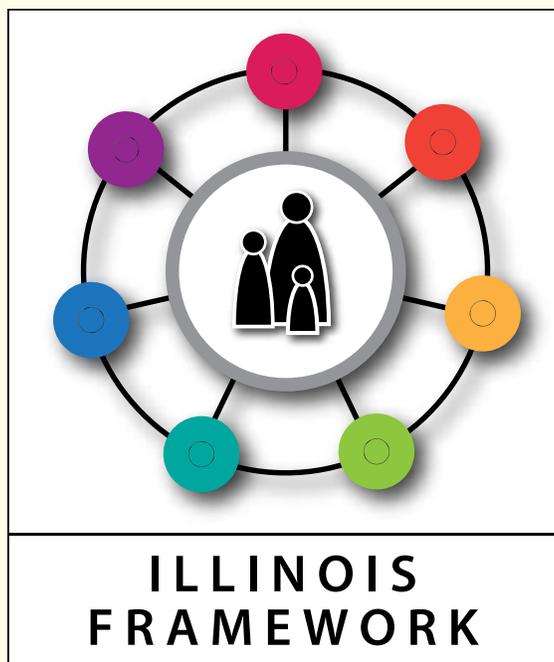


A Handbook for States

ESTABLISHING GOVERNANCE FOR HEALTH AND HUMAN SERVICES INTEROPERABILITY INITIATIVES



A REPORT OF THE STATE OF ILLINOIS
INTEROPERABILITY AND INTEGRATION PROJECT

An initiative of The Illinois Framework for Healthcare and Human Services

Illinois Framework

Department of Human Services

State of Illinois

www.illinoisframework.org

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About the Illinois Framework for Healthcare and Human Services

The Illinois Framework for Healthcare and Human Services (Illinois Framework), a multi-agency collaborative, coordinates the use of shared technology and business processes across Illinois' federally-funded healthcare transformation initiatives. The Illinois Framework provides strategic insight, organizational support, and guidance on federal standards to advance Illinois' healthcare and human services enterprise. These efforts will improve service coordination and lower costs to advance the health and well-being of the people, families, and communities of Illinois.

The Illinois Framework achieves its goals by leveraging multiple ACA-related federal infrastructure investments, implementing effective governance, undertaking comprehensive planning, and rigorously engaging key stakeholders. The Illinois Framework will benefit clients, providers, and the State of Illinois in the following ways:

- » Provide customers with more options to access the range of needed services.
- » Develop a healthcare and human services enterprise for Illinois that will provide seamless services to customers at the lowest possible cost and highest quality.
- » Leverage and reuse technology to maximize investment and increase operational efficiency and reduce administrative burden.
- » Redesign business processes around the sharing of critical information and delivering services to the right person at the right time.
- » Improve outcomes through data-driven decision tools utilizing rich new data sources with accurate and timely information.

Wherever possible, the Illinois Framework will leverage the functionality of the integrated eligibility, enrollment, and case management systems developed as part of the ACA implementation. Specifically, the Illinois Framework will focus on sharing services among the following processes:

- » Assessment, Intake, and Application
- » Eligibility, Verification, and Enrollment
- » Casework and Case Management
- » Provider Management
- » Analytics and Reporting

Finally, the Illinois Framework recognizes the complex needs of both the customers and providers of state services. The Illinois Framework acknowledges these needs in developing systems that are intuitive and easy to access online, in person, by phone, and by mail.

The Framework's initial scope includes almost 60 programs within the following State agencies:

- » Aging
- » Children and Family Services
- » Commerce and Economic Opportunity
- » Healthcare and Family Services
- » Human Services
- » Public Health
- » Employment Security



November 2013

Dear Reader:

Like many other states, Illinois faces the challenge of meeting an increasing demand for healthcare and human services at a time of constrained resources. Antiquated business processes embedded in legacy technology systems are not commensurate with the scope and volume of the service demands the State must meet. To address this asynchronicity, state and local governments must align technology in support of transparency, interoperability, efficiency, ease-of-use, and a “no wrong door” approach to enrollment, evolving the relationship between government and the people from “citizen” to “citizen as customer.”

The State of Illinois, through the Illinois Framework for Healthcare and Human Services (Illinois Framework), has begun the work of developing and modeling a new method of public administration that focuses on three distinct but related areas:

1. interagency governance and management;
2. technology modernization; and
3. designing a customer-centric paradigm.

The result will be, we believe, to improve and refocus management strategy, realign budgetary practices and priorities, and allow the state to make strategic investments to better support its end-users.

Achieving the Illinois Framework’s vision will require an ongoing series of decisions – both practical and philosophical – about policies, systems, authority, and responsibilities. The complexity of the project suggests that many of these decisions will be difficult; as such building a new approach to service delivery will require a governance process that is consistent, effective, and equitable.

With the support of the United States Office of Management and Budget’s (OMB) Partnership Pilot State Systems Interoperability and Integration (S212) Grant Project, administered by the U.S. Department of Health & Human Services Administration for Children & Families (ACF), the Illinois Framework Team – led by national and industry experts – undertook intensive research, discovery, and analysis to design a sustainable governance model for the Illinois Framework. This handbook is a summary of the Team’s findings and a step-by-step guide for other states and jurisdictions to implement successful governance processes in similar interoperability projects.

We hope that states can make effective use of the lessons and strategies we have attempted to discuss in this handbook. In Illinois, we have already made significant progress. At the same time, we welcome collaboration and communication on an ongoing basis in order to learn new lessons and benefit from new ideas.

We are grateful to the OMB and ACF for their support, and we hope to extend the benefits of federal investment in Illinois to other healthcare and human services agencies throughout the nation.

Sincerely,

Sean Vinck
Chief Information Officer
State of Illinois

Kathleen Monahan
Director
Illinois Framework



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Executive Summary

The Illinois Interoperability and Integration Project was funded by a \$1,125,000 State Systems Interoperability and Integration Projects planning grant from the federal Office of Management and Budget (OMB) Partnership Fund, distributed by the U.S. Department of Health & Human Services Administration for Children & Families.

During the 12-month grant period, Illinois designed and developed a governance model for the Illinois Healthcare and Human Services Framework Project (the Illinois Framework), a seven-agency collaborative to develop a modern, horizontally-integrated state health and human service delivery system.

While the literature on project success points to the need for such governance, few existing models were previously tested and proven in the field. In response, Illinois performed extensive background research on successful models and best practices in interoperability project governance. This handbook presents the results of Illinois' findings as a guide for states and other jurisdictions contemplating cross-program and cross-agency system development efforts.

The Roadmap to Effective Governance provides six common attributes of successful governance models identified in Illinois' research:

1. Identify and assemble strong executive leadership
2. Create a shared vision
3. Formalize governance structure
4. Establish clear decision-making process
5. Evaluate governance system and adapt as necessary
6. Maintain transparent communications

The Illinois Case Study details Illinois' progress in establishing governance for the Illinois Framework, highlighting the benefits and challenges of implementing a governance model in a cross-agency setting. The Resource Library provides links to research articles and audio files of original interviews conducted by the State of Illinois. Finally, the handbook's Governance Toolkit contains samples of key documents, such as charters and other memoranda, created by and for governing bodies in actual interoperable health and human services projects.

The handbook is available both in print and interactive on-line versions. To order print copies, please send your request to DHS.HHSFramework@Illinois.gov. The online version can be found at www.illinoisframework.org.

The
handbook's
Roadmap
to Effective
Governance
provides
six common
attributes to
successful
governance
models.



Introduction

Through the Illinois Framework, the State of Illinois leverages multiple federal investments to adopt a more efficient and comprehensive approach to service delivery. The State's goal is a sustainable foundation of interoperable systems and information sharing to provide greater coordination across client services.

What is Interoperability?

The Illinois Framework will make seven distinct state health and human services agencies across the state interoperable. These seven agencies traditionally have operated independently or in "silos." Interoperability is "the ability of two or more systems or components to exchange information and to use the information to make better decisions."¹ While initially applied to information exchange in the fields of information technology or systems engineering information exchange, a broader definition now includes social, political, and organizational factors that impact system-to-system performance.² Interoperability has become an important goal for any jurisdiction that requires cooperative action across multiple independent agencies to better serve the needs of its citizens.

Interoperability and Governance

For jurisdictions to successfully implement interoperability initiatives, they must give careful thought to the establishment of cross-agency governance. Indeed, success depends on a strong cross-agency governance structure to take the lead in making decisions, establishing priorities, overcoming hurdles, and managing both internal and external communications.

While the definition of governance varies across sectors, industries, and even projects, most guidance on this topic begins with an emphasis on bringing stakeholders together to decide how to get things done. Various definitions of governance include the following:

At its most basic level, governance is a shared set of expectations for an organization or enterprise... An effective governance model guides decision makers in building an organizational structure that effectively supports the planning, development, oversight, and fiscal management activities that promote the enterprise.³

Governance sets the priority of a project, which is needed for the management of resources...without governance, some form of



Establishing
a governance
process
is a critical
step in a
project's
development.

anarchy eventually results, [with stakeholders] moving from crisis to crisis, only capable of responding to the loudest, most powerful voice or the most serious emergency.⁴

An effective governance process ensures input from the necessary stakeholders and “confers legitimacy” upon project decisions and outcomes.⁵ Regardless of the industry or sector, establishing a governance process is a critical step—ideally the first step—in a project’s development.

The need for governance early in a project is particularly important in public sector interoperability projects that span multiple agencies and require buy-in from leaders who are accustomed to making decisions autonomously or without the consent of other agency leaders. In its report, *Governance Guidance for Horizontal Integration of Health and Human Services*, the American Public Human Services Association (APHSA) describes the importance of governance as follows:

Strong governance from the start is essential for long-term success... It must be done immediately and quickly so that no more time is lost in seizing the time-limited funding opportunities currently available and in assuring that the human service perspective and vision of a fully integrated health and human services are part of the ACA [The Patient Protection and Affordable Care Act of 2010] planning currently underway.⁶

Establishing Governance for Health and Human Services Interoperability Initiatives: A Handbook for States

In 2012, the Administration for Children & Families (ACF), of the U.S. Department of Health & Human Services (HHS) awarded Illinois a State Systems Interoperability and Integration grant. This funding enabled the State of Illinois to take a methodical approach to establishing a governance structure for the Illinois Framework. This approach involved conducting several months of research into best practices in governance development while, at the same time, applying these practices to the establishment of governance for the Illinois Framework. For its research component, Illinois interviewed experts on health and human service interoperability from local, state, and federal governments and conducted a review of relevant publications, white papers, academic literature, and other guidance materials.

Establishing Governance in Health and Human Service Interoperability Initiatives: A Handbook for States distills everything that Illinois learned and collected through its research and governance experience, and makes that knowledge available as a resource for other jurisdictions as they establish governance in similar projects.

This handbook is intended as a guide for jurisdictions that are establishing governance for cross-agency data sharing initiatives. Although guidance on governance is not



This handbook includes:

- » **A Roadmap** built around the six common themes or attributes of effective governance models identified in the research;
- » **An Illinois Case Study** detailing Illinois' progress in establishing governance for the Illinois Framework;
- » **A Resource Library** with links to articles and audio files of original interviews; and
- » **A Governance Toolkit** with samples of key documents created by and for governing bodies.



new – there is, in fact, a wealth of literature on the topic – this handbook is unique in its use of successful governance models to both identify best practices and incorporate lessons learned into the development of the Illinois Framework's own governance model.

Because it was developed in conjunction with the establishment of governance for the Illinois Framework for Healthcare and Human Services, the research and interviews contained within this handbook were conducted primarily with leaders from the health and human service field; however, the information contained within the handbook can be applied to other public sector cross-agency collaboration efforts.

¹ Administration for Children and Families (ACF), *ACF Interoperability Initiative*, <http://www.acf.hhs.gov/initiatives-priorities/interoperability> (August 2013).

² Wikipedia, *Interoperability*, <https://en.wikipedia.org/wiki/Interoperability> (August 2013).

³ National Association of State Chief Information Officers (NASCIO), *Connecting Silos: Using Governance Models to Achieve Data Integration*, <http://www.nascio.org/publications/documents/NASCIO-connectingSilos.pdf> (August 2013).

⁴ Daniel Herman, Guy Scalzi, Roger Kropf, *Managing Healthcare IS Supply and Demand* (Aspen Advisors 2011).

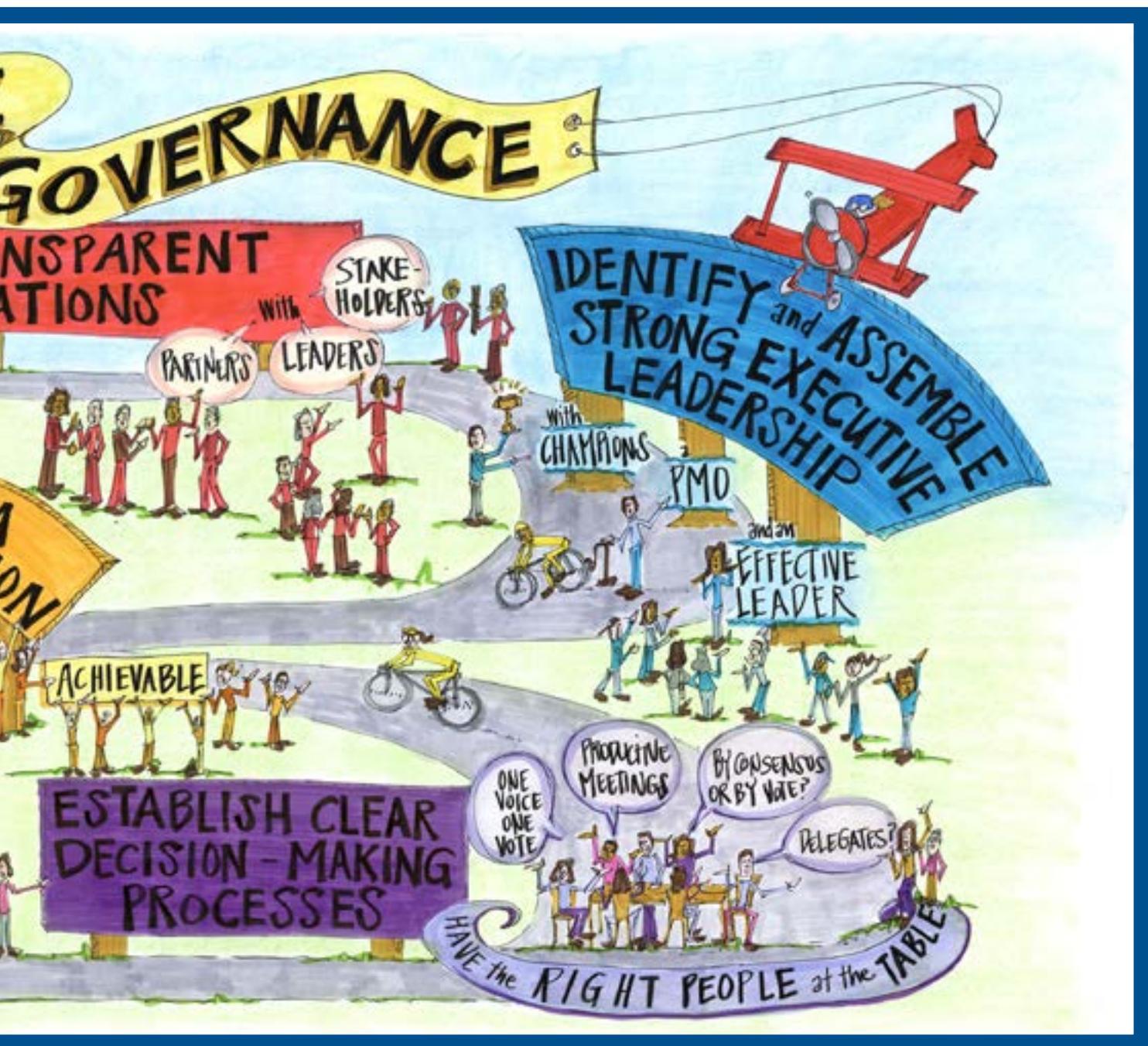
⁵ Herman, Scalzi, Kropf, *Managing Healthcare IS*.

