



## Executive Summary

In the state fiscal year (SFY) of 2014, VA Medicaid had over a million recipients and spent \$6.4 billion on claims and capitation payments.

Facts and figures are often cited by organizations. But how do we know that they are reliable, accurate, and consistently produced?

### Data governance and why it matters

Data governance (DG) is the framework for forming a data strategy that includes data related policies and agreement on how such facts and figures will be created. Shockwaves from the collapse of Enron crystalized the federal government's imperative to establish rules for ensuring the accuracy of organizational information.

With the rules put in place by the Sarbanes-Oxley Act, leadership now has personal responsibility for the intelligence generated by their organization and the data upon which such information is based.

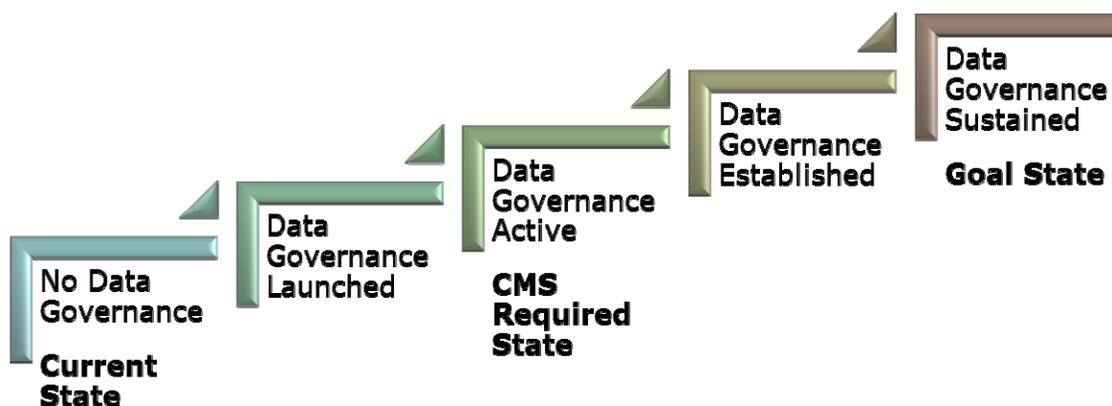
### Data governance for Medicaid

The Centers for Medicare and Medicaid Services (CMS) has recognized the need for data policy. As part of the CMS Medicaid IT Architecture (MITA) framework, Medicaid agencies are required to have a data management strategy that incorporates data governance. Medicaid agencies are also expected to manage data collaboratively and have policies that address data storage, data exchanges, reporting rules, and more.

### DMAS' data governance progression

Without data governance, there tends to be minimal coordination, management of the data, or data policies. Any reporting tends to be ad hoc and based upon the inferences of a few—rather than reflecting organization generated rules.

This data governance charter is the framework for DMAS' progression to sustained data governance.





# Virginia Medicaid Data Governance

DMAS-owned data is generated from a variety of sources, and the number of such sources, along with the volume of data they create, are expected to grow considerably. DMAS' data governance program is part of our solution for transforming data into accurate, reliable information.

Robust data governance should include strategies and governing policies in these four areas: Data Definitions and Standardization, Data Quality, Data Security and Accessibility, and Data Education.

**Data definitions and standardization** ensures agreement on the data's content and how to interpret it. It improves DMAS' collective understanding of what data can tell us thereby allowing us to leverage it appropriately.

**Data quality** is the key for realizing value from our data. High quality, standardized data will be used to create information needed for data driven decision-making. Achieving superior data quality requires precise definitions and rules for data collection, analysis, and interpretation.

**Data security and accessibility** requires monitoring from the moment of data creation to its final availability for analysis. Data should be securely accessible to anyone who has a need for creating information from that data.

Privacy regulations and data security will be balanced against how data may be used to better processes or improve the quality of care for program recipients.

**Data education** that is appropriate and user-friendly will enforce agreed-upon standards generated through the data governance program.

These principles will drive the data governance program, which will be directed by:

- 1) a governing council comprised of DMAS leadership,
- 2) a committee of data owners responsible for DMAS owned data,
- 3) and a committee of data stewards representing each functional area with a combination of business processes and data knowledge.

## Vision

DMAS' data governance program will guide our management of data as an Agency-wide asset,

which is standardized, integrated, and readily available,

in order to facilitate and encourage data driven decision-making.

## Mission

To provide a collaborative structure

through which the Agency defines and implements expectations

regarding data quality, accessibility, standardization, and knowledge sharing.



