



COMMUNITY
HEALTH CARE
ASSOCIATION
of New York State



CHCANYS NYS-HCCN presents

Data Governance Excellence Series: Building a Strong Foundation

Session 1: Exploring & Implementing a Data
Governance Framework

October 1, 2024

For more information, please email Anita Li at ali@CHCANYS.org



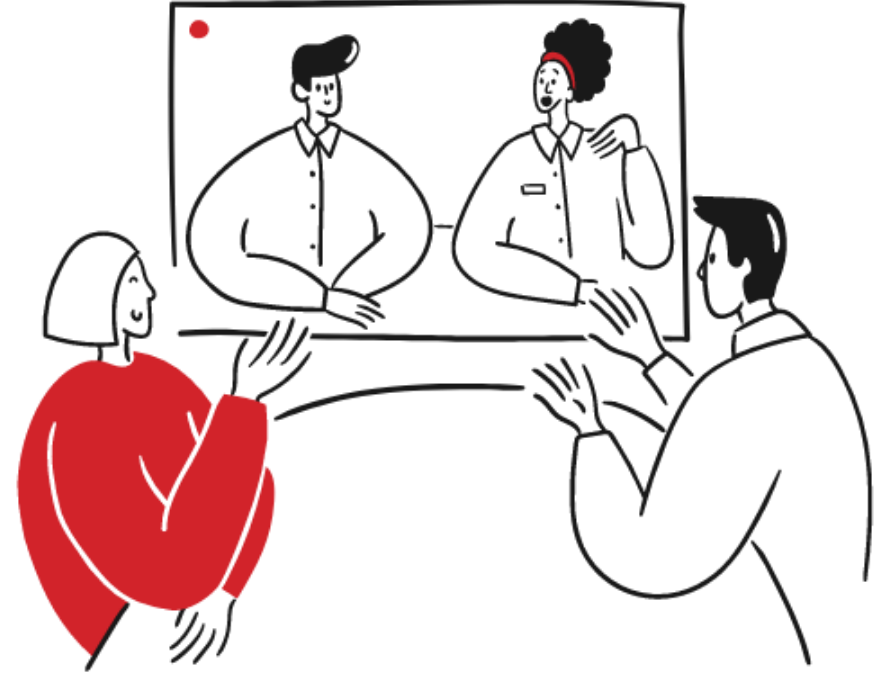
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09.2024



Housekeeping

- You have been muted upon entry. Please respect our presenters and stay on mute if you are not speaking.
- Please share your questions in the chat. CHCANYS staff will raise your questions to our speakers and follow up as needed if there are unanswered questions.
- The webinar is being recorded and will be shared after the session along with the slide deck.
- A webinar evaluation will be shared with participants



Schedule of Events

Session 1 (10/1)

- Exploring & Implementing a Data Governance Framework

Session 3 (10/29)

- Data Governance Program Maintenance & Strategies

Session 2 (10/15)

- An Introduction to Quality Programs



Meet the Presenter



Jackie Simik, B.S., CPC-A
MANAGER, EHR ENTERPRISE APPLICATIONS
Pivot Point Consulting





**PIVOT POINT
CONSULTING**

A Vaco Company

Data Governance Excellence Series: Part I

Exploring & Implementing a Data Governance Framework





Jackie Simik, B.S., CPC-A
Healthcare EHR/Advisory Manager
Pivot Point Consulting, A Vaco Company