⁶ Cari DeSantis, *Governance Guidance for Horizontal Integration of Health and Human Services* (American Public Human Services Association, 2012).



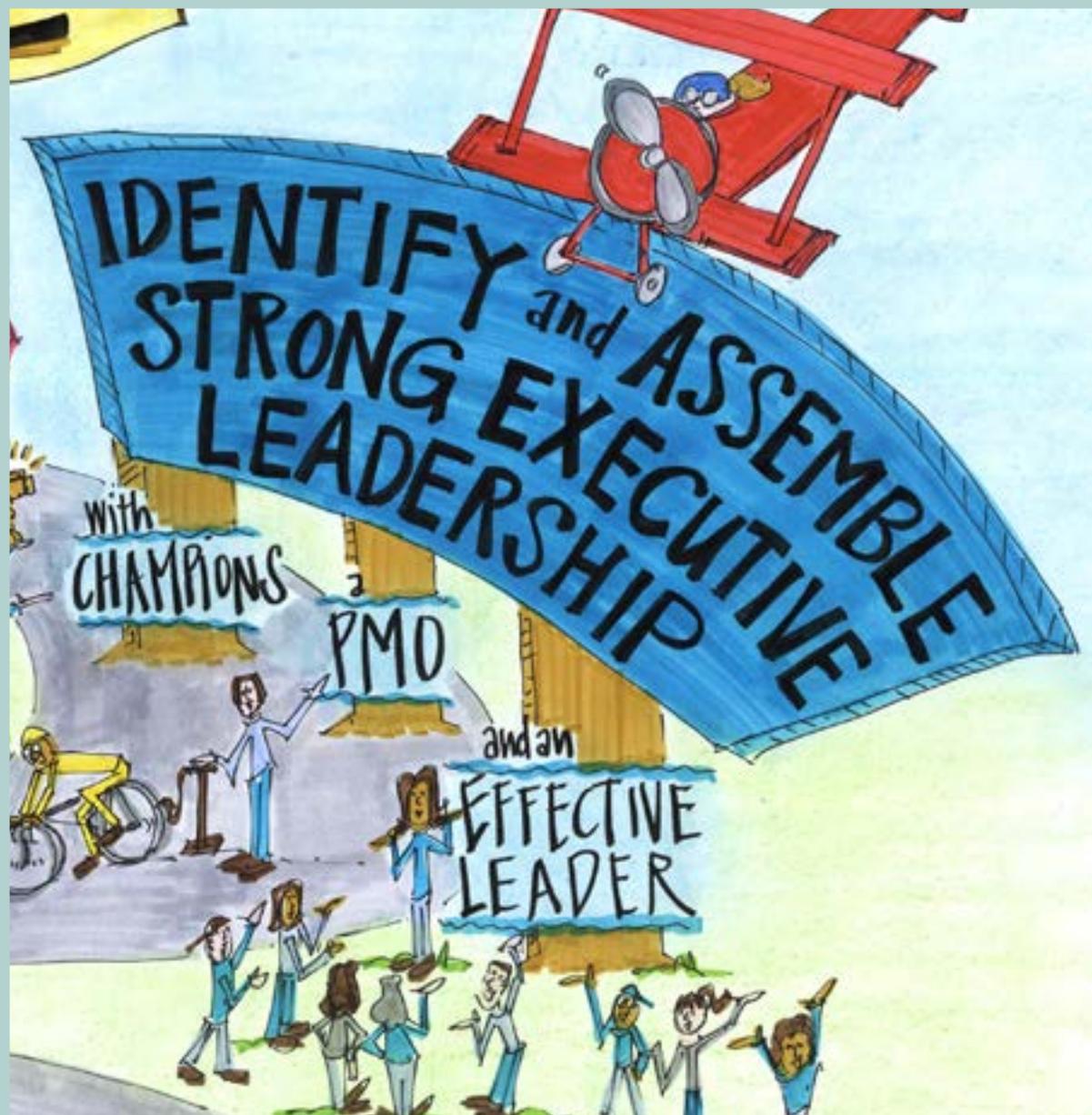
Roadmap To Effective Governance

The road to successful cross-agency governance is sometimes not clear or easy; however, by taking careful steps and using the right tools, states and jurisdictions can implement governance models that fit their cross-agency needs. The six attributes presented here run through all successful governance models. A single, simple model of governance does not emerge from the six attributes, nor do all of the attributes dictate specific details to include in a particular jurisdiction's governance. However, while governance models vary greatly, applying these six elements thoughtfully and uniformly will "jump start" effective governance models in other jurisdictions. The six attributes of successful governance are:



1. Identify and assemble strong executive leadership
2. Create a shared vision
3. Formalize governance structure
4. Establish clear decision-making process
5. Evaluate governance system and adapt as necessary
6. Maintain transparent communications

This section of the handbook contains a visual roadmap of the attributes of good governance with detailed descriptions of the attributes and related quotes from national leaders. The attributes do not form a sequential roadmap. Rather, jurisdictions should apply and reapply each of them in an iterative process throughout the life of the health and human services initiative to establish and maintain successful governance.



Identify and Assemble Strong Executive Leadership

It's cultural, not so much technological. It's the carbon, not the silicon. By that I mean that people are made up mostly of carbon atoms, as opposed to the silicon of the computer chips, which presented the largest obstacles. People, not the boxes and wires, are the largest challenge. If you can get the right leadership in the room, who have drunk from the same cup, and believe in it, you can accomplish the change that you need to make.

Rick Friedman

Consultant; Former Director of the Division of State Systems, CMS, U.S. Department of Health and Human Services

Structures vary, but most governance models comprise multiple layers, including a decision-making body, subcommittees (often several subcommittees), and a staffed project management office (PMO). Whether governance begins with a top-down approach with the jurisdiction's senior-most leadership, as a movement among like-minded agency leaders, or at the staff level from a PMO, effective leaders are required throughout the governance structure to create buy-in, build momentum, and move important work forward.

Strong executive leadership requires the vision and capacity to lead across agencies. According to governance experts Stephen Goldsmith and William Eggers:

A program's success or failure often depends on whether the network manager masters the challenges of governing by network: aligning goals, providing oversight, averting communications meltdown, coordinating multiple partners, managing the tension between competition and collaboration, and overcoming data deficits and capacity shortages.¹

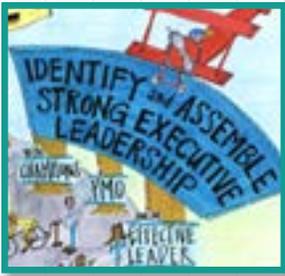
Executive Level Leadership

Executive leadership sets the tone and champions the initiative and, if the leader is strong and effective, he or she can nearly guarantee a project's success. This senior-most leader must be a person with authority that is granted, either in a direct managerial line or through delegation by the mayor, governor, or other appointing body. He or she must be able to:

- » Instill buy-in among agency heads;
- » Create momentum;
- » Move forward any foundational documents or legislation;
- » Champion the project to a wider audience as needed; and
- » Make difficult decisions swiftly.

San Diego County's Nick Macchione, Health and Human Services Agency Director overseeing *Live Well, San Diego!*, the County's long-term health and wellness plan states, "It is clear that you need a Chief Executive





Officer...who all these disciplines report to...he or she must have the ability to espouse the policies to the board, and then implement them as a single organization.”²

Uma Ahluwalia, Director of Health and Human Services for Montgomery County, Maryland, sums up succinctly the complexity of leadership in cross-discipline governance:

*You need someone in a position of authority...you’ve also got seven directors who have hopefully bought into it at the same level of commitment...maybe they bought into it for different reasons – some out of commitment to the goal, others because someone told them they had to – I don’t know what your universe is, but if you got everybody sort of willing and able, you got to just keep driving the train.*³

WHAT MATTERS

- » An effective leader in a position of authority over participating agencies;
- » A well-led PMO; and
- » Agency heads who are active governance participants and vocal champions in their own agencies and among stakeholder groups.

Leaders of Participating Agencies

Agency leaders, because of their necessarily independent views from within a particular agency or stakeholder group, cannot, by themselves, lead the governance of an initiative that spans the breadth of health and human services in a jurisdiction. However, for genuine success, program leaders of involved agencies must be highly supportive of the initiative, active participants in governance decisions, and true champions to create buy-in with their own agency staff and stakeholders.

Inside the Project Management Office

Having a strong PMO director is critically important to the forward movement of governance. This leader must be able to coordinate multiple initiatives at every level and must have the skills to garner support among agency leaders and the initiative’s key stakeholders. He or she sets agendas, serves as a liaison with all other parts of the initiative, identifies and secures funding, generates reports and other communications, drafts foundational documents, and coordinates and shapes the work of the governance committee and all subcommittees

Leadership Styles

Kurt Lewin’s 1939 research on leadership involved observations of productivity under three different styles of leadership: Authoritarian/Autocratic; Participative/Democratic; and Delegative/Laissez-Faire.⁴ Lewin found that, while the groups using the Authoritarian style had higher productivity, groups employing the Participative style created a work product of a significantly higher quality. The lowest productivity among the three came from groups using the Delegative style. In the years since Lewin’s study, other researchers have developed variations



Leadership styles do not seem to be a determining factor for success.

on leadership style; but these early styles still make a useful basis for considering leadership in governance.

While strong leadership is an essential component of good governance, governance styles vary considerably, and the particular style of leadership does not seem to be a determining factor for success. Health and human services leaders in Virginia and New York City, for example, span the spectrum of leadership styles. Virginia's Secretary of Health and Human Resources, Dr. William (Bill) Hazel, succeeded in gaining bi-partisan legislative support by building trust and sharing knowledge.

New York's City's leadership took a more top-down approach. The Deputy Mayor of Health and Human Services Linda Gibbs initially used her Mayoral authority to lead; later, she moved to a participative style of leadership as the governance process matured.⁵ According to Rick Friedman, former Director of the Division of State Systems at the Centers for Medicare and Medicaid Services (CMS) within the U.S. Department of Health and Human Services, a participative style is effective for the following reason:

I think people have very legitimate concerns about collaboration. They're going to lose power and influence. I don't think hitting them over the head with people up their food chain is really going to bring their hearts and minds along. It's paying close attention to the reasons for their hesitation, and it's really hard sometimes to find things that connect with everybody across the spectrum, but it's definitely worth the effort if you can.⁶

¹ Stephen Goldsmith and William D. Eggers, *Governing by Network: The New Shape of the Public Sector*, (Washington, DC: Brookings Institution Press, 2004), 40.

² Nick Macchione, phone interview, February 2013.

³ Uma Ahluwalia, phone interview, February 2013.

⁴ Management and Business Studies Portal, Kurt Lewin, <http://www.mbsportal.bl.uk/taster/subjareas/busmanhist/mgmtthinkers/lewin.aspx> (August 2013).

⁵ Linda Gibbs, phone interview, February 2013.

⁶ Friedman, phone interview.



Create A Shared Vision

I've got a good friend who frequently at meetings says that culture eats process for breakfast every day. Having the documents and stuff is nice, but it's having the understanding that makes it really work. What we, for better or worse, have created in Virginia is a pretty good understanding of where we're trying to go. By and large people are all pulling in the same direction and that makes it a lot easier.

Dr. William (Bill) Hazel

Secretary of Health and Human Resources, Commonwealth of Virginia

To make effective decisions and create forward momentum, governance must have a single vision that everyone involved – including leadership, all members of the governing body and sub-committees, and the PMO – embraces. The participants develop the shared vision through a common understanding of current challenges and a generally accepted view of the future that the governing body wants to achieve. The vision must be in a form that allows those involved to champion it, and it must cut across and unify agency silos.

APHSA sums up the importance of having a clear vision in its guidance for horizontal integration across health and human services: “The challenge for an integration initiative governing body is to promote a clear vision in a culture unused to working across the entire health and human service enterprise, maximizing connections within government and reaching out to the community for partnership in service.”¹

Developing a Vision across Agencies

The development of the vision statement is likely to be an ongoing process, starting when governance begins for a particular jurisdiction and taking shape as new voices and viewpoints gather around the table. As governance matures and systems and needs change, the group may refine the vision months and even years after leaders originally conceived of it. The most important point is that those involved in the initiative develop and share the same guiding principles.

For those jurisdictions where governance starts in the PMO, as occurred in Illinois, the PMO creates a vision statement in draft form for review, changes, and approval by the Steering Committee after its formation.² In New York City, health and human services agency heads – serving as the governing body – shaped the vision, and it grew organically out of the development process. According to Deputy Mayor Gibbs, “We had a bunch of commissioners sitting around wanting to do this. We had agency buy-in. They all wanted to join the front line case management collaboration, and we took the cause around the technology.”³

Governance of health and human services interoperability projects requires collaboration across silos, and the shared vision statement must represent





WHAT MATTERS

- » A clearly articulated vision that is measurable, far-reaching, aspirational, achievable, client-focused, and that crosses traditional program areas and on which there is agreement by all those involved in its implementation.

and fuse together that collaboration. Rick Howard, a Research Director with Gartner’s Government Industry team who previously worked as a health and human services Chief Information Officer (CIO) for the State of Oregon, cautions jurisdictions against the silo or proprietary approach when developing a vision. He states:

If you really believe that the individual who is served by that [one] program area is yours, not only is it degrading, it's incorrect. That individual's likely receiving services in three or four other parts of the health and human services enterprise, and you don't own them. You have a responsibility for them and the service you're delivering, but understand that in conjunction with many other services.⁴

Howard also sums up the challenges and importance of visioning across silos in this way:

I went back to our Chief Financial Officer and said, 'I really need to know where this organization is heading over the next decade because we're making decisions that are going to affect us for a long time to come given the rate of acquisition and persistence of these investments.' And he said, 'Don't wait for a business plan; that's never going to happen.' You need to develop a vision that people can argue with, and then get engaged that way...to think that there's a strategic intention among these programs that never have enough money and have great need upon them is incorrect. They're thinking next week and next month and the next phone call...they're really not thinking about what SNAP [Nutrition Assistance Program] is going to look like in five years.⁵

Vision's Common Themes

Visions vary across the jurisdictions, and depend largely on the agencies involved and the particular circumstances and climate in that jurisdiction. There are, however, some common elements of a clear vision. These include:

- » A carefully defined scope—knowing what is and what is not part of the project;
- » A client-centered approach;
- » Important non-client-related components, such as the need for greater efficiencies and reduced costs;
- » A commitment to cross-agency collaboration and cooperation;
- » Establishment of common goals and shared understanding of issues; and
- » Development and full-buy-in by the governing body.

Consider
existing
vision
statements
as a place
to start the
conversation.

Vision Statement Examples

While the articulated vision statement is only one piece of the visioning process, it is useful for other jurisdictions to consider existing vision statements as a place to start the conversation.