## The Data Governance Executive Council

### DGEC Mission

To establish target goals that propel us towards achieving our data governance vision

To continually assess and evolve the data governance program in response to an ever-changing Medicaid environment

The **Data Governance Executive Council** is comprised of strategic decision makers leading data governance including:

- ⇒ Agency director
- ⇒ Chief Deputy and Deputy Directors
- ⇒ Chief Information Officer (Director of Technology)
- ⇒ Chief Data Officer—CDO (Director of Analytics)
- ⇒ Chief Compliance Officer (Director of Compliance & Security)
- ⇒ Chief Medical Officer
- ⇒ Director of Human Resources
- ⇒ One member of both the Data Owners Committee (DOC) and the Data Stewards Committee (DOC) (elected by his/her committee for each SFY with no eligibility for consecutive terms)
- ⇒ Chief Audit Officer (non-voting)
- ⇒ Clerk of the Executive Council (non-voting and appointed by the CDO)

Focus Area	DGEC Responsibilities	Recommended Processes To Be Established
Data Definitions and Standardization	<ul style="list-style-type: none"> <li>• Allocate resources necessary to implement data governance generated standardization rules and data definitions</li> <li>• Set goals for data definition and standardization rule production by the DSC</li> </ul>	<ul style="list-style-type: none"> <li>• Communication plan for notifying resources regarding their responsibilities respective to implementing data governance generated rules and data definitions</li> </ul>
Data Security and Accessibility	<ul style="list-style-type: none"> <li>• Align data governance actions with regulations and standards</li> <li>• Approve DMAS external data sharing through exchange agreements</li> <li>• Approve DMAS categorical profiles</li> </ul>	<ul style="list-style-type: none"> <li>• Data exchange agreement approval process</li> <li>• Categorical profile approval process including how to make approved profile information easily accessible to all of DMAS</li> </ul>
Data Quality	<ul style="list-style-type: none"> <li>• Assign resources necessary for data quality improvements</li> <li>• Create data quality metrics and performance goals</li> </ul>	<ul style="list-style-type: none"> <li>• Data quality metric ratification and performance monitoring process</li> <li>• Review and response process for DOC generated data quality recommendations</li> </ul>
Data Education	<ul style="list-style-type: none"> <li>• Establish metrics and performance goals regarding accessibility, consistency, accuracy, material appropriateness, and user friendly format of materials</li> </ul>	<ul style="list-style-type: none"> <li>• Data education metric ratification and performance monitoring, which aligns with the objective that data education be accessible, consistent, user-friendly, and accurate</li> </ul>



## Data Owners and the DOC

### DOC Mission

To monitor data quality and participate in its improvement

To mitigate Agency risk by identifying data quality concerns

To share expertise about technical capabilities and limitations

DMAS data is primarily made by Agency-owned applications, by other state agencies, and by external vendors. Although there may be clarity about ownership of a data source (e.g. a software application), DMAS data ownership may not belong to those same individuals. Any data valuable to DMAS will have a data owner.

**Data owners** are the individuals responsible for the accuracy, integrity, and timeliness of data. They should either be directly responsible for making improvements to a data source or have the authority to do so.

The **Data Owners Committee (DOC)** will support technical expert coordination and collaboration. Membership in the DOC is automatic upon appointment by the DGEC as data owner of DMAS data.

One non-voting member of the DSC shall be appointed to the DOC each SFY by majority vote of the DSC. This member shall work to facilitate communication between the two groups by his/her presence on both.

The DOC will make recommendations to the DGEC regarding the risks and resources necessary to improve data quality and meet emerging data needs. By majority vote, the DOC will make a recommendation to the DGEC regarding categorical profile requests and data exchange requests. They will also review data requirements, evaluate whether they can be met with existing data, and recommend to the DGEC ways to meet unmet data needs through new data sources.

Focus Area	DOC Responsibilities	Recommended Processes To Be Established
Data Security and Accessibility	<ul style="list-style-type: none"> <li>Receive categorical profile requests and advise the DGEC on security concerns</li> <li>Receive data exchange requests and make a recommendation to the DGEC</li> </ul>	<ul style="list-style-type: none"> <li>Categorical profile creation/modification process including how a recommendation will be forward to the DGEC for final approval</li> <li>Data exchange agreement receipt and review process including how a recommendation will be forward to the DGEC for final approval</li> </ul>
Data Quality	<ul style="list-style-type: none"> <li>Monitor data quality and offer improvement strategies to the DGEC</li> <li>Engage DSC in identifying data quality issues and data quality enhancement ideas</li> </ul>	<ul style="list-style-type: none"> <li>Ongoing evaluation of data quality processes</li> <li>Receipt of unmet data needs requests and subsequent recommendation to the DGEC on how the request may be met</li> </ul>
Data Education	<ul style="list-style-type: none"> <li>Set data education requirements for maintaining categorical profile(s)</li> </ul>	<ul style="list-style-type: none"> <li>Data education requirements assigned to each categorical profile</li> </ul>



## Data Stewards and the DSC

### DSC Mission

To share expertise about data generating processes

To formalize agreed-upon, Agency data definitions and standardization rules

DMAS processes generate volumes of data, whether it's identifying an eligible member, paying a claim, or adding a Medicaid provider. Considerable information can be derived from interpreting the data created during such processes.