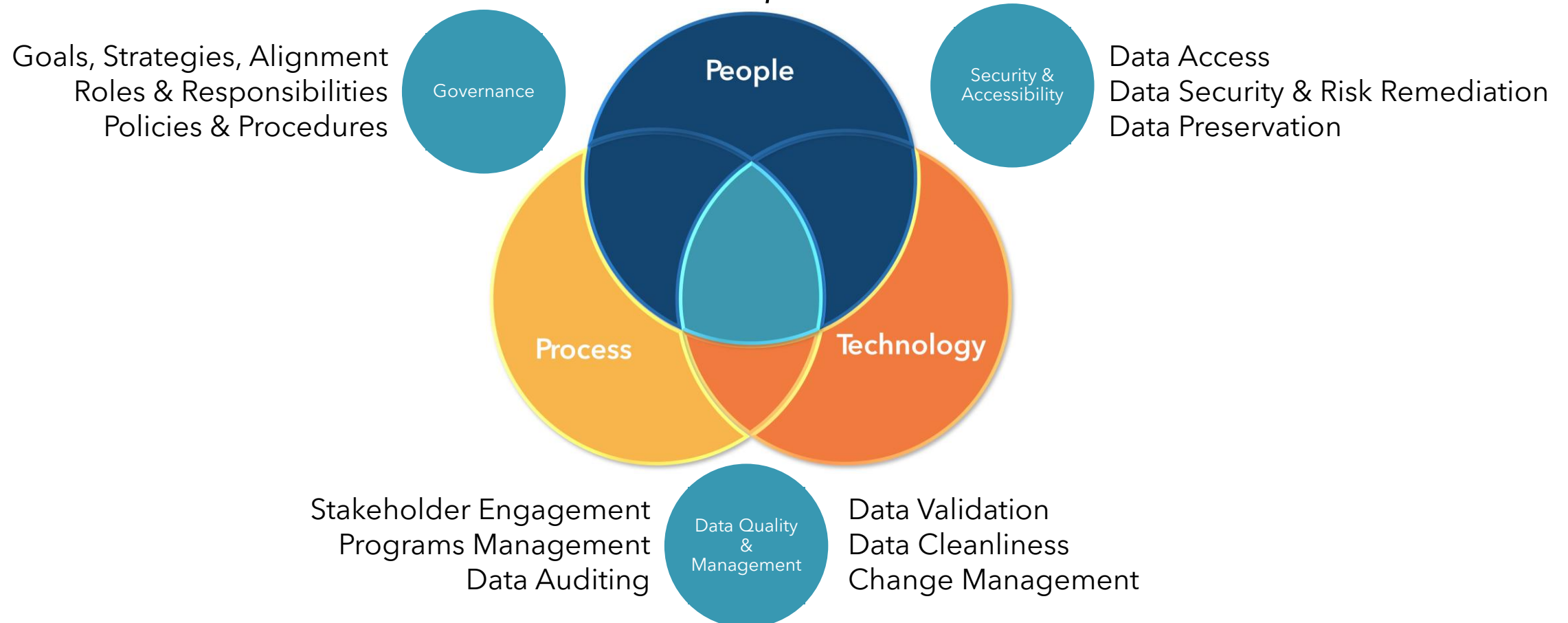
Bachelor of Science in Organizational Leadership, Pennsylvania State University
Certified in EpicCare Ambulatory & Epic PB Resolute
AAPC Certified Professional Coder
eClinicalWorks® Super User and Implementation Specialist, 15 years

Multi-faceted experience spanning over 30 years in the healthcare industry:

- Operations and administration
 - Outpatient clinics
 - Physician clinics
 - Hospital ancillary services
- Revenue Cycle Management
- Clinical Quality Program Initiatives
- Human Resources & Employee Relations
- Regulatory & Compliance
- EHR Implementation and Optimization
- Project Management