Commonwealth of Virginia electronic Health and Human Resources (eHHR) Program Charter:

“To leverage information technology to improve healthcare and human services for Virginians by providing access to the right services for the right people at the right time and for the right cost.”⁶

New York City HHS-Connect Executive Steering Committee (ESC) Charter:

“To break information silos through the use of modernized technology and coordinated agency practices to more efficiently and effectively provide Health and Human Services to New Yorkers.”⁷

National Information Exchange Model (NIEM) Human Services Domain Charter:

“Effective information sharing is critical to the success of a coordinated human services system. The purpose of the NIEM Human Service Domain is to support information sharing and promote interoperability between and beyond social service providers at the federal, state, and local level.”⁸

Oregon Joint Operating Steering Committee (JOSC) Charter:

“The JOSC provides the consistent forum needed to explore and fully consider the range of operational and business issues defined in this charter that support shared services governance. The JOSC provides internal governance decision-making for those issues.”⁹

¹ Cari DeSantis, *Governance Guidance for Horizontal Integration of Health and Human Services* (American Public Human Services Association, 2012).

² Kathleen Monahan, interview held in Chicago, Illinois, July 2013.

³ Linda Gibbs, phone interview, February 2013.

⁴ Rick Howard, phone interview, February 2013.

⁵ Howard, phone interview.

⁶ Commonwealth of Virginia, *electronic Health and Human Resources (eHHR) Program Charter* (Richmond, VA: Virginia Health and Human Resources, 2012).

⁷ New York City, *HHS-Connect Executive Steering Committee Charter* (New York, NY: Office of the CIO for Health and Human Services, 2008).

⁸ U.S. Administration for Children and Families (ACF), *National Information Exchange Model Human Services Domain Charter* (Washington, DC: U.S. Department of Health and Human Services, 2012).

⁹ State of Oregon, *Joint Operations Steering Committee Charter* (Salem, OR: Department of Human Services and Oregon Health Authority, 2011).



Formalize Governance Structure

The governance process shapes expectations, so that the clinical or business sponsors of an IT project understand what benefits should be achieved, assume accountability for benefits realization, and are clear of the role and responsibilities each party has for project completion. The governance process confers legitimacy on decisions, so that project selection, for example, is not viewed as reflecting just personal relationships.

Aspen Advisors

Governance structures vary tremendously in their formality, scope, size, and configuration. Importantly, none of those variations appear to hinder or particularly aid success. Instead, simply formalizing a governance structure is a key component of successful governance. Without exception, each successful governance body takes the initiative to formalize its own structure, and it is this formalization and the adherence to the structure that leads to success.

Most governance structures consist of a PMO and an assigned, appointed, or elected body representing the various stakeholder groups or affected agencies. Many also include subcommittees, either as standing bodies or as short-term groups formed to accomplish a task before disbanding. When San Diego County formed a governance process for Live Well, San Diego!, it conducted research both in and out of the health and human service system. According to San Diego County's Health and Human Services Agency Director Macchione:

We made changes to our model but the one thing that was very clear was that seven masters, seven chefs and one kitchen wouldn't work. We needed a model and we studied a lot. We used KPMG as our consultant, and we looked at the models of integrated healthcare systems, delivery systems, Kaiser Permanente, and other systems – some not even governmental.¹

Paul Wormeli, instrumental in the founding of the governance for NIEM as well as serving in an advisory capacity on many other governance models, describes his experience:

You have an outline of an organizational structure, you'll define the working groups, define the committees that you need to establish, and define the process for empowering the committees. You want to get the executive group to agree to have supervisors assign people to committees by official designation and not just show up as volunteers. Therefore, the governance group will have responsibilities for participating in the committees.²





WHAT MATTERS

- » A robust and highly-functional governance structure that the group carefully develops and documents through an executive order, interagency agreement, charter, memorandum of understanding, proclamation, or other foundational document.

Components of a Governance Structure

Project Management Office (PMO): Successful governance requires a professionally staffed PMO to organize meetings, set agendas, liaise with all other parts of the initiative, identify and secure funding, generate reports and other communications, draft foundational documents, articulate a draft shared vision, and coordinate and shape the work of the governance committee and all subcommittees.

The PMO is generally – although not in every instance – the first area of governance to take shape. It may begin formally or informally, and often leads the charge for the formation of more structured governance. Because the PMO is responsible for much of the initiative’s progress between meetings as well as the coordination of governance meetings, it must have a knowledgeable manager who can lead the work and make decisions and move the initiative forward. Hiring a strong team of appropriately skilled staff, knowledgeable both in the subject matter and governance, is also key to providing project support.

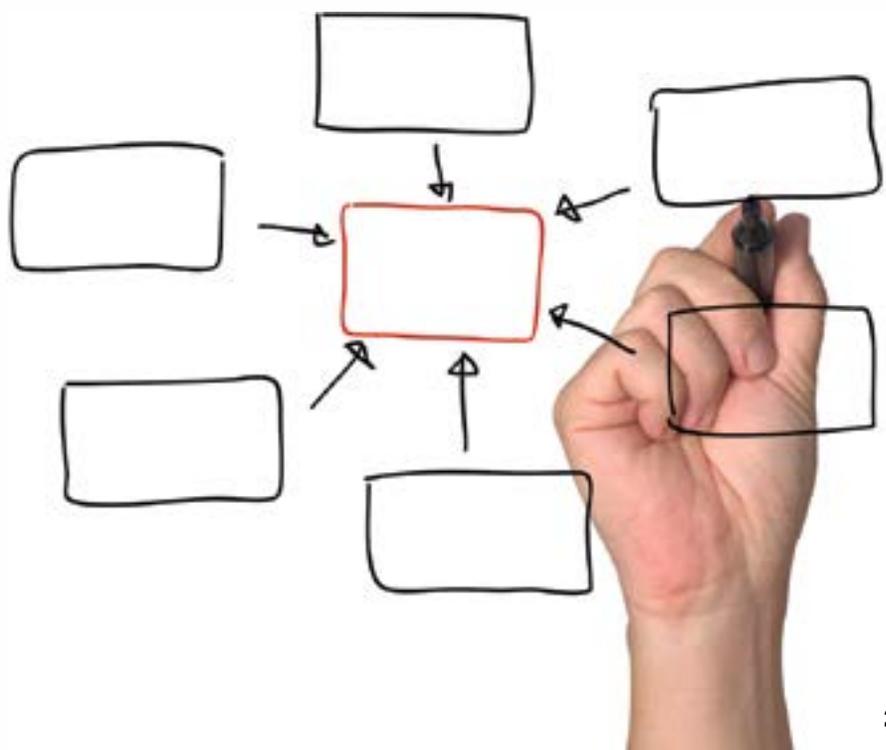
In New York City, the Deputy Mayor for Health and Human Services equates her role with Chair of the Board for HHS Connect, and she hired a full-time director and staff to run the project.³ In many of the observed governance models, the jurisdiction formed the PMO before establishing the appointed body. In the case of Illinois, for example, government leaders worked for several years to formalize the Illinois Framework, establishing its PMO in the fall of 2012 prior to the first meeting of its ESC in the spring of 2013. NIEM got its start when Federal agencies – the Departments of Justice and Homeland Security – facilitated initial meetings of stakeholders in the states by paying for travel and per diem and providing meeting support staff. After the interested state leaders established the NIEM governance, the governing group along with the Departments of Justice and Homeland Security created the PMO.⁴

Governing Bodies: When jurisdictions observe the need for governance, they create decision-making bodies – generally called ESCs, Project Oversight Committees, Boards of Directors, or something similar – to take on the important decision-making that is the real heart of governance. Leadership from involved agencies, subject matter experts, and/or political appointees make up these committees, and members may or may not be permitted to send designees to meetings. This committee’s primary role is to set priorities and make decisions necessary for forward movement of the project. This committee is tasked with mission-critical responsibilities rather than symbolic roles.

Governing
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rather than
symbolic roles.

Subcommittees: Many, but not all, governance models include subcommittees. Those that do employ subcommittees use them to support decision-making and move various pieces of the initiative’s work forward. Most governance models view members of subcommittees as the subject-matter experts in their particular area (e.g., privacy and security, technical architecture, business architecture, a particular health or human service discipline, etc.). Subcommittees can be long-standing or temporary. At the Centers for Medicare & Medicaid Services (CMS), for example, subcommittees were temporary, yet critical to success. According to Rick Friedman, “There were different committees working on different issues. They would be formed, make a contribution, and then disband. Or if there was a second related issue, they worked on that too, but typically that was done by spinoff committees or subcommittees from that group.”⁵ NIEM domains use subcommittees to undertake the detailed steps necessary to create the exchanges that the executive committee prioritizes.

Jurisdictions generally use subcommittees as working groups that explore topics in more detail, complete assigned work, and investigate and recommend courses of action. A subcommittee on legal issues, for example, may meet several times over the course of the month; interview agency attorneys; read pertinent federal and state laws, regulations, and agency policies; and recommend to the governing body an approach to protect privacy and confidentiality while facilitating the sharing of case-level information between separate human service agencies. Similarly, a technical architecture committee may meet and make recommendations that resolve the technical difficulties involved in a particular data exchange.





While governance documents vary by jurisdiction, their existence is critical to the ongoing operation of the governance model.

Foundational Documents

Governing bodies legitimize their existence, processes, and relationships through the creation of foundational documents. Often, collaboration begins first, and the people and agencies collaborating create formal written agreements that serve the current efforts and help to ensure their continuation through changes in leadership and priorities.

Two types of documents are discussed here: establishing and operational. Establishing documents serve to formally launch the governing body and ensure cross-agency collaboration even, potentially, through larger changes. Establishing documents may include legislation, executive orders, interagency agreements, memoranda of understanding, or other similar documents. Charters may serve as both operational and establishing documents, depending on their level of detail and legal authority. Operational documents, which lay out in detail the day-to-day and longer term roles and responsibilities of governance, may include



strategic plans, value propositions, standard operating procedures, and mission statements. In most cases, governance teams do not share operational documents widely beyond the team itself – with the exception of mission statements – but these documents are internally galvanizing and essential to smooth functioning of that team.

While governance documents vary by jurisdiction, their existence is critical to the ongoing operation of the governance model. APHSA summarized the importance and variation of foundational documents in this way:

A high-level charter issued by executive order of the governor or a legislative mandate to establish a governance structure and

Established
governance
models vary
in their levels of
formality.



governing body and to begin the process with required report-back are the most powerful actions that will not only jump start the journey but also assure follow-through to implementation. Short of an executive order or legislative mandate, however, a state can look for existing Cabinet structures, interagency committees or task forces that could take on this work immediately.⁶

Examples of Formalized Governance Models: Established governance models vary in their levels of formality. New York City, for example, created a Mayoral executive order “that endorses the existence of this shared venture; the charter then serves as a high level shared vision document that officially commits all the agencies to sign on as being full partners in the endeavor.”⁷ San Diego County has a very formal structure, with a five-member elected board; a County Administrative Officer who manages Health and Human Services, Public Safety, Community Services, and land-use issues; a Director overseeing all of the Health and Human Services; and an executive team of 16 members. The Board of Supervisors legislatively approved a county ordinance that allowed leaders to create the governance structure and integrate funding. San Diego’s Nick Macchione remembers that it did not begin as formally as it became:

Initially, it was really formed out of a consensus view of each of the stakeholders that we needed to do something different because we were just in a silo, and it was very important. There were enough people that had a critical mass of interest in moving this forward across the different silos and stakeholders that it simply gained momentum, but it wasn’t an executive order to start.⁸



Governing bodies
did not meet
unless there was a
legitimate business
reason to do so
and real decisions
to make.

The State of Oregon formed the Joint Operations Steering Committee (JOSC), consisting of the Department of Human Services and the Oregon Health Authority executive and administrative staff. The JOSC created a charter, work plans, and a schedule of regularly occurring meetings. The JOSC is responsible for making decisions for shared services and other issues with potential impact on both agencies. Similarly, the Commonwealth of Virginia began with a strategic plan created by the agencies involved in its electronic Health and Human Resources (eHHR) program, a statewide initiative to transform human services delivery systems. From that plan, Virginia created a governance structure and other foundational documents. According to Mike Wirth, Special Advisor for eHHR integration, “The charter for eHHR is an authorized document. Each of the Project Oversight Committee (POC) members signed it, and any new project that gets created comes up in front of POC for review and empowerment.”⁹ Offering words of advice, Mike Wirth suggested, “Let me just throw in that, when you get to the charter, we made a conscious effort to clearly define the roles, responsibilities, and deliverables of each of the different agencies and/or secretariats.”¹⁰



Operational Details

Operational details, such as meeting frequency, committee size, and membership composition vary as each jurisdiction’s style and circumstance dictates. Samples of foundational documents, detailing many of the operational details for several jurisdictions, are included in the Toolkit section of this handbook.



Meeting Frequency: Beyond staffed PMOs that work together on a daily basis, the frequency of governance meetings varies across jurisdictions and models. Montgomery County, Maryland, for example, held bi-monthly meetings of its Health and Human Services Stakeholder Group. The county's Health and Human Services Steering Committee met monthly, or more frequently as needed, to drive the "no wrong door" interoperability project that created a seamless experience for clients accessing health and human services in the county.¹¹ Alternatively, federal Centers for Medicare & Medicaid Services (CMS) held teleconferences and annual in-person meetings tied to a national conference to accommodate its members across the nation. Between the quarterly calls, telephone subcommittee meetings were held monthly or even biweekly as dictated by the work. In all cases, governing bodies did not meet unless there was a legitimate business reason to do so and real decisions to make during the meeting.

Governing Body Composition: Across governance models, the size of the governing bodies also varies, depending on the number of agencies involved. In general, committees include one representative from each agency, either the agency head – which some jurisdictions mandated – or his or her designee. The initiative's top leader – whether that was the governor's appointee, the director(s) of health and human services, or another very senior individual – chairs the meetings. Some jurisdictions use an outside facilitator to run meetings.

¹ Nick Macchione, phone interview, February 2013.

² Paul Wormeli, phone interview, February 2013.

³ Linda Gibbs, phone interview, February 2013.

⁴ Wormeli, phone interview.

⁵ Rick Friedman, phone interview, February 2013.

⁶ Cari DeSantis, *Governance Guidance for Horizontal Integration of Health and Human Services* (American Public Human Services Association, 2012).

⁷ Gibbs, phone interview.

⁸ Macchione, phone interview.

⁹ Mike Wirth, phone interview, February 2013.

¹⁰ Wirth, phone interview.

¹¹ Uma Ahluwalia, phone interview, February 2013.



Establish Clear Decision-Making Processes

Time to governance maturity is linearly proportional to the size of the stakeholder group. As the stakeholder group gets bigger, it takes longer to get everybody on the same path and accepted, particularly if it's a democratic process, and not somebody's attempt to dictate it. So, it just takes a while for people to get to the buy-in stage, and the more there are to buy-in, the longer it takes.

Paul Wormeli

Executive Director Emeritus, IJIS Institute

When jurisdictions charge groups with making collective decisions from an array of alternatives, the entire group – not an individual – must take ownership of the decisions. In order to make group governance decisions, the right people need to be at the table. Next, the group needs to establish a clear and well-articulated process to determine priorities and decide between various options presented.

Groups should establish decision-making processes with a high-level of detail. The group should write down the processes and share them internally. These decision-making processes should include: 1) guidelines for determining the type of decisions the steering committee will make and the type of decisions subcommittees, the PMO, or involved agency management will make; and 2) the method the governing body will use to discuss issues and come to agreement.