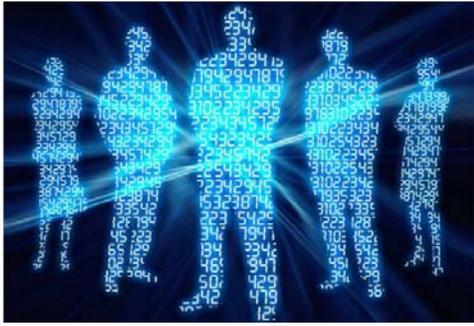
**Data stewards** sit between processes and the data by:

- ⇒ Understanding the process generating the data and the policy driving it
- ⇒ Helping to set rules for how the data is made and should be used
- ⇒ Sharing knowledge about valid values as part of ensuring data quality

The **Data Stewards Committee (DSC)** will be comprised of data experts appointed by the DGEC. Each member will assess how standardization rules may impact their own specific business function. The DSC will also ascertain potential unmet data needs and identify risks of inappropriate data usage. One non-voting member of the DOC shall be appointed to the DSC each SFY by majority vote of the DOC.

The DSC will form and oversee the TITANs—the tactical, interdisciplinary teams who research and recommend a definition or standardization rule. One member from the DSC will serve as each TITAN's presiding officer. A consensus model will be used where a single recommendation to the DSC for a standardization rule or data definition will be made by the TITAN. If a single recommendation cannot be agreed up within the deadline, up to 3 valid options may be sent to the DSC for final consideration.

Focus Area	DSC Responsibilities	Recommended Processes To Be Established
Data Definitions and Standardization	<ul style="list-style-type: none"> <li>• Prioritize and formalize DMAS data definition and standardization requests by majority vote of 2/3 of the DSC membership</li> <li>• As needed, form TITANs to recommend a standardization rule or data definition before finalization by the DSC</li> </ul>	<ul style="list-style-type: none"> <li>• Data definition/standardization rule request receipt and prioritization process</li> <li>• Deadlines and membership formation for TITANs</li> <li>• Rules for how DSC final standards and data definitions are decided and then made known to DMAS</li> </ul>
Data Security and Accessibility	<ul style="list-style-type: none"> <li>• Receive and approve profile requests</li> <li>• Share data security concerns with the DOC</li> </ul>	<ul style="list-style-type: none"> <li>• Receipt and approval of profile requests</li> <li>• Method for sharing data security concerns</li> </ul>
Data Quality	<ul style="list-style-type: none"> <li>• Receive and evaluate unmet data need requests, then forward to DOC before final action by the DGEC</li> </ul>	<ul style="list-style-type: none"> <li>• Receipt of unmet data need requests and finalization of a recommendation to the DOC</li> </ul>



## The TITANs

## TITAN Mission

To share expertise about data generating processes and the inner works of the data

To deliberate on and offer a recommendation regarding definitions or rules for standardization

Data stewards offer perspective on DMAS processes and the data that they generate. However, a full picture of the implications of a potential data definition or standardization rule must be considered before its formal approval by the DSC.

**TITANs** form at the request of the DSC to research and make a recommendation for a definition or standardization rule. TITANs are:

- ⇒ **Tactical** as they should exist only to form recommendations
- ⇒ **Interdisciplinary** by involving anyone with relevant expertise
- ⇒ A **Team** willing to have open dialogue
- ⇒ Formed **As Needed** with a specific, time sensitive directive

A member of a TITAN can be any DMAS employee or external expert whose participation is requested by the DSC. Data source experts, subject matter experts, IT staff, or data analysts are among the potential participants of TITANs.

TITANs are customized to the specific issues surrounding a data definition or standardization rule. However, a TITAN with the same membership may be called more than once if a new need requires the same participants.

In alignment with our goal for interoperability with other Medicaid agencies and CMS, TITANs shall recommend appropriate standards and definitions set by state or national bodies including but not limited to: the VA Health Information Technology Standards Advisory Committee (HITSAC), CMS, the National Information Exchange Model (NIEM), the National Committee for Quality Assurance (NCQA), The Joint Commission, the U.S. Centers for Disease Control and Prevention (CDC), and/or the U.S. Census Bureau.