Data Governance An Overview

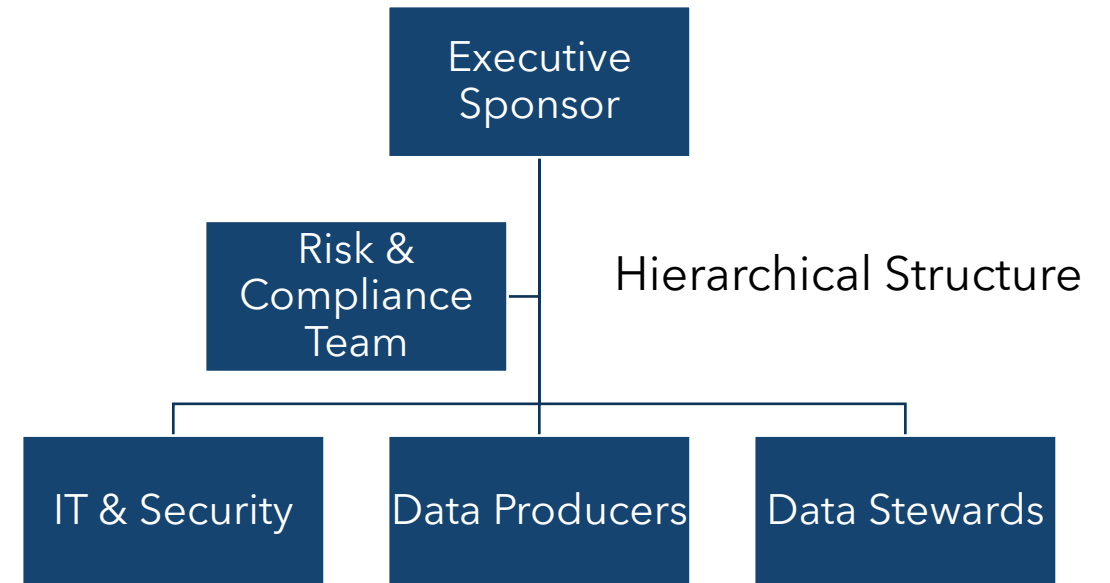
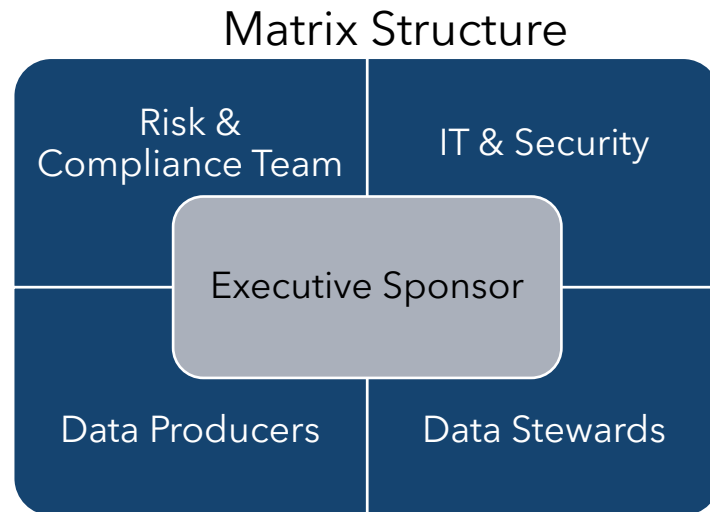
Data governance is a model that establishes authority and management and decision-making parameters related to the data produced or managed by the enterprise



Data Governance Roles & Responsibilities

Roles & Responsibilities

- Executive Sponsor
- Data Governance Steering Committee
- IT & Security Team
- Data Producers
- Data Stewards



Data governance policy outlines the rules of engagement with data, overseeing how you access data assets and what operations you carry out on those assets

Policies & Procedures

- Establish a Charter or Guidelines
 - Purpose / Scope
 - Definitions / Acronyms / Glossary of Terms
 - Responsible Stakeholders
 - Exemptions
 - Related Policies and References
- Change Management
 - What change is needed and why
 - Risks vs. Benefits
 - Who does the change impact
 - Are there any regulatory requirements impacted

DATA GOVERNANCE POLICY	
1. PURPOSE	The purpose of this Data Governance Policy is to establish guidelines and procedures for the effective management, protection, and responsible use of data within [COMPANY NAME]. This Policy aims to ensure data quality, security, and compliance with relevant regulations while promoting data-driven decision-making.
2. SCOPE	This Policy applies to all employees, contractors, vendors, and authorized individuals who access, handle, or manage data on behalf of [COMPANY NAME]. It encompasses data of all types, including but not limited to customer data, employee data, financial data, and intellectual property.
3. DATA OWNERSHIP	<ul style="list-style-type: none">• Data ownership and responsibility will be assigned to designated data stewards or data custodians within the organization.• Data owners are responsible for defining data classification, access controls, and data lifecycle management.
4. DATA CLASSIFICATION	<ul style="list-style-type: none">• Data will be classified based on sensitivity, criticality, and regulatory requirements.• Data classification will determine access controls, retention periods, and protection measures.
5. DATA ACCESS AND SECURITY	<ul style="list-style-type: none">• Access to data will be granted on a need-to-know basis, with user permissions defined by data owners.• Data security measures, including encryption, authentication, and authorization, will be implemented to protect data from unauthorized access and breaches.
Data Governance Policy Page 1 of 3	