Getting the Right People at the Table

Governance committees form with the appointment of the most senior leaders from each of the represented agencies. In most instances, one individual officially represents each agency. If groups require the involvement of other individuals for subject-matter or other expertise, the groups often allow their participation. Rick Friedman shares thoughts on the importance of getting the right people to the table:

We had different folks from different firms and we wanted to make sure that we just didn't get one company's solution but rather enough of a consensus view that everybody could live with it. It was this ongoing dynamic model in each of the groups. Similarly, with the federal group, it was very important to have people representing the Food Stamp Program [Supplemental Nutrition Assistance Program (SNAP)] and the Administration for Children and Families [ACF] programs at the table. We really wanted to make this framework [the Medicaid IT Architecture (MITA)] something from which you could drop the M from MITA and add Food Stamps or ACF program components, and the basic principles would be as applicable to their environment as it was





Consensus and majority voting are the two most common methods of decision-making.

to ours. No question, there were creative tensions all over the place – among the Feds – in terms of the different groups. But in the end, it worked out well.¹

Member-Created Process

In addition to having the right people at the table, the governance committee members need to establish their own way of working together. According to several governance leaders, it is critical that the overall governing body establish its own decision-making rules, rather than relying on a model from another jurisdiction or having the rules handed to them. Paul Wormeli describes the reason for this self-regulation:

It's been important for the group to set its own decision-making rules to avoid common pitfalls such as micromanagement. Creating the rules creates buy-in and makes the rules work²

Making Decisions at the Right Level

Determining which decisions rise to the highest-level committee in the governance model is a critical step in establishing the decision-making process. Having a clearly articulated decision hierarchy helps leaders reduce role ambiguity, increases participant satisfaction, and quickens the pace of forward movement.

To be successful, governing bodies must have a role that is materially important, not merely symbolic. Elected officials or other senior leadership for the jurisdictions must give them the authority to make decisions on important matters of consequence, and others have to uphold their decisions. Jurisdictions also should avoid creating a system of micro-management, where decisions that should be made by IT and program staff inside of agencies are reviewed by the ESC. Instead, jurisdictions must put in place a hierarchy for decision-making and assign issues, based on that hierarchy, to the correct level of the governance structure for decision. Subcommittees can make lower-level decisions and provide assistance in determining which issues need to move up to the appropriate level of the governance model.

Paul Wormeli advises, “What you really need to do is to come up with a drawing of the components of the decisions that have to be made, and then you build committees, working groups – whatever you want to call them – to tackle the topics that have to be decided in the course of coming up with decisions about how to move forward.”³

Prioritization

A governance process can also prioritize decisions and the creation of exchanges and other tools. There are always more initiatives than a

WHAT MATTERS

- » The “right people” sit at the table, representing the involved agencies or programs.
- » There is a clear and well-articulated process to determine priorities and decide between various options presented.
- » The group promotes full buy-in and compliance by developing decision-making guidelines and sharing them internally.
- » Each member’s voice carries the same weight regardless of budget, number of stakeholders or clients, or other factors.
- » Senior leadership of the jurisdiction vests in the governing body the clear authority to make decisions of consequence.
- » Staff – in the form of a PMO and/or subcommittee members – carefully prepare materials for meetings of the governing body so that meetings are productive, governance members have full information, and participants can reach decisions quickly.

jurisdiction can accomplish at any one time. The cross-agency team that a jurisdiction assembles to govern needs to prioritize based on the real needs of the jurisdiction at that time, weighing factors like costs, return on investment, and clients served. According to Shell Culp, Chief Deputy Director at Office of Systems Integration for the State of California, those responsible in the governance structure “must make sure that the governing decision being made has relevance to the majority because if you’re deciding things that aren’t relevant to the people who are involved, you’re on a slow path to death.”⁴ Culp further explains:

A frequent problem is that a program has the need for some kind of an automated system, and their need – to them – is more prescient than anybody else’s need...so they let the CIO know, ‘I’ve got this need, and you need to meet this need,’ and of course there are five other program deputies that have a need that might be similar – might not be – but they have a need as well. So all of a sudden I’ve got six projects’ concepts on my plate and I only have resources to keep the lights on and maybe do two projects.⁵

Group Decision-Making Methods

Governing bodies have several choices when it comes to determining how they will make decisions. The following are some questions that governing bodies should ask themselves when developing decision-making procedures:

- » Will they vote by consensus or majority?
- » Are committee members allowed to send designees to meetings?
- » Do all votes carry equal weight, or are some votes more important than others?
- » Which committees possess actual decision-making authority and which ones, if any, serve a symbolic role?

Consensus vs. Majority: Majority voting and consensus represent the two most common methods of decision-making. While the literature and interviews most commonly cite consensus as the best decision-making method for group decisions, several successful governance models observed did use voting, and they set rules to determine how many votes constitute a “win.”

Only one leader interviewed – Nick Macchione from San Diego County – cites voting as the sole decision-making method for the jurisdiction’s governance. Robert’s Rules of Order is an often-cited mechanism for



structuring the debate and achieve majority vote. According to Nick Macchione, “To approve our appropriations and budget requires a four vote approval. On other issues, it’s a majority – three [votes] – but they’re all equal among the five voting members.”⁶

Consensus decision-making seeks the consent of all members or participants in order to arrive at a resolution that is accepted – if not fully supported – by all. Reaching a decision through consensus requires deliberation. It also requires a process to ensure that all voices, including dissenting voices, are heard. Successful governing bodies that make decisions by consensus find it to be a significant team-building experience that results in high-quality decisions. Their statements mirror the literature on consensus-building, which claims that the process of getting to consensus creates better decisions, better implementation, and better relationships among group members. NYC Deputy Mayor Gibbs states, “When the committee cannot reach decisions, they postpone meetings until further information is gathered. As of 2013, the committee made all of its decisions by consensus.”⁷

Uma Ahluwalia of Montgomery County, Maryland, and Linda Gibbs of New York City both eloquently describe their use of consensus:

Montgomery County, Maryland: *We’ve had a pretty good track record of getting to consensus, but that doesn’t mean that there aren’t minority opinions at times, or there isn’t work that we have to do together to get to consensus. We don’t always start at the same place, but there is definitely a willingness to hear each other out and to work towards consensus.*⁸

New York City: *We don’t have Aye’s and No’s; we don’t take a vote. I don’t want to say that everybody has a veto authority, but if one person says no, that could stop the whole thing. But it’s never come to that. It’s more informal and consensus driven. You work with the agencies that are the most concerned and you sort of just help them work through their issues until you get to an agreement.*⁹

On the other hand, the Commonwealth of Virginia and NIEM employ hybrid voting methods that combine majority and consensus approaches. For example, when a group does not reach consensus, it will resort to voting. The message that NIEM and the Commonwealth of Virginia communicate is clear: strive for consensus but have a plan in place in case it is not reached.

Commonwealth of Virginia: *I don’t think we’ve had any situation where we’ve had anything less than consensus, but the fact is*

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designees.

that it is set up for majority rule, and I generally manage the meetings using fairly strict Robert's Rules of Order if need be¹⁰

NIEM: *Well, it really has turned out to work mostly by consensus. There's a charter that gives the option of one vote. If you have to come to a vote, majority wins. But it's following Robert's Rules officially...groups like that are much more effective if they operate by consensus, regardless of what rules they follow.¹¹*

Designees: Most governance models require that agency leaders attend meetings rather than designees. Some leaders propose "no designee" rules to keep the initiative high priority, build cross-agency relationships, and move to decisions more quickly by having the final decision-makers in the room. Deputy Mayor Linda Gibbs, for example, sets a strict "commissioners-only" policy at meetings of her governance steering committee.¹² Here is what jurisdictions employing the "no designees" rule had to say:

New York City: *We structured it in a way that keeps agency heads very engaged in the significant decisions being made. It is a commissioner-only meeting, meaning a principal-only meeting; you cannot send a delegate. If you can't attend, then your agency is not represented at the meeting. Otherwise, attendance gets bumped down to the next designee and the next designee until it's a meaningless meeting.¹³*

Montgomery County, Maryland: *We allow no designees, but members can, if there is a particular issue that needs further clarification, bring staff with them. But they cannot designate.¹⁴*

Minnesota: *We tried to make sure that there was a good balance...this is all director level folks so this is all high-level decision-makers. The people that are there can make calls.¹⁵*

CMS: *It really needed to be that person [the agency leader] at the table. It really wasn't acceptable to send a substitute, because we wanted to have people who could speak with some level of authority. I'm not saying that in every instance that that worked out, but that was the overarching, or at least one of the overarching principles to which we wanted to adhere.¹⁶*

Jurisdictions that do not employ a "no designee" rule do so for practical purposes, such as to expedite meetings or to accommodate the busy schedules of agency leaders. For example, in California in the early 2000s, the state created a governance board called the Technology Review Board with staff consisting of personnel from inside of the state Chief Information Officer's (CIO) office. Members of that governance board were agency secretaries of all of the 10 or 12 super agencies (overarching health and human services agencies) in California. Due to busy schedules and conflicting calendars, most of the agency secretaries delegated their authority to agency information officers.¹⁷



One Voice-One Vote: While the specific decision-making method does not appear to be a critical factor for success, it is critical that each vote is equally represented. No agency should hold more than one vote regardless of its importance. In other words, the opinion of each agency or stakeholder group around the table should carry the same weight regardless of the size of an agency's budget, its constituent base, or the charisma of its leadership. Paul Wormeli summarized the value of the rule:

I think, in general, that it works best if they can all agree that every agency has one vote, and that's all they have...you can't put numbers on the executive council based on the size of your client base or size of your budget...because in order to do what you need in each agency, [the agencies need] to feel equally enabled and empowered to participate.¹⁸

Rick Friedman noted the reality of the occasional or unwritten imbalance of power: "I think we're all equal, but in the end one agency (Medicaid) was really the driver of the initiative. While we probably had greater influence, we knew it wasn't going to work if people felt that they didn't have a voice, and that their voice truly counted."¹⁹



Important Role of the PMO and Subcommittees

Finally, jurisdictions must not overlook the important role of the PMO and any subcommittees responsible for aiding the decision-making process. Because members of the governing bodies are also, in most instances, responsible for leading the agencies they represent, they are very busy people. The PMO and subcommittees can help to prepare the governing bodies for their decision-making roles. As part of the decision-making

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process, the PMO's role includes creating agendas and meeting materials focused on actionable items. New York City, California, and Minnesota described the resulting efficiency of the meetings of governance:

New York City: *We have a Board of Directors that meets regularly – every two months – with an agenda that's sent out in advance...we don't follow Robert's Rules of Order; it's much more informal than that. The way that we present the meeting...is intended to engage and provoke discussion, and we frequently pause and ask the approval of the group to move forward...so we don't sort of bore them to death with presentations and say goodbye. We actually say, 'Here's our strategy; here's our decision. Does anybody object?'*²⁰

California: *We did make decisions fairly smoothly. As you would expect, it looked a lot like a legislative proceeding where you've got the package that you're going to look at today...here is where the support is and here are the people who don't support it...here are the pros and here are the cons. So it looked very much like a legislative type of decision-making package, and it probably took about a year for people to get used to that.*²¹

Minnesota: *We'll go through and those who need to get heard get heard. If we have to go out and get more information before we make a decision, we do. In fact, if something's urgent, but we still don't have quite all the information – whether it be a technical thing, a business thing, a financial thing – we'll say, 'OK, we'll meet in two weeks...we'll get together sooner if we have to.'*²²

¹Rick Friedman, phone interview, February 2013.

²Wormeli, phone interview.

³Wormeli, phone interview.

⁴Shell Culp, phone interview, February 2013.

⁵Culp, phone interview.

⁶Nick Macchione, phone interview, February 2013.

⁷Linda Gibbs, phone interview, February 2013.

⁸Uma Ahluwalia, phone interview, February 2013.

⁹Gibbs, phone interview.

¹⁰Bill Hazel, phone interview, February 2013.

¹¹Wormeli, phone interview.

¹²Gibbs, phone interview.

¹³Gibbs, phone interview.

¹⁴Ahluwalia, phone interview.

¹⁵Tom Baden, phone interview, February 2013.

¹⁶Friedman, phone interview.

¹⁷Culp, phone interview.

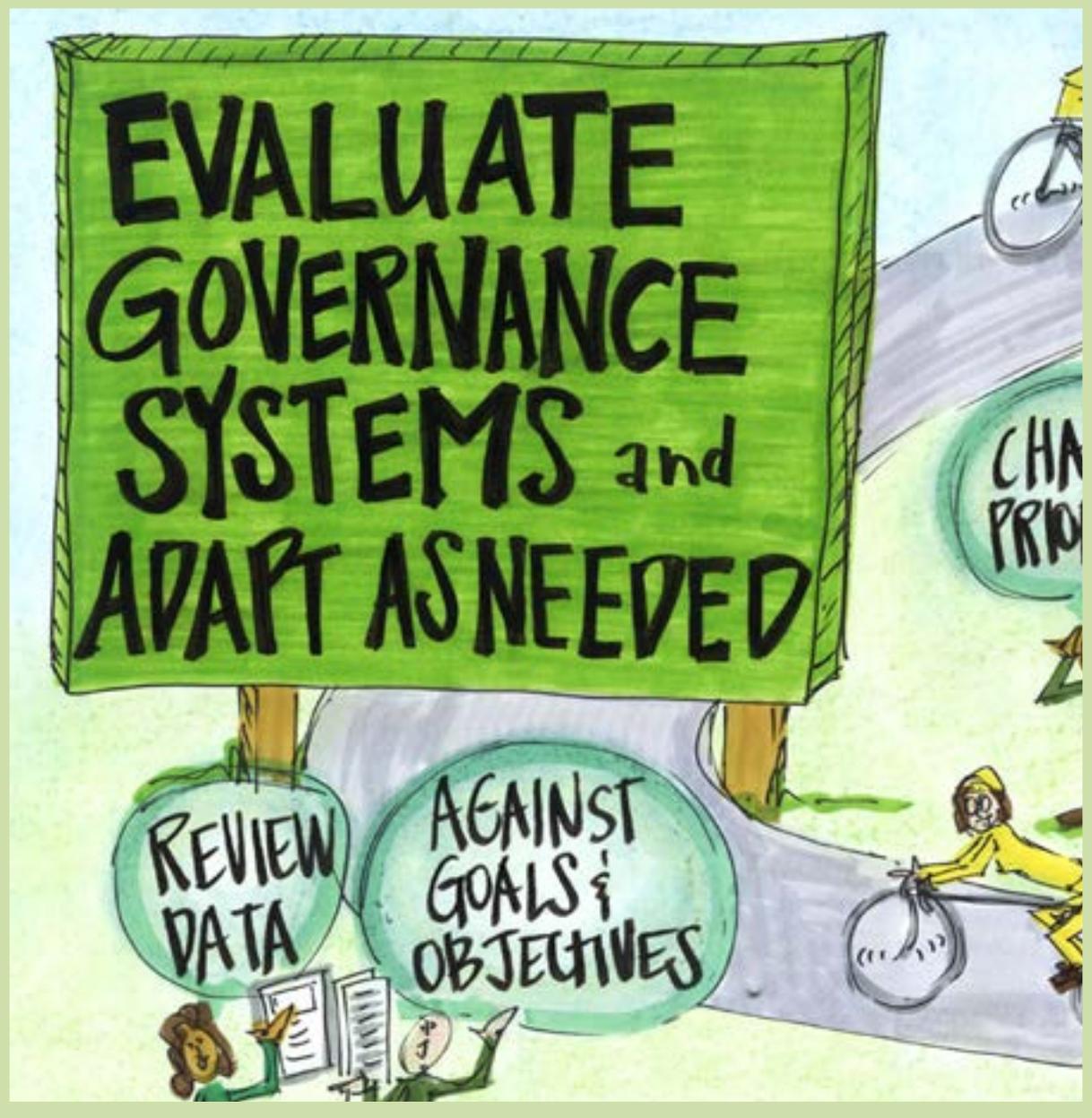
¹⁸Wormeli, phone interview.

¹⁹Friedman, phone interview.

²⁰Gibbs, phone interview.

²¹Culp, phone interview.

