

Governance Design Group Meeting Summary

Meeting Date	Meeting Time	Location – Zoom Web Conference
Wednesday, May 23, 2018	10:00am – 11:30am EDT	Webinar link: https://zoom.us/j/815997759 Telephone: (408) 638-0968 or (669) 900-6833 Meeting ID: 815 997 759

Design Group Members			
Lisa Stump, MS, RPh, Yale New Haven Health	X	Bruce Adams, JD, Office of the Lieutenant Governor	X
Patricia Checko, DrPH, Consumer Advocate and Public Policy Professional	X	Commissioner Roderick Bremby, Department of Social Services Representative (supported by Polly Bentley and Joe Stanford, as needed)	X
Jake Star, VNA Community Healthcare & Hospice	X	Bill Roberts, JD, Office of the Attorney General (on assignment from Shipman & Goodwin)	
Design Group Support			
Michael Matthews, CedarBridge Group	X	M.J. Lamelin, HIT PMO	X
Chris Robinson, CedarBridge Group	X	Sarju Shah, HIT PMO	X
Jennifer Richmond, HIT PMO	X	Kelsey Lawlor, HIT PMO	X
Grace Capreol, HIT PMO	X	Dino, Puia, HIT PMO	X

Minutes		
	Agenda Topic	Notes
1.	Welcoming Remarks – Meeting Overview and Objectives	<p>Other Attendees:</p> <ul style="list-style-type: none"> Ellen Dickerson (DSS) Polly Bentley (DSS – on assignment from HealthTech Solutions) Joe Stanford (DSS) Sheryl Turney (Anthem) Alan Fontes (UConn AIMS) Kate Hayden (UConn Health) Dr. Tom Agresta (UConn Health) <p>Jennifer Richmond provided welcoming remarks and introduced her role and the role of other individuals within CedarBridge and the Health IT Program Management Office (HIT PMO). This Governance Design Group was chartered by the Health IT Advisory Council and builds off of past recommendations that the HIE should be governed by a neutral and trusted entity.</p> <p>June Special Session Public Act 17-02 established the Office of Health Strategy and called for the creation of a new HIE governance entity or the designation of an existing organization as the neutral and trusted entity to establish the governance framework.</p> <p>The purpose of the Design Group is to develop recommendations to the Health IT Advisory Council to address the following:</p> <ul style="list-style-type: none"> Relationship of the Health IT Advisory Council, the State of Connecticut, and the newly formed or designated HIE entity;

**Governance Design Group
Meeting Summary**

		<ul style="list-style-type: none"> • Pros and cons of establishing a new HIE entity or designating an existing entity with recommendations; • Baseline elements of a trust framework and agreement; • Table of contents for HIE policies and procedures; and • Critical success factors for HIE governance. <p>The HIT PMO and CedarBridge will be providing materials in advance of each Design Group meeting and anticipate that there will be approximately 3 hours of preparation required from Design Group members for each meeting.</p> <p>The goal of the Design Group is to present the recommendations to the Health IT Advisory Council on July 19 and then submit the recommendations to Allan Hackney (Health Information Technology Officer) in August.</p> <p>Jennifer provided an overview of the agenda:</p> <ul style="list-style-type: none"> • Introductions; • Review and approval of the Project Charter; • Review of the planning process; • Discussion of HIE governance basics (this topic will be discussed during the first two Design Group meetings); • Wrap-up of the meeting and discussion of next steps.
2.	<p>Introductions</p> <ul style="list-style-type: none"> • <i>2-minute introductions of name, organization/title, summary of stakeholder perspective represented</i> 	<p>Michael welcomed the Design Group members and asked the members to introduce themselves:</p> <ul style="list-style-type: none"> • Lisa Stump – CIO for the Yale New Haven Health System and Yale School of Medicine • Pat Checko – consumer advocate representative and a former public health official and epidemiologist • Jake Star – CIO for VNA Community Healthcare and Hospice • Bruce Adams – General Counsel for Lieutenant Governor Nancy Wyman • Polly Bentley – She is attending on behalf of Commissioner Bremby, who is also in attendance. • Commissioner Roderick Bremby – It is his intent to attend all of the Design Group meetings. When he is not able to attend, Joe Stanford will be present and participating. Roderick Bremby is the Commissioner of the Department of Social Services, the state’s Medicaid Agency. <p>Victoria Veltri will serve in an advisory role to this Design Group and Allan Hackney will be the project sponsor.</p> <p>In addition, we have great support staff supporting this effort, including a number of staff from the HIT PMO and Michael Matthews and Chris Robinson from CedarBridge Group. CedarBridge also brings Steve Gravely, who is the original author of the Data Use and Reciprocal Support Agreement (DURSA) and currently serves as General Counsel to the eHealth Exchange, Carequality, and The Sequoia Project.</p>