Data Governance Change Management

<Logo>	<Company Name>	Normal
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Change Request Form			
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Organization:			
Department:			
Section:		Sheet:	1 of 6

Change Request No.:	
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Normal RFC			
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Change Requester Details			
Date submitted:		Company:	
Date required:		Department:	
Requester name:		Manager's name:	
Email:		Manager's email:	
Phone:		Manager's phone:	

Basic details			
Short Description:			
Detailed description:			
Justification:			
Location:			
Attachments:			

Change Management Analysis			
Category:		Change Manager:	
Type:		Change Builder:	
Item:		Change Tester:	
Impact:		Assignment group:	
Urgency:		CAB members needed:	
Priority:		CI's involved:	
Initial Risk Rating:		Impacted Services:	
Short term benefits:			
Long term benefits:			
Pros and Cons:			

CAB details			
TCAB Required?			
BCAB Required?			

Evaluation			
Who RAISED the change?			
What is the REASON for the change?			

Document No:

Revision No:

Sheet: 1 of 6

Issue Date: xx-xxx-

Change Request Form			
What is the RETURN required from the change?			
What are the RISKS involved in the change?			
What RESOURCES are required to deliver the change?			
Who is RESPONSIBLE for the build, test and implementation of the change?			
What is the RELATIONSHIP between this change and other changes?			
Risk analysis			
Type of risk: [social, financial, organizational, external]			
Risk Impact: [trivial, minor, moderate, major, and catastrophic]			
Likelihood: [1,2,3,4]			
Probability: [1,2,3,4]			
Risk Consequences:			
Planning details			
Implementation plan			
Remediation plan			
Backout plan			
Test plan:			
Financial details			
Relative cost:			
Estimated effort in man days:			
SLAs associated:			
Approximate cost:			
Associated tickets			
Associated Incidents			
Associated Problems			
Associated Change			
Scheduling Details			
Planned start date:		Actual start date:	
Planned end date:		Actual end date:	
CAB required:		CAB Recommendations:	
CAB date:			
PER			
Change Closure Information			
Closure code:			
Closure notes:			

Document No: _____

Revision No: _____

Issue Date: xx-xx-xx

Sheet: 2 of 6

Change Request Form

Change request form is the medium through which the change initiator can describe the details of the proposed change.

*Important details to be captured in **Normal Change tickets** are:*

RFC Number: a unique ID registered for the change

Change Description: the description of the change

Change Location: the location where the change will be implemented

Change Requester: the person who requested the change request/RFC

Change Analyst: the name of the change analyst who will analyze the change request/RFC

Change Requested Date: the date on which the change was requested

Change Triggered By: defines the sources that triggered the change like legal requirements, business requirements, etc.

Change Classification: the classification of the change like Normal, Standard, and Emergency

Category: the category of the change

Type: the type of change

Item: item of the change

Assignment group: The group assigned to own and possibly implement the Change Request

Risk analysis: describes the risks associated with the change

Business Case: the plan which defines the business justification, benefits, and resources needed

Rollback Plan: the description of the rollback plan

Risk analysis: the description of the risk analysis

Remediation Plan: the description of the remediation plan

Impacting Services: the services that will be impacted by the change

Impacting CIs: the CIs that will be impacted by the change

Relative Benefit of Implementing the Change: the benefit of implementing change

Relative Cost: This should define the relative costs

Estimated Effort in Man Days or Hours: Man days or hours

Change Approval/Rejected Date: the date and time when the change was approved/ rejected by CAB