²²Baden, phone interview.



Evaluate Governance System
and Adapt as Needed

At its most basic level, governance is a shared set of expectations for an organization or enterprise...an effective governance model guides decision makers in building an organizational structure that effectively supports the planning, development, oversight, and fiscal management activities that promote the enterprise.

Drew Leatherby

Issues Coordinator, at dleatherby@AMRms.com

To remain relevant, governing bodies must perform continuous self-assessment and environmental scans. They must rely on data to stay up to date on successes, failures, and new service needs. Governance models must be flexible enough to adapt to and address the needs of clients and jurisdictions while surviving intact through changes of administrations and fluctuating agency priorities. This delicate balance rests on maintaining buy-in from senior leadership, agency directors and their staffs. The governing body must also foster a culture of continued self-assessment and evaluation within and outside of the decision-making committees. Harvard Business School professor Herman “Dutch” Leonard highlights the importance of governance adaptability:

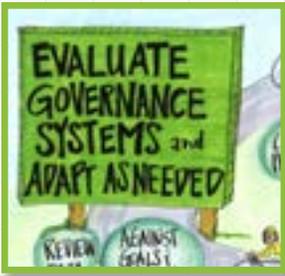
You can't really prepare for turmoil, you just have to adapt to it... so they always need to be adaptive...this means that they need to maintain 'situational awareness,' a grasp of the key elements of their environment. Second, it means that they need to rethink their approaches, severing themselves from things that used to work inventing things that will work now. Third, they have to implement change constantly.¹

Adapting Your Governance Process

Certain threats can compromise the relevancy of a governance system. For example, jurisdictions will endanger the relevancy of their efforts if progress is unacceptably slow; jurisdictions are raising issues and making decisions at the wrong level; meetings are not effective or well-attended; or leaders are not receiving the information necessary to make decisions. From the start, the governance model must incorporate a process for member reflection and feedback and then make the indicated process changes. This evaluation can happen after every meeting or less often, depending on the perceived need for feedback. During the initial establishment of a governance process, frequent assessment can keep the process moving in the right direction from the start. While the PMO can assist with assessment, external consultants can also be valuable for their expertise and neutrality in the process.

Leaders should rely on feedback from the group as well as their own observations to make corrections as needed. Montgomery County,





Maryland, offers a good example of a jurisdiction adapting its governance process to meet its changing needs. There, the Process and Technology Modernization (PTM) Steering Committee initially allowed committee members to bring additional staff to regularly-scheduled meetings. This model ultimately led to committee meetings that felt impersonal and monotonous. Following an internal evaluation process, the committee restructured and instituted smaller, more interactive meetings that met on an as-needed basis. Of this strategic change, Uma Ahluwalia stated:

We're going to have this new framework for meetings where we're all much more structured and focused...a smaller group of people [the PTM Steering Committee]...will directly impact the decision-making...then we'll scan the stakeholder group for issues. But it's this group – the smaller group, the PTM Steering Committee – that's going to be the decision-makers.²

WHAT MATTERS

- » Governing bodies regularly review relevant data and other information against set goals and objectives.
- » The governance structure adapts as appropriate to maintain relevance, interest, and long-term sustainability.
- » Governing bodies know when to stay the course and when to change.

Adapting Priority or Focus

To set priorities and continually adapt, governance members need to clearly understand the mission and goals of the initiative that they govern. Involved agencies must then provide data to all members of the governing body on a regular and ongoing basis so that they understand the level of progress – or lack of progress – in achieving the goals. Governance members must use the data to set priorities, understand the initiative's effect, and to change course if indicated. Whether motivated by a crisis, the budget, or a careful look at data that reveals the need for programmatic changes, governance must remain flexible enough to reassess and re-order priorities while at the same time maintaining a clear vision and focus. This is a delicate balance, and governance models should not be swayed from course by political or programmatic whims; they should be open to the possibility that change may be necessary.

From his previous experience as the Chief Information Officer for the Department of Human Services in Oregon, Rick Howard clearly articulates this need for adaptability: “Agencies will remain somewhat fluid; no structure is permanent in government. Retaining flexibility in governance is important, and in the end, the people who are being served only care about the services being provided.”³ Changing priorities or focus may require jurisdictions to form new committees or sub-committees, engage additional subject-matter experts, and/or create work groups as needed.

Remaining Relevant for Long-Term Sustainability

The initiative and the governance model will be successful if they meet or exceed the performance of the system they replaced. This success means that the jurisdiction will retain these structures beyond the administration

Leaders
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groundwork
for long-term
sustainability.

that formed them.” When a jurisdiction invests resources in its governance infrastructure, the jurisdiction also increases the level of interest it has in sustaining the initiative. Leaders can lay the ground work for long-term sustainability by:

- » Carefully documenting the initiative’s successes, particularly its return-on-investment;
- » Promoting successes to stakeholders, involved agencies, local and national press, federal leaders, and beyond;
- » Remaining non-political or not aligning with one political administration;
- » Solidifying existence through legislation, executive order, or other more permanent means; and
- » Securing budget authority or budget funding for the initiative’s operation, including staff.

Representatives of California and Minnesota address the importance of long-term sustainability despite changes in administration. Shell Culp states that governance needs to “figure out how you’re going to make sure that you have some way to sustain that effort so that when the next secretary comes in, or the next Governor comes in, or somebody else comes in, you’re not doing the sine wave of expansion and contraction of how you’re doing your governance.”⁴

Similarly, Minnesota’s Thomas (Tom) Baden, Chief Information Officer of the Department of Human Services, says:

*We had that changeover in administration – the changeover of people – and the same plan and the same organization worked like a charm. So I think a lot of it had to do with the sense of urgency of what we had to do plus great people. It had less to do with me being prepared and more to do with being lucky and having some really good people around.*⁵

¹ Sean Silverthorne, “Achieving Excellence in Nonprofits,” *Harvard Business School*, Oct. 27, 2008 (<http://hbswk.hbs.edu/item/5942.html>).

² Uma Ahluwalia, phone interview, February 2013.

³ Rick Howard, phone interview, February 2013.

⁴ Shell Culp, phone interview, February 2013.

⁵ Tom Baden, phone interview, February 2013.



Maintain Transparent Communications

We've created an Office of Change Management that is really much more than an office. What we're recognizing is that any time one agency makes a change it could impact another agency. So we have processes that we're putting in place to ensure that everyone's communicating and no one does something that hurts their colleague.

Dr. William (Bill) Hazel

Secretary of Health and Human Resources, Commonwealth of Virginia



Projects serving the public must take care to maintain transparency regarding their decision-making procedures. Successful models maintain transparency of the governance process both internally (among those involved in governance and the participating agencies) and externally (with elected officials, stakeholders, and the broader general public). Anyone who might have an interest in its success or failure should have the appropriate level of information to ensure the initiative's ongoing success. The methods for sharing information vary by jurisdiction, but all jurisdictions should practice openness and a willingness to proactively maintain transparency.

Transparent communications create and maintain the culture of governance. In San Diego County, the culture is the driving force behind the initiative. Nick Macchione addresses the importance of culture:

I'm a firm believer that culture matters more than even having a good strategic mission statement and vision statement. They're important, but culture really was a huge driver, and this is what takes a lot of time...it's developing workplace competencies and skill sets of your workers...that just doesn't happen overnight¹

Potential communication methods include:

- » Making meeting minutes and agendas available to the public.
- » Holding regular meetings of committees and subcommittees with agendas designed both to inform and to move forward the critical work.
- » Conducting open meetings or allowing additional non-voting participants to attend meetings.
- » Using websites and other on-line forums to highlight progress and key initiatives.
- » Holding stakeholder events in various locations around the jurisdiction.
- » Preparing briefing documents to keep high-level leaders informed of relevant issues.



WHAT MATTERS

- » That jurisdictions, from the start, create and implement governance communications plans that result in transparency and, ultimately, greater understanding and acceptance.
- » That communications address both internal and external partners, stakeholders, and leaders.

Representatives of the following jurisdictions highlight the importance of getting communications right from the start:

Montgomery County, Maryland: *We have a history, most of the folks on this group; we have a long history of working together. I've been here a little over six years and during that time this group has been together with very few new members added. There's a core group that's been together, and there is enormous trust and willingness to work together...I think it helps that we meet every Friday just on the operations of the department. It's really key. One of the things that makes this possible – this very ambitious project – is the ability of the group to work together and the level of trust that exists...²*

Virginia: *At least monthly, the key players are face-to-face in a room. They know where we are, and the bodies that watch us – the Auditor Public Account, the Attorney General's office, everybody – has an opportunity to be fully informed and engaged. So the purpose of the meeting is several-fold. But I would say: yes, we make decisions, and a lot of those decisions really are pretty obvious. Knowing that it's transparent is really important... everything gets done. There is no, 'I never knew.'³*

Minnesota: *[The most important step is] making sure that there's the right level of knowledge...not so much that you churn over something for five hours and don't make a call...you manage the conversation well...you [get] the right level of facts; you [get] the right people at the table; you make a call, communicate it, and stick with it.⁴*



Actively
engaging
stakeholders
is critical to
governance
initiatives.

Stakeholder Participation

While not universal among governance models, several of the jurisdictions sought stakeholder input and participation. Those that involved stakeholders found it valuable in shaping and operating their initiatives. Montgomery County, Maryland's Project and Technology Modernization initiative, San Diego's Live Well, San Diego!, and the Illinois Framework included community stakeholders in the project governance process. Montgomery County consulted stakeholders – including service recipients and providers – throughout the planning phase of the process through a forum called the "Tiger Team."⁵ The County also wrote stakeholder involvement into the formal governance structure to ensure that community members had a voice throughout the project. San Diego County took a different approach, bringing community service providers together with large technology companies (e.g., Microsoft, Hewlett-Packard, etc.) to develop an agenda for client-centered technology involving mobile computing and social networking.⁶

¹Nick Macchione, phone interview, February 2013.

²Uma Ahluwalia, phone interview, Illinois, July 2013.

³Hazel, phone interview.

⁴Tom Baden, phone interview, February 2013.

⁵Ahluwalia, phone interview.

⁶Wayne Hanson, "At Issue: It Governance Done Right," *Digital Communities*, June 4, 2012 (<http://www.digitalcommunities.com/articles/At-Issue-IT-Governance-Done-Right.html>).

Case Study:

Illinois Framework and the Path to Effective Governance



The story of the Framework for Healthcare and Human Services is the first example of a public-sector interoperability project utilizing this handbook. Using the best practices and governance attributes outlined in this handbook, the State of Illinois is creating an informed, effective governance process for the Framework and is learning its own lessons along the way.

What is the Framework?

The Framework is a seven-agency collaborative project focused on the development of a modern, horizontally integrated system to support the core processes of health and human service delivery: application, eligibility determination, casework, management of contracted service providers, and analytics. The Framework's key goals are as follows:

- » Improve customer access to services.
- » Establish a core set of shared business functions across agencies and programs, eliminating duplicative administrative processes.
- » Provide a foundation to manage information, measure outcomes, and improve coordination across service areas, programs, and providers.

Although Framework partners only recently signed an Interagency Agreement (IGA) in 2012, the project has existed informally for over five years, having grown from just one agency to an initiative that spans the seven health and human service agencies in the State. Going forward, achieving the Framework's goals means establishing a new way of doing business. The process will take time and require an ongoing series of practical and theoretical decisions regarding policies, systems, authority, and responsibilities. The capacity to make these decisions and execute them over time requires all parties to agree and abide by a process. A consistent, effective, and equitable governance process is essential for the success of the Framework. A lack of a solid governance process or the lack of full commitment of the collaborative partners increases the risk of delays, costly mistakes, or project failure. Interoperability projects like the Framework require a formal governance structure that involves all affected agencies for both implementation and ongoing operations.

A one-year grant from the U.S. Administration for Children and Families (ACF) in 2012 funded the Framework to undertake deliberate research on governance, leading to the development and implementation of a governance process. The Framework incorporated the attributes of good governance into this process and additionally incorporated lessons learned from the experience of other successful projects.





Using the Roadmap as a Guide: Illinois Framework's Route

The Framework's governance is still in its infancy, as of this publication. The Framework's Executive Steering Committee (ESC) has started to convene at regular meetings. The sections below describe the Framework's process of developing a governance model by following the outline of the roadmap presented in this handbook. By tracing Framework progress toward establishing governance, this case study illustrates how a state might use this handbook as a guide during the early stages of developing its own governance model.

Identify and assemble strong executive leadership

WHAT MATTERS

➔ **An effective leader with the ability to influence participating agencies.**

Unlike many of the jurisdictions described as successful governance models in this handbook, Illinois does not have one individual who has centralized authority over the other members of the governing body. That is, because the Framework comprises seven separate agencies rather than one health and human services agency, no obvious leader emerges from the State's organizational structure.

The State's Chief Information Officer (CIO) serves as the chair of the Framework's governing body—a position that is independent from any of the participating agencies—and is endowed with this leadership responsibility through the Framework's founding documents. With the State CIO as head of the Framework's governing body, the Framework forges an important link between the State's health and human services agencies and the Governor's Office.

For an interoperability project connecting information technology and systems across agency boundaries, this high-level leadership is a tremendous asset. Deneen Omer, Project Manager for the Framework Planning Project from vendor CSG Government Solutions, describes this leadership as “so valuable because his involvement gives the Framework recognition that this is an important set of work for the State to take on and that is emanating from the governor's office.”¹ Because the responsibilities of the State CIO are not limited to health and human services, someone in this position may be better able to recognize the importance of engaging leaders across the governance structures, from the Agency Directors who sit at the highest levels to the technical experts who work as needed on project-specific tasks. Omer states:

A big thing I take away from [the State CIO] in institutionalizing this project in State government is the idea of what he calls the “ethos” — that this is the way we have to work together, this is the way we have to live in order for this to really work. As we were developing our recommendations as a team, it became very clear that we need to set some foundation, to lay out some principles that help to make that ethos alive. [The State CIO] recognizes that we have to do this in a way that will continue to live whether he is here or he is not, and that's a great thing to have in a leader.²

The State's
CIO serves
as the
chair of the
Framework's
governing
body.

As chair of the Framework's ESC, the State CIO has been a driving force in moving the initiative forward. In addition to efforts to formalize the Framework, the State CIO generates buy-in and acceptance among leaders of participating agencies.

WHAT MATTERS

Active participation in governance activities by agency leaders.

In agreeing to join the Framework and serve on its governing body, the Directors of all seven participating agencies and three associated major health and human service initiatives identified themselves as leaders who want to create meaningful change. The three major health and human services initiatives currently underway in Illinois are the modernization of the State's Medicaid Management Information Systems (MMIS), the implementation Health Information Exchange (HIE), and the initiatives that are part of the Affordable Care Act (ACA): Integrated Eligibility (IES) and Health Insurance Marketplace. As meetings of the ESC continue, the Framework PMO builds momentum through regular one-on-one meetings with Agency Directors, recognizing that providing leadership for the Framework is only one of these Directors' many responsibilities.

These meetings, which often include the State CIO, Framework Director, and Planning Project Manager, are designed to sustain Agency Directors' enthusiasm for the Framework and keep these leaders up-to-date on project progress. Individual meetings enable the Framework staff to better understand the challenges and concerns facing individual agencies and also help in identifying issues for discussion with the broader governing body. As Kathleen Monahan, Director of the Illinois Framework, observes,

Meeting with the Agency Directors in between the ESC meetings gives them information that helps them to understand the Framework and starts to demonstrate some of the benefits from the work the Planning Project has been doing. Hopefully, it gives them more reason to buy in; it doesn't force the buy-in, but it gives them more reason to engage in the process.³

As the Framework moves forward, agency leaders will have the opportunity to champion the project within and outside of their agencies.