**Governance Design Group
Meeting Summary**

		<p>Michael Matthews previously served as the CEO of MedVirginia and ConnectVirginia HIE. MedVirginia was the first HIE to connect with the eHealth Exchange, Department of Veterans Affairs, Department of Defense, and he served on the review group for the DURSA. Michael also served as Chair of the eHealth Exchange’s Coordinating Committee and as President and Board Chair of The Sequoia Project.</p> <p>We will have 5 total meetings of this Design Group, and Michael recognizes that we will not be able to get through everything governance-related. We are going to try to establish a “starter set” of governance recommendations for the HIE entity that will be created or designated in the near future. Through this Design Group process, we want to be able to identify best practices and to create something that is viable and workable for the State of Connecticut.</p> <p>The Design Group will be presenting their recommendations at the July Health IT Advisory Council meeting. Following this presentation, any feedback received from the Advisory Council will be incorporated and the final recommendations will be delivered to Allan Hackney in August. The Design Group members will need to have ownership over the recommendations that go before the Advisory Council.</p> <p>The PowerPoint presentation that will be used during today’s meeting will also be used during the next Design Group meeting on June 6th. The meetings will move at a pace that is appropriate for the members and Michael will make sure that people are comfortable with the pace and subject matter. As a working assumption, silence will equate to confirmation of what Michael is saying.</p>
3.	<p>Charter</p> <ul style="list-style-type: none"> • <i>Walk-through of Design Group draft charter</i> • <i>Request approval of charter by group</i> 	<p>Michael discussed the goals and objectives for the Design Group. This slide is closely related to the “Design Group Purpose” slide. These two slides cover the scope of the Design Group. People use different language and words to describe governance-related concepts such as, federated, centralized, consent, neutral, and trusted. These words have different meaning for different people. There are a lot of assumptions in health information exchange. Part of this process will be to have a rich enough conversation so that when the members go forth with recommendations, they have a good understanding and definition of these terms.</p> <p>Michael hopes people have had the chance to review the Project Charter. The different sections of this document include:</p> <ul style="list-style-type: none"> • Project Purpose; • Project Goals and Objectives; • Project Scope; • Critical Success Factors; • Project Milestones; and • Project Structure.

Governance Design Group Meeting Summary

Michael then conducted a complete review of the Project Charter:

- Allan Hackney is the project sponsor.
- Project Overview – Jennifer covered a lot of this during her introductions. PA 17-2 is an important document.
- Project Purpose, Goals, Objectives, and Structure – All of these sections have already been stated.
- Project Scope – This section lists some of the items that will be discussed, as well as some of the items that are considered out-of-scope. For example, we will not be developing an actual Trust Agreement as part of this Design Group. We will be defining the elements of the Trust Agreement and what goes into this document. We will also not be selected the HIE entity.
- Critical Success Factors – These items have already been stated.
- Project Milestones – We will need to have two more meetings scheduled. We will ask members what days and times work best.

Jake Star Question – In the “Project Scope” section, we can either talk about HIE as a verb or a noun. Is the neutral and trusted entity governing both the verb and the noun?

- Michael Response – The HIE as a noun is what we are creating. We will be developing the HIE starter set for the noun. In doing so, we need to think about HIE as a verb and we need to determine what will be included. We also need a process to define any HIE entity Trust Agreement and operational policies and procedures.
- Jake Follow-up Question – In the past we have talked about a network-of-networks and it seems like we may end up with multiple nouns. Is this right?
- Michael Response – This is a great question. We will get into some of this during the course of the meeting. “Network-of-networks” needs to be defined upfront. We will be discussing the network (singular) not the networks (plural). The networks will have participants that will include individual entities, as well as other networks, such as the Connecticut State Medical Society who are building their own network of participants. It is critical in the Trust Framework to have the rules of the road at the overarching network level that flow all the way down to the end-users of that network. This can be compared to the DURSA flow-down requirements.

Commissioner Bremby Question – In regard to the items that are in and out-of-scope – what is the process for communicating the recommendations to the Secretary of the Office of Personnel Management (OPM)?