CAB Decision: a decision made by the CAB

CAB Comments: comments given by the CAB

ECAB Decision: decision made by the ECAB

ECAB comments: comments given by the ECAB

Change Manager: name of the change manager

Impact: The number of people that will be affected by change

Urgency: how soon the change has to be implemented

Priority: It will be based on impact and urgency

SLAs Associated: SLAs associated with change management

SLA Target Date and Time: date and time when the SLAs will be breached with respect to the change

Major Change Review: This determines if it's a major change

Major Change Justification: This defines the business justification and why it should be treated as a major change

Associated Incidents: the details of the incident tickets that are associated with this change

Associated Problems: the details of the problem tickets that are associated with this change

SLAs Breach Details: the description why the SLAs were breached, and by how many minutes or hours did we breach the SLAs.

PIR: defines the lessons learnt

Document No:

Revision No:

Sheet: 3 of 6

Issue Date: xx-xx-xx

Data Governance Organizational Alignment

Strategy

- ☐ What is the strategic plan of the organization?
- ☐ What is the mission?
- ☐ What are the values?
- ☐ What are the requirements or regulations the organization needs to follow?
- ☐ What do you want to improve, internally or with the patient population?

Goals

- ☐ Roll up to the strategic plan
- ☐ Know the why behind the goal
- ☐ Determine how each area can contribute to the goal
- ☐ How will the goal be measured?
- ☐ How will you know the goal has been met?
- ☐ What will the data be used for?
- ☐ How will the data be validated/audited?

PLAN DO STUDY ACT (PDSA) FORM

Cycle #:
Start Date: End Date:

Project Title:
State: Project Lead:
☐ Task-related; Task:
☐ Internal Process

Objective of this Cycle:
☐ Develop a Change ☐ Test a Change ☐ Implement a Change

Aim Statement (WHAT YOU ARE TRYING TO ACCOMPLISH):
• Specific- targeted population:
• Measurable- what to measure and clearly stated goal:
• Achievable- brief plan to accomplish it:
• Relevant- why is it important to do now:
• Time Specific- anticipated length of cycle:

PLAN

Test/Implementation Plan (THINK ABOUT WHAT CHANGES YOU CAN MAKE THAT WILL RES...)
What change will be tested or implemented? Include how change will be conducted, who will run and when it will be run unless already noted in Aim Statement above. (If needed, include responsibilities and due dates.)

Prediction:

Data Collection Plan (THINK ABOUT HOW YOU WILL KNOW THE CHANGE IS AN IMPROV...)
What data/measures will be collected?

Who will collect the data?

July 24, 2014 Credit to IHI Open School for Health Professionals for original form. Modified for Telligen Use.

DO

Activities/Observations:
Record activities/observations that were done in addition to those listed in plan (above):

STUDY

Questions: Copy and paste Prediction from Plan above and evaluate learning. Complete analysis of the data. Insert graphic analysis whenever possible.
Prediction:
Learning (Comparison of questions, predictions, and analysis of data):

Summary (Look at your data. Did the change lead to improvement? Why or why not?):

ACT

Describe next PDSA Cycle: Based on the learning in "Study," what is your next test?

July 24, 2014 Credit to IHI Open School for Health Professionals for original form. Modified for Telligen Use. Page 2
Revised: 02/11/2015



Data Governance Data Quality & Management



Stakeholder Engagement

- Key players that impact the ability to achieve goals
- Current state vs. Future state
- Two-way Communication



Program Management

- Initiation
- Planning
- Executing



Data Validation

- Requirements
- Relevancy
- Clean data



Data Auditing

- Establish key metrics and standards
- Auditing tool & results reporting
- Communication & Education