Create a shared vision

WHAT MATTERS

A vision that is clearly articulated and enthusiastically supported by all those involved in its implementation.

The Framework's vision statement is "A modern healthcare and human services system for Illinois."⁴

Though it does encapsulate Framework's broad goals, this written vision statement predates the Framework's governing body and only outlines the project's scope in the broadest sense. The ESC is still in the process of creating and agreeing to a shared vision that crosses agency boundaries. "The vision is on paper right now," Monahan says, "and I hope it will become integral to the work of the ESC in time. The question



of shared vision, one year from now, hopefully won't even be there. Agency Directors would hear about a project their staff wants to do and say 'We can't do that on our own, we need to bring that to the Framework.'"⁵

Building a culture that will move the Framework toward this new way of doing business requires time and trust. Agreeing to a broad vision of the future may be relatively easy because "a vision is a picture, a view, a place we want to go — it's not detailed or very specific, it's painted in more general terms. People can make their own assumptions about what that means," Omer explains. "That's good, you have to do that at first, but to make it matter to people, you ultimately have to make it real. And starting to take that picture down to the next level, and then the next level, that's where it gets scary, and it gets hard. For many people, the vision doesn't become real until you change something on their desktop."⁶

As a first step, the ESC will come together to agree on where exactly committee members want the Framework to go and on what common principles will help get it there. To support this process, the PMO developed recommendations—principles that capture the major themes from the planning project—for consideration by the ESC. These guiding principles, which also align with the areas identified by external stakeholders, will be presented to the ESC as a starting point for developing its vision and, ultimately, the group's charter.

If the committee members approve these principles and agree to this general vision, the next step will be to bring other agency staff into the process to drill down to the next level of the vision and paint a clearer picture of what the future will actually look like. Of the next ESC meeting, Omer says, "We want to be able to say to these agency leaders, 'Here's this fuzzy picture. Will you help us identify who we should be talking with? Who do you want to help make this real?'"⁷

Through this process, agency leadership and their staff are beginning to work together across boundaries to identify a more specific vision of the future of healthcare and human services in Illinois — a vision founded on a new, collaborative way of doing business.

Formalize governance structure

WHAT MATTERS

A thoughtfully documented governance charter executed via executive order, inter-governmental agreement, memorandum of understanding, proclamation, or other foundational document.

The Framework's IGA, signed by the directors of all stakeholder agencies, lays out the mission and scope and details basic structural information about the Framework's governing bodies. The IGA is a significant accomplishment for the Framework, as it provides the formal justification for moving forward and commits agencies to following up on their involvement. In this way, an IGA may be preferable to other types of formalization, such as a mandate.

The IGA legitimizes agencies' commitment to financial and programmatic involvement.



Copies of the Framework's foundational documents, including the IGA and the Framework's proposed governance model, are included in the Toolkit section of this handbook. The IGA lays out the following components of the Framework governance structure:

Executive Steering Committee (ESC): According to the IGA, the Framework is to be governed by an ESC led by the State CIO and comprising Agency Directors, the Framework Director, and representatives from Central Management Services (CMS), the Governor's Office of Management and Budget (GOMB), and the three major healthcare technology initiatives: Medicaid Management Information System (MMIS), Health Information Exchange (HIE), and Affordable Care Act (ACA) efforts.

Members of the ESC are responsible for making high-level policy and finance decisions on Framework-related issues that cross agency boundaries and provide an opportunity to leverage State resources through agency coordination. As the executive governing body of the project, the ESC is also responsible for determining the project's strategic direction (e.g., its scope, objectives, and vision).

Project Management Office (PMO): Following the formalization of the Framework through the IGA, an official Project Management Office supports the development of the Framework. State project staff, as well as business and technical experts through the State's contracted vendor for the initial planning phase, operate the PMO. The PMO is responsible for the day-to-day operations of the project that are necessarily independent of any individual agency. Through



research and administrative support, the PMO facilitates the operations, helping to identify and inform decision-makers about broad themes and challenges faced across agencies.

Operational Committee (OC): The Operational Committee has existed in some form for several years. Prior to the Framework’s formalization, the OC—made up of designated representatives from each of the Framework agencies, as well as other key stakeholders—was essentially the Framework’s governing body. Under the new, official structure, this committee remains a critical piece of the governing process, serving as the forum for discussing important issues and determining recommendations to present to the ESC.

Subcommittees & Other Governance Support: In addition to the OC, the IGA notes that the Framework will be supported by Program Liaisons within each agency and Subject-Matter Experts to offer specialized legal, technical, and program-specific knowledge. The IGA does not explicitly create new subcommittees; however, the proposed governance model includes the recommendation that subcommittees meet on an ad-hoc basis to provide guidance and recommendations about decisions needed from the ESC. Though these subcommittees are not yet formed, proposed topic areas include Business Architecture, Enterprise Architecture, Legal, Privacy & Confidentiality, and Communications & Change Management.

WHAT MATTERS

Identify risks and strategies to mitigate them.

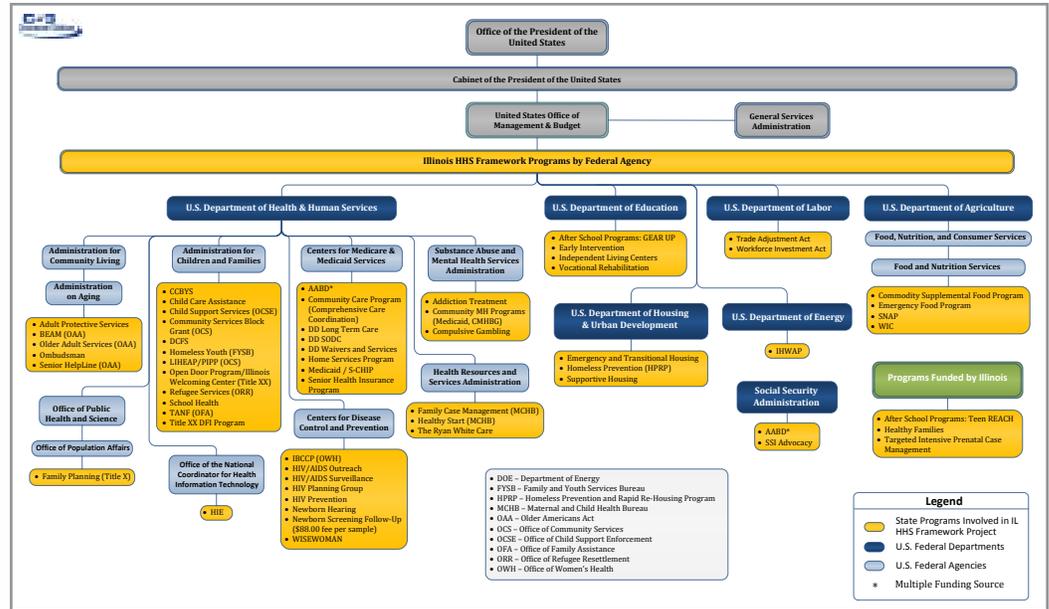
Like any project, the Framework will face risks and challenges. To ensure that these challenges do not become obstacles to progress, the Framework proactively identifies and assesses these risks. During the planning phase, the PMO initiated the process of identifying potential risks. As the facilitator of regular project meetings, the Planning Project Manager keeps a running agenda item regarding project risks and associated assessments. When appropriate, project staff addresses these risks. For example, the PMO will reduce potential agency concerns about privacy and confidentiality by preemptively holding meetings with legal counsel at every Framework agency. As the project moves into its next phase, the governing bodies will play a more active role in managing project risks, with subcommittees working through the difficult technical details and the ESC making the final decisions based on subcommittee recommendations.

Omer describes another example of a risk facing the Framework, regarding the structure of federal agency funding for Framework programs:

This is a risk because it could be an obstacle to agencies being able to work together, or thinking that they can work together. One of the things folks will say is that we have all these federal regulations and rules, and we can't do that. But we also know that the federal government wants us to be interoperable. It's a risk that we have all of these different federal agency regulations to work with, and that's not going to go away. So how do we

deal with that? Part of dealing with a risk is just recognizing that it exists. You don't throw your hands up. You just say, "Okay, there's privacy, there's confidentiality, there are all sorts of things we need to deal with." Just recognizing that will help shape the action plans and inform them.⁸

Figure 1: Illinois Framework Programs by Federal Agency Funding



Establish clear decision-making process

WHAT MATTERS →

Getting the right people at the table to make effective decisions.

Through its ESC, the Framework is beginning to gather the “right people” — that is, individuals within each Framework agency with the authority to make challenging, high-level decisions. As previously noted, the participation of the Agency Directors is described in the founding document. This step goes a long way toward ensuring that these decision-makers come to the table to strategize and move the project forward. To further engage the ESC and ease the transition into governance, the Framework invited an experienced national health and human services interoperability expert to facilitate these meetings.

However, the Framework still must determine who will sit on each of the subcommittees. Framework staff and ESC members will identify the right individuals to represent agency needs on the OC. The more highly specialized subcommittees must also be populated, each with the right experts to analyze the complicated business and technical decisions and work toward recommendations with their colleagues at other Framework agencies. Committee members will have meaningful and important tasks and decisions to ensure their continued engagement in the Framework.

WHAT MATTERS →

The group promotes full buy-in and compliance by developing decision-making guidelines and sharing them internally.



Though it has developed a proposed governance model, the Framework is still in the early stages of testing this decision-making process and determining its mechanics. As the above heading suggests, the ESC—not the IGA or the PMO—is responsible for determining that structure. During the first ESC meeting, Framework PMO staff briefed the ESC members on the results of the Framework’s extensive governance research. As a result of this briefing, the group is aware of the best practices identified from the successful governance models discussed in this handbook. However, it is up to the ESC members now to choose to integrate these practices into the Framework’s own governance model. Monahan explains:

We can’t impose these best practices on the ESC. We’re nudging a process that ultimately the members will have to own, and I hope that they will start to own this group bit by bit. If they decide to change some of the governance principles or the things they want to decide on, I’d be happy with that. It means they care about the process.⁹

As the ESC begins to consider policy and financing questions about the Framework, these decision-makers will need to determine how they want to make group decisions. Who will raise issues for discussion? How will these issues be prioritized? At what level or stage should issues be brought up to the ESC or brought down to the OC or the subcommittees? How should the group determine its final say: by consensus, majority rule, or some combination of the two? Are ESC members allowed to send designees to represent them at governance meetings? If so, can designees vote in the decision-making process?

While the handbook has suggestions from the experience of other jurisdictions, Framework leadership will need time and their own experience to determine what is best for the Framework.

WHAT MATTERS

A governing body vested with clear authority by senior leadership to make decisions of consequence.

As part of its broader decision-making process, the Framework’s ESC is still developing a decision-making hierarchy. Both the ESC and the PMO agreed on the importance of ensuring that roles are not only clearly defined but also meaningful and respectful of the busy schedules of all involved. As the Framework begins the hands-on process of developing its decision-making protocol, those involved will need to pay attention to the engagement of individuals across the governance structure to identify what works.

WHAT MATTERS

A clear and well-articulated process to determine priorities and decide between various options presented.

The documentation of any procedural decisions is an important step in establishing this new way of doing business. Framework PMO staff will be an asset in this regard, helping to identify steps in the ESC’s member-generated decision-making process that

should be documented and formalized for future reference. Omer describes this as one of the most important parts of the PMO's role:

Often times, a group of people decide, "this is how we do things," or "this is what is going to be done," but it's not formalized in a way that can be understood by others once the original group of decision-makers are gone and others are left behind. And because government of course involves bureaucracy, I understand why people might tend to try to avoid more formalization, thinking it would just mean more paper work. So we have to try to balance both of these issues – to formalize the decisions that are made about how things get done in a way that is useful, to put them into writing so that others can look back and understand why and how things are done.¹⁰

As decision-making standards are developed and shared throughout the governance structure, all involved parties are aware of how their role in the process contributes to the ultimate decision.

WHAT MATTERS

PMO and/or subcommittee members carefully prepare materials for meetings of the governing body so that meetings are productive, governance members have full information, and participants can reach decisions quickly.

While the ESC makes the major decisions, the other parts of the governance structure will carry out the bulk of the work to inform these decisions. The OC plays a particularly important role in decision-making, tackling day-to-day issues and serving as a filter for issues and recommendations proposed for elevation to the ESC level. As a group, the OC members will iron out practical challenges and come to agreement on proposals worthy of ESC consideration. As Monahan puts it, these staff will be responsible for "hashing out what decisions need to be made in what order."¹¹ The more specialized subcommittees will also play an important role in this process, providing technical knowledge and expertise to inform recommendations as needed.

To support this work, the PMO will manage meeting logistics and assist as needed to help synthesize and package the analysis coming out of these committees. In addition to its role in documenting and institutionalizing decisions, Omer views the PMO as "helping to pull together all the different issues that relate to the topic at hand, facilitating the discussion of the topic at each level in the governance structure, and supporting the different layers of the governance structure as they work on identifying issues for further exploration."¹²

As the leader of the Framework's planning phase, the PMO is well prepared to provide this support. PMO staff have undertaken interviews with staff in the involved programs and agencies and mapped out the technical and business challenges and opportunities to address. As the governing bodies begin to consider issues and make decisions, the early findings from the PMO will inform these discussions. With knowledgeable staff independent of any one agency, the PMO will prepare options



and recommendations for governance meetings using information and themes from the other governance committees.

Evaluate governance systems and adapt as needed

WHAT MATTERS

→ **Governing bodies regularly review relevant data and other information relevant to goals and objectives.**

As the Framework governing body makes decisions, the PMO will support decision-makers by conducting intensive research, analysis, and documentation during the project's planning phase. As project staff reach conclusions and produce recommendations, this well-researched information will provide a starting point for a data-driven governance process.

WHAT MATTERS

→ **Governing bodies know when to stay the course and when to change.**

As it makes decisions, the ESC must evaluate results and consider changing course if needed. To move toward this sort of honest evaluation, the Framework will create a culture that fosters flexibility and introspection within governance. For a group of very busy individuals such as the ESC to want to take time to examine their progress and consider change, the group must see the process and the results as important to their agency and their clients.

As Omer puts it, "There have to be opportunities for people to step back on a regular basis and ask 'Is this really working like we want it to?' and then have the willingness and openness to change. But to do this, the people involved first have to feel ownership of the process to care enough about evaluating it."¹³ If the Framework succeeds in creating a truly shared vision and a collaborative decision-making culture, self-assessment and adaptation should follow.

WHAT MATTERS

→ **Governance remains able to adapt, as appropriate and as indicated, to maintain relevance, interest, and long-term sustainability.**

The Framework has already demonstrated remarkable adaptability by expanding to include additional agencies and by securing the funds necessary to allow the project to evolve. The current efforts to leverage federal funding opportunities—including MMIS, HIE, and ACA—will ensure that healthcare and human service systems in Illinois are moving in the same direction as the federal dollars, helping the Framework to maintain relevance for all stakeholders.

The Framework’s governance bodies will periodically undertake informal evaluations of their efforts as the project moves forward. In public sector projects, this sort of assessment is often reserved for times of transition from one administration to another, such as when the new staff comes in to manage projects. At other times, the State Legislature questions the purpose or activities of such projects. Though this sort of assessment has not challenged the Framework, it is preparing for such potential scrutiny from outside the project by basing its work on well-researched information and providing thorough documentation.

Maintain transparent communications

WHAT MATTERS

Communications address both internal and external partners, stakeholders, and leaders.

The Framework sought extensive engagement with internal and external stakeholders throughout the planning phase and intends to dedicate continued focus under the guidance of the Framework’s Communication and Change Management Division.