Rules for operating a TITAN will be determined by the DSC including:

- 1) How the DSC formally calls a TITAN to research a potential definition or standardization rule
- 2) Establishing a deadline for the TITAN to make a final recommendation and communicate it to the DSC

Focus Area	TITAN Responsibilities
General Functioning	<ul style="list-style-type: none"> <li>• Meet at a frequency which is sufficient for timely decision-making</li> <li>• Be led by a DSC member as selected by majority vote of the DSC</li> </ul>
Data Definitions and Standardization	<ul style="list-style-type: none"> <li>• Have an open, unbiased dialogue about data definitions or standardization rules</li> <li>• Recommend appropriate standards and definitions as defined by a national organization</li> <li>• Forward a final definition or standardization rule recommendation to the DSC</li> <li>• Engage in any other function that facilitates standardization of how data is used</li> </ul>



# Data Governance Procedural Rules

## Charter Ratification

Ratification of the charter requires the signatures of all voting-eligible, non-elected DGEC members.

It is a living document that should be reviewed for possible improvements at least every other SFY.

Changes can be recommended by anyone on the DGEC and require approval of 2/3 of its voting membership.

Transparency in DMAS' data governance program will be supported by consistent procedural rules. Decisions from the DG bodies will be documented and made available to all of DMAS. Ideally, a document management system and/or data governance software would be the means for sharing current versions of these items.

Any new or modified process that supports the responsibilities of the DSC requires approval by a majority vote of the DOC. The same is true for the DOC, except that its processes will be ratified by the DGEC before implementation. The DGEC approves its own processes by a majority vote.

The Agency Director is a voting member and chairperson of the DGEC and has veto power. He/she has the authority, in his or her absence, to appoint a designee from within the DGEC to serve as chairperson.

An Office of Data Analytics (ODA) staff member, appointed by the Director of Analytics, shall serve as the DGEC's non-voting clerk and will be responsible for documenting decisions, coordinating ballots, calling meetings, and publishing decisions to DMAS. A non-voting, ODA staff member appointed as the presiding officer of the DOC and DSC will facilitate its meetings and document its decisions in the appropriate tool.

### Presiding Officers

- DGB - the Agency Director or a delegate chosen by him/her when absent
- DOC - an ODA staff member (non-voting) appointed by the Chief Data Officer
- DSC - an ODA staff member (non-voting) appointed by the Chief Data Officer

### Voting Membership

- DGB - specified on page 3 of the data governance charter
- DOC - any DGB appointed data owner of a DMAS data source
- DSC - each DGB appointed representative for the DMAS business areas

### Meeting Rules

- Voting of the DGB will be closed ballot, overseen by the clerk, and can be electronic.
- Voting for the DOC and DSC can be electronic and will be open unless a motion is otherwise made.
- Decisions of any DG body shall be by a majority vote of at least 2/3 of that group's voting membership. The chairperson has veto power over the DGB.
- Minimally each SFY, the DGB will meet 3 times, the DOC 4 times, and the DSC 10 times.



## Accelerating Data Governance

### Elemental Orders of Business

The Director of Analytics shall document all DMAS data assets and advise the DGEC of those resources.

Data owners and data stewards will be appointed by the DGEC by a majority vote.

Supporting documents will establish the processes and procedures on how the DG body will execute its responsibility.

Upon the charter’s ratification, the Office of Data Analytics shall (1) appoint a clerk of the DGEC who will call its first meeting and (2) conduct a data asset inventory so that the DGEC can immediately appoint data owners. As data governance is in its infancy at DMAS, the focus of data ownership shall be on those data with Agency-wide implications.

**Data owners** shall be appointed by a majority vote of the DGEC upon completion of the data asset inventory. Before the beginning of each SFY, the DGEC shall review data ownership appointments and decide by a majority vote who shall serve as each data owner for the coming SFY. If a data owner vacates his/her role during the appointed term, the DGEC shall appoint a replacement as soon as possible. Whenever a new data asset is acquired by the Agency, the DGEC shall appoint a data owner.

**Data stewards** will speak to how data quality and standardization rules affect their business areas. Data relevant to a particular function may evolve, however our key processes can be expected to remain stable. Members of the DSC shall be appointed by the DGEC in the same manner as data owners.

### Data Governance Performance Metrics

In order to measure the data governance program’s achievements, key performance indicators shall be tracked. The DGEC will be responsible for setting targets for each metric below and must do so by the end of the first SFY in operation. Each SFY, the DGEC shall review the performance targets and decide whether to adjust them.

Data Governance Principle	Foundational Metric(s)
Data Definitions and Standardization	# of DG approved data definitions and standardization rules Average # of days between data definition/standardization rule suggestion and final action by the DSC
Data Education	# of data education training opportunities offered by DMAS
Data Quality	# of unmet data needs identified through the data governance program # of unmet data needs that are met at the request of the DGEC % of data elements that meet data quality targets
Data Security and Accessibility	# of categorical profiles implemented/modified % of data access accurately maintained through profile requests





# Charter Amendments

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Amendment 1	(1) Change name of Data Governance Board to the Data Governance Executive Council  (2) Add the position of Chief Medical Officer to the Data Governance Executive Council
Ratification Date	March 16, 2016
Ratifying Members	