- Michael Response – This has not yet been factored in as part of the process for this Design Group. This group is chartered to report to the Health IT Advisory Council. At this time, if the HITO or Advisory Council feel that they need to engage the OPM, then that will be their decision. We are accountable to the HITO and the Advisory Council.

**Governance Design Group
Meeting Summary**

		<ul style="list-style-type: none"> • Commissioner Bremby Follow-up Question – If we reference PA 17-2, the HITO or the Secretary of OPM may establish the entity. At some point, this convergence should happen, and I was not sure if this would happen as part of this Design Group, or after. • Michael Response – This would happen after this group’s recommendations are completed. This Design Group is created differently – we will have some recommendations, but they will not go as far as the recommendations of other Design Groups. I would expect that when the HIE is created, there may be additional Design Groups that focus on more specific topics, such as consent policies. • Bruce Adams Response – Bruce actually wrote the PA 17-2 language in question, in regard to the Secretary of OPM. The purpose of this language was that the state has an interest in playing a role of establishing the private HIE entity. In this case, Allan Hackney (HITO) would have total control, and the OPM would just sign off on the decision. This is more of a ministerial act to protect the state’s interests. <p>Michael requested a motion for a vote on the approval of the Project Charter:</p> <ul style="list-style-type: none"> • Pat Checko – First Motion • Jake Star – Second Motion • No Objections or abstentions • The Project Charter was unanimously approved
4.	<p>Discuss planning process</p> <ul style="list-style-type: none"> • <i>Proposed meeting schedule and meeting topics</i> • <i>Proposed timeline of meeting topics</i> 	<p>The next slide shows a flow chart of the upcoming Design Group meetings and their associated agenda items.</p> <ul style="list-style-type: none"> • Meetings 1 and 2 will include a background overview, some best practices, and will end with a discussion of critical success factors. • Meeting 3 is where we will be getting into organizational characteristics and discuss the elements of a Trust Framework. • Meeting 4 will include a discussion of Trust Agreements and Policies and Procedures. • Meeting 5 will include a discussion of the HIE entity’s mission (but will not include actually developing a mission statement) and will end with the finalization of recommendations. <p>Pat Checko Question – Just to clarify, will we be presenting our initial update to the Health IT Advisory Council following Meeting 3?</p> <ul style="list-style-type: none"> • Michael Response – Yes, that is correct.
5.	<p>HIE Governance Basics</p> <ul style="list-style-type: none"> • <i>Principles</i> • <i>Trust</i> • <i>Policies & Procedures</i> • <i>Organizational</i> • <i>National Perspectives</i> • <i>State Perspectives</i> 	<p>Michael wants to begin this portion of the discussion by offering up two grounding principles as we talk about governance. Our work here is to support patients and providers, first and foremost. The patient must be kept as the north star in this work. This recommendation was established as part of the environmental scan. If our efforts do not support patients, then why are we doing it? We also need to work to make providers’ lives for efficient and effective.</p>

Governance Design Group Meeting Summary

The concept of “trust” will be very common over the course of the Design Group. We will talk about elements of a Trust Agreement and review the foundational elements of a Trust Framework. Nobody will be forced into anything information exchange that they do not trust.

Lisa Question – Michael, I just heard you say that nobody will be forced to exchange information. There is currently legislation in the state that required healthcare organizations to exchange information and I want to be sure that we are all operating under the same context. Once the HIE is active, we will all be required to connect to it.

- Michael Response – Thank you, Lisa. That is an important clarification. After our recommendations, we need to make sure we are in compliance with all state and federal legislation.

The “Governance Design Group Building Blocks” were discussed. Starting with Critical Success Factors, we will then move into a discussion of Roles and Organizational Characteristics. The next thing that will be discussed is the Trust Framework followed by the Trust Agreement and the Policies and Procedures. Finally, we will discuss the Mission of the HIE Entity. We may make some recommendations related to the HIE entity’s mission, but we will not be creating an actual mission statement.

The next slide discusses HIE as a noun vs. a verb and the importance of data governance. A sustainable, successful HIE requires each level to work smoothly and work in tandem.

The next slide discusses Governing Authority. This is an important element. The HIE Entity will need to be established or designated and the governing authority needs to be codified. The “rules of the road” will be established for participants, tying back to the networks-of-networks discussion. Also “form follows function” will include the Board of Directors, Board Committees, and an empowered Council.