Throughout the planning phase, PMO staff met with Framework agency employees to understand each agency’s unique systems and challenges. Following these meetings, the PMO presented its agency-specific findings to agency leadership. Framework staff also prepared thorough briefing documents and materials to ESC leadership in advance of Framework meetings and continues to prioritize preparation for such meetings.

The Framework also maintains open communications with community partners and stakeholders through the Stakeholder Engagement Project, managed by the Illinois Public Health Institute. Through this project, the Framework conducted a state-wide “listening tour” to provide information to stakeholders—including service recipients, providers, advocates, and State employees—and to gather input about the project.

WHAT MATTERS

Transparent governance communications plans that result in greater understanding and acceptance.

The Framework has many outlets for communicating information about the project’s progress. The project’s website provides information to the public about planning, governing, and engagement efforts as well as about opportunities to register to attend the stakeholder engagement forums. Stakeholder engagement sessions serve to enhance transparency and increase buy-in, disseminating information to external



More than anything, building an effective governance process is about achieving momentum and sustaining the vision.



stakeholders and feeding back into the project the major conclusions from these listening sessions. For example, the conclusions from the first rounds of stakeholder engagement informed the recommended guiding principles put forth to the ESC, which will likely serve as the basis of the group’s charter. As decisions are made through the Framework’s governance process, Illinois will maintain transparency by informing stakeholders of the Framework’s progress through this sort of outreach.

The Framework will ensure transparency through thorough documentation of meetings. The PMO is responsible for taking minutes at project and governance meetings and disseminating these minutes to all involved. As the governance process further develops—with agency staff serving on subcommittees and the operational committee—the PMO will continue to document and share notes on the project’s progress across various levels to keep stakeholders and leaders informed.

LESSONS LEARNED

Though the Framework’s governance process has only recently taken shape and begun to take action, the project staff has already learned some valuable lessons:

Cultivate an ethos. Though the project staff has worked hard to identify best practices for effective governance from other states, Framework staff members themselves cannot implement these best practices. More than anything, building effective governance is about achieving momentum with all those involved and sustaining each individual’s buy-in. The culture, or ethos, of the project underlies all of its work and all of its decisions.

Be patient. The culture needed for effective governance takes time to form. When done correctly, a governance structure will involve many high-level stakeholders

Continue
to build
relationships
with others
who are
working
on similar
projects.

with very busy schedules. It is only natural for project staff to want to move forward quickly and to feel some frustration when the governance process slows down due to logistical issues or low initial prioritization.

Continue to learn from and share with others. As highlighted throughout this handbook, the Framework learned a great deal from its conversations with leaders in other jurisdictions. The Framework continues to build these relationships through conferences and phone calls with others who are working on similar projects.

Kathleen Monahan elaborates on the governance lessons that she has learned thus far:

When we started talking with one of the Agency Directors about governance at the beginning of the project, she said, "That's going to be the hardest part." It is very difficult to impose even the best governance model onto a group that isn't a group yet — a group that hasn't decided "We're going to govern ourselves." I guess the thing I've discovered is that it's hard, and like everything else in state government, just keep chipping away at it. We just keep working. We keep meeting with the Agency Directors, we keep having ESC meetings, we keep working with them and focusing on what is important and what is in the best interest of the State.¹⁴

¹ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

² Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

³ Kathleen Monahan in discussion with the Framework Interoperability Team, July 2013.

⁴ Monahan, Kathleen (Project Director) and Illinois Interoperability and Integration Project Staff. *Illinois Framework Project*.

⁵ Kathleen Monahan in discussion with the Framework Interoperability Team, July 2013.

⁶ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

⁷ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

⁸ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

⁹ Kathleen Monahan in discussion with the Framework Interoperability Team, July 2013.

¹⁰ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

¹¹ Kathleen Monahan in discussion with the Framework Interoperability Team, July 2013.

¹² Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

¹³ Deneen Omer in discussion with the Framework Interoperability Team, July 2013.

¹⁴ Kathleen Monahan in discussion with the Framework Interoperability Team, July 2013.



Resource Library

This Resource Library contains the resources from which the Illinois Framework developed its understanding of best practices in good governance and interoperability. The resources below are divided into three categories: interviews, interoperability resources, and governance resources. The interviews include original recordings of phone calls with the subject-matter experts consulted for the writing of this handbook. Interoperability resources include reports, white papers, and websites related to cross-boundary information sharing initiatives. Finally, governance resources include publications and websites on the various types of governance, including information technology (IT) governance, nonprofit governance, and data governance. All documents and interviews can be found at illinoisframework.org/illinois-framework-resource-library/.

INTERVIEWS:

Ahluwalia, U. (2013). [Interview with Uma Ahluwalia, Director of the Department of Health and Human Services, Montgomery County, Maryland]. Uma Ahluwalia describes the governance structure for Montgomery County, Maryland's Department of Health and Human Services. (Audio File, 27:00 min.)

Baden, T. (2013). [Interview with Thomas Baden, Chief Information Officer of the Department of Human Services, State of Minnesota]. Tom Baden discusses the governance structure for the State of Minnesota Department of Human Services. Mr. Baden describes meeting structures, decision-making procedures, as well as other important components of a governing body. (Audio File, 34:00 min.)

Culp, S. (2013). [Interview with Shell Culp, Chief Deputy Director at the Office of Systems Integration, State of California]. Shell Culp describes the structure of the Enterprise Architecture in California and discusses the planned governance model of California's upcoming interoperability initiatives. (Audio File, 36:00 min.)

Friedman, R. (2013). [Interview with Rick Friedman, Former Director of the Division of State Systems, U.S. Department of Health and Human Services CMS/Medicaid]. Rick Friedman gives a detailed overview of his experience with the Medicaid Information Technology Architecture (MITA), providing insight into a governance and interoperability model at the federal level. (Audio File, 38:00 min.)

Gibbs, L. (2013). [Interview with Linda Gibbs, Deputy Mayor for Health and Human Services, New York City]. Deputy Mayor

Linda Gibbs gives an overview of New York City's HHS-Connect project, describing its origin, the governance structure, and how the system utilizes interoperability to connect health and human services agencies. (Audio File, 47:00 min.)

Hazel, Dr. W. (2013). [Interview with Dr. William Hazel, Secretary of Health and Human Resources, Commonwealth of Virginia and Mike Wirth, Special Advisor on eHHR integration]. Dr. Bill Hazel and Mike Wirth describe the implementation of the Electronic Health and Human Resources (eHHR) system for the Commonwealth of Virginia. (Audio File, 33:00 min.)

Howard, R. (2013). [Interview with Rick Howard, Research Director, Gartner Government Industry Team]. Rick Howard discusses strategies for implementing governance around interoperability projects, citing examples from his experiences with Gartner and the Oregon Department of Human Services. (Audio File, 30:00 min.)

Macchione, N. (2013). [Interview with Nick Macchione, Director of the Health and Human Services Agency, San Diego County, California]. Nick Macchione gives an overview of San Diego County's Health and Human Services Agency's formal governance model, and their centered-set approach towards clients. (Audio File, 37:00 min.)

Wormeli, P. (2013). [Interview with Paul Wormeli, Executive Director Emeritus, Integrated Justice Information Systems Institute]. Paul Wormeli describes his experiences with the National Information Exchange Model (NIEM) and other initiatives

Refer to these resources to develop your own best practices in good governance and interoperability.

both in and outside the justice systems realm, and he also gives helpful insights regarding the implementation of new governance initiatives. (Audio File, 37:00 min.)

INTEROPERABILITY RESOURCES:

American Public Human Services Association. (2011).

Bridging the Divide: Leveraging New Opportunities to Integrate Health and Human Services. This report lists strategies that states must take to achieve interoperability, such as establishing strong and committed leadership, engaging stakeholders, changing organizational culture to minimize silos, and focusing on consumer-centered approaches. The report includes case studies from other states working on interoperability initiatives.

Center for Technology in Government, State University of New York at Albany. (2009). ***Factors Influencing Cross-Boundary Information Sharing: Preliminary Analysis of a National Survey.*** This report summarizes the results of a national survey, conducted by the Center for Technology in Government, exploring cross-boundary information sharing in the public sector.

Gartner. (2008). ***Enterprise Data Warehouse/Business Intelligence (EDW/BI) Project Update and Options.*** This analysis provides an Options Analysis for the State of Texas' HHS Enterprise Data Warehouse/Business Intelligence Infrastructure (option 1) and HHS Research and Analytical Data Warehouse and Business Intelligence System (option 2). The commission evaluates the strengths and challenges of each option and provides a risk analysis for each type of governance: data, technology, IT investment prioritization, and overall project governance.

New York City Department of Health and Human Services. (2010). ***HHS-Connect Roadmap 2.0.*** New York City's HHS-Connect program will "break information silos through the use of modernized technology and coordinated agency practices to more efficiently and effectively provide Health and Human Services to New Yorkers." This document explains the importance of establishing a governance model with clear lines of responsibility and accountability and provides an organization chart with the HHS-Connect governance model.

Accenture. (2012). ***Outcomes and Impact: Insights from the 2012 Human Services Summit at Harvard University.*** This document provides a detailed account of the 2012 Accenture Human Services Summit, which gathered leaders from federal, state, and local human services organizations to share insights and leading practices, deconstruct opportunities and challenges, and discuss delivering human services in the future.

NIEM Project Management Office. (2007). ***Introduction to the National Information Exchange Model.*** This introduction to NIEM is designed to; a) provide a general description of how NIEM functions, b) describe the need for and value of NIEM as an enabler of enterprise-wide information sharing, c) provide an overview of key NIEM concepts; and d) identify near-term goals of NIEM.

U.S. Office of Child Support Enforcement. (2012). ***Child Support Report- How Do We Manage Change?*** This document contains an interview with Pamela Lowery, Director of the Illinois Division of Child Support Services, on the topic of managing change in the Office of Child Support Enforcement.

Oracle. (2012). ***Leveraging Governance to Sustain Enterprise Architecture Efforts.*** This report discusses attributes of high-quality enterprise architecture projects, including the role of governance as a driving force behind the adoption of new technology in corporations.

Stewards of Change. (2012). ***Presentation of Key Findings and Recommendations from the 2012 Stewards of Change National Conference.*** This webpage provides resources from Stewards of Change's 7th Annual Conference, a symposium that explored current trends, promising case studies, and innovative next practices from jurisdictions at the forefront of linking health and human services.

Stewards of Change. (2011). ***From Field to Fed II: Linking Systems to Sustain Interoperability in Challenging Times.*** The 6th annual Stewards of Change Symposium primer provides information describing their "Theory of Change" model, a means of organizing change and innovation within child welfare and human services.

U.S. Department of Health and Human Services: Administration for Children and Families (ACF). (2012). ***Your Essential Interoperability Toolkit.*** This toolkit aims to facilitate greater communication and service integration between State agencies and their health partners. The toolkit provides up-to-date information and resources to support the efforts of workers and agencies in order to better serve clients and achieve better outcomes. The toolkit content includes relevant policy, funding, and technology information.

U.S. Department of Health and Human Services: Administration for Children and Families (ACF). Website: *Department of Health and Human Services Administration for Children and Families (ACF) Interoperability Initiative.* The ACF Interoperability website provides a foundation for information relating to national interoperability projects and initiatives.



Stewards of Change. (2010). *National Interoperability Community of Practice (NICOP)*. This brief explores the NICOP, created by Stewards of Change in 2010, for health and human services practitioners to share real-world experience and advance interoperability for consumer benefit.

Stewards of Change. Website: *National Interoperability Community of Practice (NICOP)*. This communal website provides a place for colleagues across health, education, and human services to focus and support a national vision and strategy for interoperability. The site is meant to be a tool to help share information, hold discussions, present case studies, and interact with peers to ultimately improve client outcomes.

American Public Human Services Association (APHSA). Website: *National Workgroup on Integration*. This website houses information from the National Workgroup on Integration, including webinars, slides, and other resources about the integration of health systems and human services programs.

GovLoop. *Defining Human-Centric IT*. This info-graphic provides two options that envision the future landscape of government IT. It also describes the characteristics involved for a human-centric IT governance model.

GOVERNANCE RESOURCES:

NGA Center for Best Practices. (2009). *Overview of State Justice Information Sharing Governance Structures*. This report provides an overview of governance structures for justice information systems and includes a chart documenting specific state-by-state governance details, including how structures were created and managed.

Harvard Business School. (2008). *Achieving Excellence in Nonprofits*. This website documents a Q&A session with Harvard Business School professor Herman B. Leonard, who discusses challenges and proposed solutions in nonprofit governance.

American Public Human Services Association (APHSA). (2012). *Governance Guidance for Horizontal of Health and Human Services*. This report offers guidance to state and county leaders on how to establish an oversight body that sets the vision, strategic direction, desired outcomes, and policies to govern and support the planning, design, and implementation of an integrated health and human service system.

Aspen Advisors. (2011). *Managing Healthcare IS Supply and Demand: IT Governance Remains a Top Organizational Challenge*. This report examines the need for a strong governance model to prioritize initiatives, align projects and capital spending

with key organizational priorities, establish the appropriate champions and sponsors to successfully drive the top priorities forward, and define ways to measure results.

Board Source. (2012). *Governance Documentation: Article, Bylaws, and Policies*. This overview discusses the importance and function of governance documentation and outlines categories of documentation, including organizational documents, internal guidelines, board processes, and reporting documents.

State of Colorado Governor's Office of Information Technology. *Executive Governance Committee (EGC) Overview for New Members*. This presentation explains how legislation established Executive Governance Committees (EGC) for all State-certified IT projects, outlines the EGC mission and how decisions are made, and describes the eight EGC committees that provide oversight for grouped State agencies.

Center for Technology in Government, State University of New York at Albany. (2012). *Governance Structures in Cross-Boundary Information Sharing: Lessons from State and Local Criminal Justice Initiatives*. This report identifies necessary components of governance structures for information sharing, based on interviews with representatives from four state and local criminal justice information sharing systems.

Center for Technology in Government, State University of New York at Albany. (2009). *Enterprise IT Governance in State Government: State Profiles*. This report reviews how states organize their enterprise IT governance frameworks, with in-depth examples from thirteen states to provide a broad picture of state enterprise IT governance efforts in the United States.

The Data Governance Institute. *The DGI Data Governance Framework*. A general overview of data governance, this document describes a ten-component process for implementing a data governance framework.

Washington State Community and Technical College. (2011). *CTC ERP Project- Governance Recommendations*. This presentation describes the background of the Washington State Community and Technical College Enterprise Resource Planning (ERP) project and presents governance recommendations for the project, including an organization chart, a delineation between governance focus and operations focus, and a description of the relationships between different governance entities.

Healthcare Information and Management Systems Society (HIMSS). (2012). *Effective IT Governance Needed for Successful Clinical Informatics Implementation*. This report defines IT governance and lists essential steps for creating an IT governance process.

Refer to these resources to develop your own best practices in good governance and interoperability.

State of Illinois Health Information Exchange Authority. (2012). *IL HIE Authority Data and Security and Privacy Committee – Governance and Duties*. This work plan gives an overview of the Illinois Health Information Exchange (HIE) Authority's structure, duties and powers, patient privacy and security, and the formation and duties of the Security & Privacy Committee.

GPS Group, Inc. (2008). *Implementing IT Governance*. This workbook explains industry and government best practices in IT governance, describing models such as COBIT, COSO, Six Sigma, and Prince2. Five major objectives are addressed for implementing an IT governance system: alignment of business and IT goals, establishing accountability, ensuring value delivery, improving IT services, measuring contributions of IT to business, and facilitating regulatory compliance.