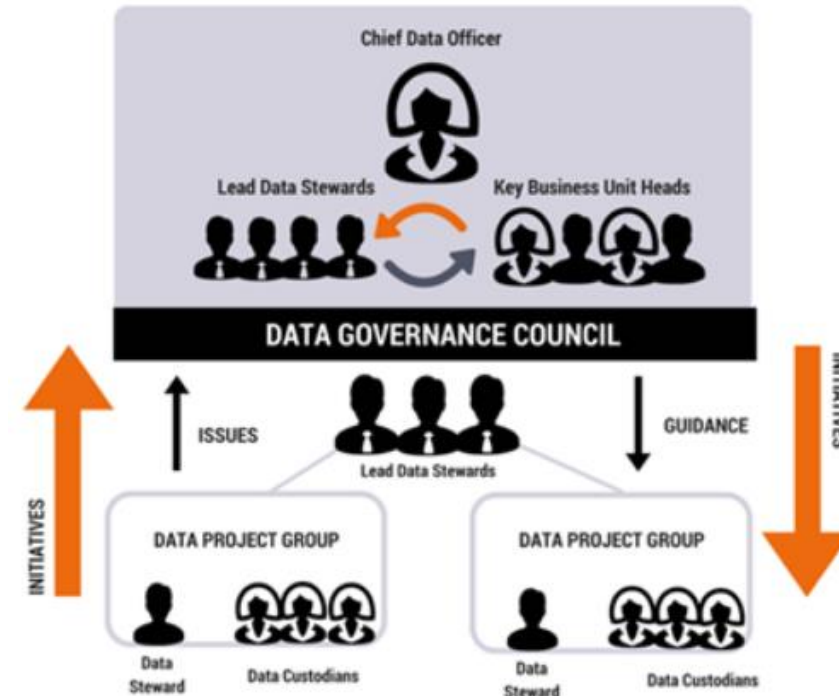
Data Security & Risk Remediation

- Security Access Policy
- Security & Risk Assessment
- Ongoing Remediation Plan



Change Management

- Communication
- Collaboration
- Commitment



<https://www.ellipsisandco.com/perspectives/data-governance-101>



Technical IT & Hardware

- ☐ Network
- ☐ Hardware
- ☐ Software
 - ☐ Installation
 - ☐ Maintenance
 - ☐ Interfaces
- ☐ Data Science
 - ☐ Reporting
 - ☐ Archiving

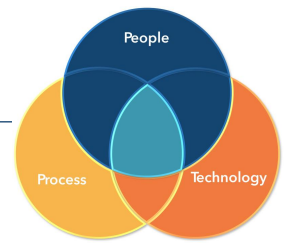
Enablement & Access

- ☐ User Access
 - ☐ New
 - ☐ Inactive
 - ☐ 3rd Party / Vendor
- ☐ End User Needs
 - ☐ Hardware
 - ☐ Software
 - ☐ Security Rights
 - ☐ Help Desk

Risk Remediation

- ☐ Security & Risk Assessment
 - ☐ Remediation Plan
- ☐ Cybersecurity
- ☐ Data Sharing / Interoperability
- ☐ Disaster Recovery
- ☐ Mobile APPs
- ☐ Remote Access

Data Governance Building Your Framework



Q & A



THANK YOU

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Data Governance Resources

Health & Human Services: HPH Cybersecurity Gateway

<https://hhscyber.hhs.gov/>

American Health Information Management Association (AHIMA)

<https://www.ahima.org>

The Office of the National Coordinator for Health Information Technology

<https://www.healthit.gov/playbook/ambulatory-guide/data-governance/>

Centers for Disease Control

<https://www.cdc.gov/healthyyouth/evaluation/pdf/brief3b.pdf>

Agency for Healthcare Research and Quality

<https://www.ahrq.gov/ncepcr/tools/transform-qi/deliver-facilitation/healthit-advisor-handbook.html>

Centers of Excellence Resource & Advisory Support

<https://resources.data.gov/>





Questions?





Continue the Conversation

Don't miss the next session of this 3-part series!

Session 2: Tuesday, October 15

An Introduction to Quality Programs

We hope to see you then!





Please fill out our survey!

Please share your feedback using the survey link in the chat, the QR code, or the link in the follow up email!

Completing the survey helps us to provide relevant and helpful information. Thank you in advance!





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