The next topic discusses the role of the Board for a statewide HIE entity. The information on these slides is taken from one state to serve as an example. As you can see, it is very multidimensional. This is not meant to be overly prescriptive, but just to show that we have a number of reference points, such as:

- Setting the strategic direction;
- Establishing goals, objectives, and performance measures;
- Convening stakeholders to create trust and consensus; and
- Managing and maintaining financial sustainability.

The next few slides will serve as an “Introduction to Governance Models.” The components of the Governance Framework include Organizational, Technical, Trust, and Business Principles.

- Organizational Principles – Operate with transparency and openness, establish mechanisms to ensure the entity’s policies and procedures

Governance Design Group

Meeting Summary

and adherence to applicable laws, promote inclusive participation, ensure oversight is consistent and equitable, and provide due process to the stakeholders to which it provides oversight.

- Trust Principles – Public access to “Notice of Data Practices” including data use agreement, explanation of privacy and security policies, provide meaningful choice as to whether personally identifiable information can be exchanged, request data exchange limits based on data type or source (e.g. substance abuse treatment), ability to access and request changes to personally identifiable information, and assurance that personally identifiable information is consistently and accurately matched when electronically exchanged.
- Business Principles – Set standards of participation that promote collaboration and avoid differences in fees, policies, services, or contracts, provide open access to exchange services that would enable partners to identify with whom they can electronically exchange information, publish statistics, and maintain and disseminate up-to-date information about a variety of topics.
- Technical Principles – Ensure that technology is implemented to support the Trust and Business Principles, encourage the use of vocabulary, content, transport, and security standards, lead engagement in voluntary consensus and standards organizations (VCSOs) and national efforts to accelerate standards development, work with VCSOs to develop standards for specific use cases and volunteer to pilot and use new standards, and take an active role in the development and implementation of conformance assessment and testing methods.
 - Technical Principles – Securing Data: some items on this slide include: multi-factor authentication, utilizing data encryption, digital certificates, accreditation, and more.

Commissioner Bremby Question – One of the earlier slides pointed out the principle that “form follows function.” As we are thinking about the Trust Framework and how the entity is formed, can you offer up some guidance on how this will factor into the national framework. This will help me to understand how the HIE will function.

- Michael Response – This is a good question. Later in the presentation we will discuss the Trusted Exchange Framework and Common Agreement (TEFCA), which is part of the 21st Century Cures Act. The belief is that exchange is not ubiquitous at this point. There were some principles that were created to try and establish trusted exchange, including standardization, transparency, cooperation and non-discrimination, security and patient safety, access, and data-driven accountability. TEFCA has come up with the framework relating to a Qualified Health Information Network (QHIN). Starting at the bottom of the diagram (Slide 41), there is a health information network (HIN), which is essentially an HIE. There will be QHINs which will connect to a variety of HINs and serve as enablers and brokers to

Governance Design Group
Meeting Summary

		<p>allow for trusted exchange. All of these QHINs will participate under a recognized coordinating entity who will establish rules of the road for QHINs. There is not a specific target number of QHINs at this point, but some believe there will be 6 or 7 across the country. In all likelihood, Connecticut will be a HIN because becoming a QHIN may be beyond the scope of desire for Connecticut.</p> <p>The next portion of the diagram refers to the RCE. A lot of people have been pointing to The Sequoia Project as the possible RCE. The Funding Opportunity Announcement has not yet been released and this remains a very dynamic topic. If we carefully establish the HIE and the elements of the Trust Agreement, we will be able to stay within the corridor that will allow some flexibility, with an understanding that some items may need to be adjusted.</p> <ul style="list-style-type: none"> • Commissioner Bremby Follow-up Question – At some point in the future, I would like to know more about The Sequoia Project. <ul style="list-style-type: none"> ○ Michael Response – Absolutely. We will need to think through how to leverage national efforts and not duplicate the currently offered services.
6.	<p>Meeting Wrap-up and Next Steps</p>	<p>It was determined that Wednesday mornings between 10:00am and 11:30am are a good time to schedule meetings #4 and #5. Meeting invitations will be distributed following this meeting.</p> <p>Today’s slide deck will continue to be reviewed at the next meeting. If anybody has any questions as they review the meeting materials or thinks about today’s presentation, please reach out to Jennifer Richmond. Any questions that are received will be discussed during the next meeting, as it is very likely multiple people are thinking about that same question.</p>

Action Item	Responsible Party	Due Date
Schedule Meetings #4 and #5 during the discussed day and time	CedarBridge Group	5/25/18