The Independent Commission on Good Governance in Public Services. (2004). *The Good Governance Standard for Public Service*. This report describes the good governance standard, including its purpose, its core principles, and methods for putting the principles into practice.

Michigan Department of Information Technology. (2007), *Webinar: Michigan's Project Management and Governance Model Executive Summary*. This webinar describes the Michigan Department of Information Technology (MDIT), which was formed from 19 disparate agencies that needed to consolidate IT projects. It also describes State's approach to implementing an IT governance model focused on accountability.

Sloan School of Management, Massachusetts Institute of Technology. (2002). *Don't Just Lead, Govern: Implementing Effective IT Governance*. This white paper describes how effective IT governance should look and how to make decisions in five domains: principles, infrastructure, architecture, investment, and prioritization.

National Association of Counties (NACo). (2010). *National Association of Counties Interoperability Governance Model*. With a focus on public safety, this report describes what good governance amongst multiple agencies should look like and explains the steps to make governance work. The report details the SAFECOM model of governance that helps to improve communications interoperability in the public safety sector.

National Association of Chief Information Officers (NASCIO). (2005). *We Need to Talk: Governance Models to Advance Communications Interoperability*. This brief looks at governance models that can advance communications interoperability. The brief explains that interoperability requires more than

equipment and that open systems standards, critical incident management, training, and operational policies and procedures that govern interoperable communication systems are all critical to interoperability.

U.S. Department of Health and Human Services: Administration for Children and Families (ACF). (2012). *National Information Exchange Model: Human Services Domain Charter*. This Charter includes essential information for a project team, covering five areas: 1) NIEM overview; 2) ACF as the NIEM Human Services Domain Steward; 3) NIEM domain purpose, function, goals, and expected outcomes; 4) domain governance; and 5) domain performance measures.

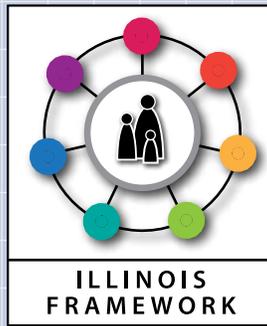
U.S. Department of Homeland Security. (2012). *NIEM Testimony of Donna Roy*. This testimony was provided by NIEM Executive Director Donna Roy to the House Committee on Ways and Means, Human Resources Subcommittee. Executive Director Roy describes the governance and structure of NIEM and includes examples of how various levels of government use and interact with NIEM.

Board Source. (2005). *The Source: Twelve Principles of Governance that Power Exceptional Boards*. This excerpt outlines twelve governance principles that characterize boards that are not only responsible, but exceptional.

National Association for Chief Information Officers (NASCIO). (2005). *Connecting the Silos: Using Governance Models to Achieve Data Integration*. This brief considers the need for a governance structure before data integration, and provides several examples of how state and federal entities established their governance models in conjunction with data implementation. The document also provides an overview of the different components involved when implementing a governance initiative.

The IT Governance Institute. (2007). *COBIT 4.1*. This report provides information about COBIT (the Control Objectives for Information and Related Technology), a framework for linking IT to business requirements.

Department of Homeland Security. (2008). *Establishing Governance to Achieve Statewide Communications Interoperability: A Guide for Statewide Communication Interoperability Plan (SCIP) Implementation*. This document provides information on the role, systems, and operations of statewide governing bodies that are charged with improving communications interoperability across a state. The information is presented as a guide or a set of recommendations for developing a statewide communications interoperability governance methodology.



Governance Toolkit

The toolkit contains original governance documents developed by the Illinois Framework as well as examples from other jurisdictions including memoranda of understanding/agreement (MOUs/MOAs), charters, interagency agreements, and data release agreements. Charters provide models for steering committee structures and highlight operational guidelines for governing bodies. MOUs, MOAs, interagency agreements, and data agreements offer examples of how state and municipal agencies collaborate, and establish the requirements and responsibilities involved in interoperable partnerships. All documents listed in the Governance Toolkit can be found at illinoisframework.org/illinois-framework-resource-library/.

Allegheny County. (2001). Allegheny Department of Human Services Data Release Agreement. An agreement between the Department of Public Welfare (DPW) and the Allegheny County Department of Human Service (ACDHS) to allow the release of information to improve the coordination of service delivery to individuals and families served in both agencies.

Allegheny County. Allegheny County Department of Human Services and Allegheny County Juvenile Probation Office Data Sharing and Data Release Agreement. An Agreement between the Allegheny County Department of Human Services (ACDHS) and the Allegheny County Juvenile Probation Office (ACJPO) that permits the sharing of information about the youth for whom these agencies are individually and/or mutually responsible.

State of New York. (2005). New York Data Sharing Agreement. An agreement between the New York State Office of Children and Family Services and the New York State Department of Health that establishes an exchange of data, including client-specific information, to further the needs and objectives of each agency.

State of New York. (2007). New York Data Sharing Agreement Amendment. A data sharing agreement between the Department of Health and the Office of Children and Family Services that was amended to include information exchange related to children and Medicaid.

State of New York. Memorandum of Understanding between the New York State Office of Mental Health (OMH) and the New York State Department of Correctional Services (DOCS). An agreement between OMH and DOCS on the amount and level of mental health services required at each state correctional facility.

State of New York. (2007) Memorandum of Understanding Concerning Medicaid Home and Community-Services Waiver Bridges to Health (B2H). This MOU designates the New York State Department of Health as the single state agency for administering New York's Medicaid State Plan.

State of Colorado: Office of Information Technology. Guidelines for Information Sharing. This report sets out guidelines that have been developed in Colorado to standardize the approach for information sharing initiatives and to incorporate best practices with these efforts.

State of South Carolina. Models for Change Information Sharing Tool Kit. This document provides samples of formal agreements between and among agencies for the purposes of sharing information.

State of Illinois. (2012). Interagency Agreement among the Department of Human Services, the Department on Aging, the Department of Children and Family Services, the Department of Commerce and Economic Opportunity, the Department of Public Health, the Department of Healthcare and Family Services, and the Office of the Governor Regarding the Illinois Healthcare and Human Services Framework Project. This interagency agreement connects the Framework partners to facilitate the achievement of accessible, efficient, and integrated delivery of healthcare and human services.

City of New York, Office of the Mayor. (2008). Inter-Agency Data Exchange Agreement. This agreement establishes HHS-Connect, New York City's interoperability system, to facilitate data integration and exchange between existing agency-based information management systems.

These agreements and other docs can serve as examples for your interoperability governance projects.

New York City Office of the CIO for Health and Human Services. (2008). *HHS-Connect Executive Steering Committee Charter.*

This charter details the guiding principles for New York City's interoperability initiative, HHS-Connect. Included within the charter are descriptions for decision-making processes, member roles and responsibilities, and operational guidelines.

Alameda County. (2010). *Master Agreement between the Oakland Unified School District and the County of Alameda Related to School-Based Support Services.* This agreement establishes the responsibilities of parties in support of school-based health and wellness services, formalizing and enhancing existing service provision to students in the Oakland Unified School District.

San Diego County. (2009). *Foster Youth Student Information System (FY-SIS)/Juvenile Web (J-WEB) Memorandum of Agreement.* The purpose of this agreement is to maintain and operate both the FY-SIS and J-Web databases, as well as improve outcomes for dependents and wards of the Juvenile Court by having up-to-date information and an efficient information exchange process.

Alameda County. (2011). *Memorandum of Understanding.* This MOU between the Alameda Health Care Service Agency (HCSA) and the Alameda County Social Services Agency (SSA) establishes an information exchange system in which the SSA will maintain associated components to sufficiently support the needs of the initiatives.

State of Colorado. (2010). *CCYIS Initiating Agency MOUs.* This appendix contains several MOUs from the State of Colorado.

State of Colorado. (2010). *Colorado Department of Human Services Memorandum of Understanding Between Division of Child Welfare Office of Children, Youth and Family Services and Division of Developmental Disabilities Office of Veterans and Disability Services.* The purpose of this MOU is to establish a system of referral for children, from birth to age two, who are victims of substantiated abuse or neglect, to the local early intervention system for screening and evaluation.

State of Idaho. (2007). *Memorandum of Understanding between the Division of Behavioral Health and the Division of Family and Community Services Regarding Infant and Early Childhood Mental Health Services.* The purpose of this MOU is to enhance the delivery of health and human services regarding the mental health services for children, from birth to age three, whose parents or others are concerned about their behavioral or social-emotional development.

State of Indiana. *Memorandum of Understanding between the Indiana Department of Health and Indiana Family and Social Services Administration.* The purpose of this MOU is to establish a mutual understanding of the roles and responsibilities of the involved parties with all current and future data exchanges.

State of Iowa. (2012). *Data Sharing Memorandum of Understanding between Sioux City Community Schools, and Iowa Department of Human Services Western Service Area, and Iowa Third Judicial District Juvenile Court Services.* This MOU requires the involved parties to facilitate the sharing of data and define the terms and conditions of governing the exchange and disclosure of confidential data between agencies.

Jefferson County, Colorado. *Memorandum of Understanding Pursuant to House Bill 04-1451.* This MOU discusses a collaborative approach to the delivery of services to children and families.

Oregon Department of Human Services. (2005). *Memorandum of Understanding between the Oregon Department of Education and the Office of Mental Health and Addiction Services.* The purpose of this MOU is to develop and enhance the collaborative relationship between the involved parties by agreeing to and investing in a statewide system initiative.



These agreements and other docs can serve as examples for your interoperability governance projects.

Oregon Department of Human Services & Oregon Health Authority. (2011). *Joint Operations Steering Committee Charter.*

This Charter details the purpose, background, and role of the Joint Operations Steering Committee (JOSC), which is an internal leadership and governance body of the Oregon Department of Human Services and Oregon Health Authority.

Oregon Department of Human Services & Oregon Health Authority. (2011). *Joint Policy Steering Committee Charter.* This Charter outlines the purpose, background, and role of the Joint Policy Steering Committee (JPSC), which is to provide policy and strategy direction to the Joint Operations Steering Committee (JOSC).

Sacramento County, California. *Amended Memorandum of Understanding between the County of Sacramento Department of Health and Human Services (DHHS) and Sacramento Housing and Redevelopment Agency (SHRA) to Fund Supportive Housing for Homeless People with Psychiatric Disabilities.* This MOU establishes the Building Hope Fund, describes the responsibilities of the two agencies for creating low-income housing, and provides a mechanism for the transference of the Fund from DHHS to SHRA.

San Diego County, California. (2009) *Memorandum of Understanding.* This MOU defines the boundaries of information sharing between the Multi-Systems Workgroup.

San Diego County, California. (2011). *Foster Youth Student Information System (FY-SIS) Memorandum of Agreement.* The purpose of this MOA is to maintain the FY-SIS database and to gather and provide up-to-date demographic, education, and health information.

Solano County, California. (2010). *First Amendment to Memorandum of Understanding Health and Social Services: Child Welfare Services and Public Health Divisions.* This MOU, regarding integrated systems in preventive and public health services for children, was amended for extension and budgetary changes.

State of Texas. (2007). *Memorandum of Understanding between the Texas Department of Criminal Justice, the Texas Health and Human Services Commission, Community Mental Health and Mental Retardation Centers, and Community Supervision and Corrections Departments.* The purpose of this MOU is to document the parties' understanding regarding the establishment of a continuity of care system for offenders with mental illness or mental retardation.

State of Texas. *Memorandum of Understanding Texas Partnership for Family Recovery.*

This Partnership MOU defines the mission of five agencies to build and sustain integrated and coordinated mental health and substance abuse policies, protocols, and tools for children and families who are involved with the judicial and Child Protective Services (CPS) systems.

State of Texas. (2006). *Memorandum of Understanding for Coordinated Services to Persons Needing Services from More than One Agency.* This MOU provides for the implementation of a statewide system of county-based, multi-agency community resource coordination groups to provide services for persons of all ages needing multi-agency services.

State of Utah. (2007). *Memorandum of Understanding for Coordinated Services with the Department of Human Services, Department of Health, Office of Education, Administrative Office of the Courts and the Department of Workforce Services.* This MOU was created to provide a foundation for agency personnel to deliver coordinated services to eligible families, and to promote consistent statewide delivery, reporting, and data sharing methods.

State of Utah. (2009). *Memorandum of Understanding.*

This MOU defines the individual and joint obligations of the Administrative Office of the Courts (AOC) and the Utah Department of Human Services (DHS) to develop and implement an interface between each agency's information systems.

Commonwealth of Virginia. *Virginia Memorandum of Understanding.*

The purpose of this MOU is to establish and commit the Department of Social Services, the Department of Mental Health, Mental Retardation, and Substance Abuse Services, the Office of the Executive Secretary, and the Supreme Court of Virginia to work together to develop and improve the state and local infrastructure to support the collaborative works of local agencies and courts on behalf of children and families.

Commonwealth of Virginia. *Virginia's Restricted Data Use Agreement.* This agreement allows for the collection and analysis of personally identifiable information.

Commonwealth of Virginia. (2012). *Commonwealth of Virginia eHHR Program: Program Charter.* This Program Charter gives a detailed description of the scope, objective, and participants in the Virginia electronic Health and Human Resources (eHHR) Program. It provides a delineation of roles and responsibilities, outlines the project objective, identifies the main stakeholders, and identifies the authority of the program manager.



Share your
challenges and
successes with
others.

Conclusion

Illinois is one of a handful of states in the forefront of a movement to create interoperable systems across Health and Human Services. Interoperability—born out of a tremendous need to improve the quality and efficiency of healthcare and human services—has gained momentum in the past several years, and it continues to move swiftly across the country because of visionary leadership, advancing technology, and the passage of the Patient Protection and Affordable Care Act of 2010.

It is easy for states and counties involved in the myriad tasks of interoperability to overlook governance. Illinois hopes that this handbook will help each jurisdiction prioritize governance and create a governance model that is tailored for its unique circumstances. As Illinois continues to move forward, the state will likely make mistakes, change course, and incorporate new strategies in an ongoing effort to create the best for governance for the Illinois Framework and the people it serves. Continue to watch Illinois closely and, as Illinois has done, share your own challenges and successes with others.

Good luck.



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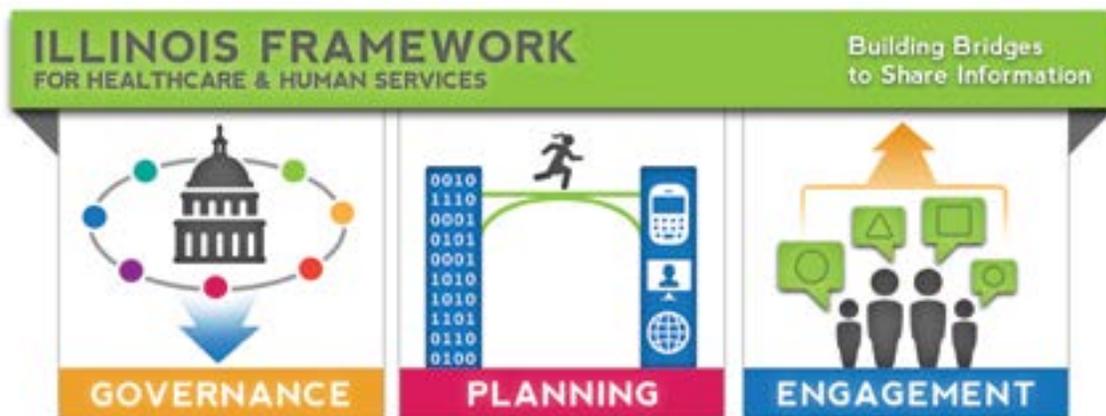
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To order print copies, please send your request to DHS.HHSFramework@Illinois.gov. The online version can be found at www.illinoisframework.org.





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