American Immunization Registry Association (AIRA)
IIS Joint Development and Implementation (JDI) Advisory Workgroup
Governance Framework
April 1, 2016

Introduction

Through a cooperative agreement with the Centers for Disease Control and Prevention (CDC), AIRA is leading an effort to establish a governance process for Immunization Information Systems (IIS) joint development and implementation (JD&I) projects. The central challenge of the work is to leverage and share resources to improve the consistency, quality, and/or cost effectiveness of IIS implementation projects. A proposed governance approach (described below) is being developed by the AIRA IIS JDI Advisory Workgroup.

Assumptions about IIS JDI projects

A definition of joint development and implementation has been drafted by the Advisory Workgroup – “Joint Development and Implementation is any collaborative development or coordinated implementation of standards, business requirements, functional or system requirements, design specifications, or production of actual software tools or applications by two or more IIS/Awardees. Work under this initiative will extend to knowledge-sharing, joint decision-making, planning, and prioritization.”

What should be the aim of IIS JDI projects? The JDI Advisory Workgroup identified the potential value of IIS JDI projects:

- Should create opportunities for “early adopter” engagement by multiple stakeholders (perhaps in a beta test environment)
- Should offer something that addresses an unmet need or underutilized solution
- Be evaluated for efficiency and effectiveness
- Be identified as “best practices” when appropriate
- Quickly develop associated standards of use and reusability when appropriate
- Be promoted through multiple channels for widespread adoption
- IIS joint development and implementation represents the forefront of change and improvement in public health system solutions and interoperability

Assumptions about governance of IIS JDI projects

The aim of a governance process is identified in the central challenge above – to leverage and share resources to improve the consistency, quality, and/or cost effectiveness of IIS implementation projects.

An IIS JDI governance process addresses widespread utility and adoption of JDI solutions in order to reduce duplication of effort and to increase cross-system effectiveness in multiple environments. A focus on IIS JDI governance should:

- Establish workable strategies and processes that can be applied to other joint IIS efforts
- Leverage joint efforts to help IIS get to implementation faster, more efficiently and/or more consistently
- Continue to explore new funding models and ways to collectively leverage existing resources
- Demonstrate, celebrate, and promote progress and successes
Model collaborative behavior and share knowledge with others
Actively identify other opportunities that may benefit from applying a JDI/shared services model
Include a multi-level approach to evaluation consistent with AIRA’s overall approach to project evaluation:
  - At the JDI workgroup level, evaluation of progress should be monitored according to completion of activities outlined the JDI Strategy map.
  - At the activity level, evaluation plans should be established at the outset of activities and progress should be reported on at least a quarterly basis

Short term IIS JDI governance activities may include:

- Adoption of new projects and determining what that process will be
- Creating scoring criteria for longer term evaluation of projects and establishing a threshold for what determines a viable project (See current project selection criteria listed in attachment A below)
- Maximizing use and uptake of existing guidance
- Using the AIRA IIS Repository as a staging ground for new projects
- Aligning projects with technical architectures for delivering services and solutions

Longer term IIS JDI governance activities may include:

- Addressing contracting, purchasing, immunization laws, and related issues affecting user jurisdictions
- Developing policies and procedures that support vendor engagement on common solutions
- Developing communication/messaging to state and local government (and other) information technology communities
- Developing a sustainability plan
- Defining rules for adoption and deployment of third party products and services
- Considering and endorsing other short and long term solutions, such as, subject matter decisions, technical decisions, policy and procedure decisions, and authority/access management decisions

Future opportunities for AIRA IIS JDI governance that intersect with external entities may include:

- Developing recommendations on emerging IIS policy options (e.g., CDC Service Center model)
- Defining and clarifying a broader layered decision-making approach that strikes a balance among local state, and federal jurisdictions, and sets clear boundaries for the types of decisions needed

**AIRA IIS JDI governance approach**

The AIRA IIS JDI Advisory Workgroup will implement a governance approach (outlined below) and submit recommendations for approval and action to the AIRA Board.

- The AIRA IIS JDI Advisory Workgroup will coordinate with and/or oversee select IIS JDI projects, using the AIRA IIS JDI strategy map as a guide to accomplish its scope of work over the next three years (2015-2017).
- The Advisory Workgroup will nominate and select two co-chairs to serve one year renewable terms. The Co-Chairs will work with AIRA staff on establishing a calendar of activities, develop
meeting agendas, chair meetings, hold votes on advisory committee motions, decisions and recommendations, identify subcommittee or work group members and assignments, and identify a workgroup member to serve as a liaison to the AIRA Board. Co-chairs will be selected through gathering nominations and self-nominations, followed by a vote of the full Advisory Workgroup. Nominations and voting will be managed by the Governance Committee in conjunction with AIRA staff support. At least one co-chair must represent a state or local program.

- A quorum is defined as 66% of Workgroup members present on conference calls or at meetings. (Please note: ex officio members do not count toward a quorum, but are eligible to vote, unless explicitly stated as non-voting members.)
- The IIS community supports consensus whenever possible, as operationalized through the often-referenced MIROW concept of “I can live with and support” a given decision. This consensus will be the goal in decision-making, and will be considered a unanimous vote, assuming quorum is reached. However, to finalize a decision where consensus is not feasible, each Workgroup member will have one vote, including ex officio members; in these instances, a simple majority vote of members present, via voice – in person or over the phone –, or via email will suffice to take motions, decisions and recommendations to the AIRA Board.
- Membership on the Advisory Workgroup is intended to reflect the roles and responsibilities of entities engaged in IIS JDI projects including IIS managers, Immunization Program Managers, Vendors, and CDC. Membership also includes ex officio members representing AIRA, PHII, and consultants (See list of current members in attachment B below). Although specific members will vary, the following roles shall be included to ensure broad representation across the IIS community:
  - Awardee-Developed Program Representatives (2)
  - Envision Program Representatives (2)
  - Envision Vendor Representative (1)
  - HLN Vendor Representative (1)
  - HP Vendor Representative (1)
  - STC Program Representatives (2)
  - STC Vendor Representative (1)
  - WIR Program Representatives (2)
  - CDC Representative (1)
  - Additional voting or ex officio members as determined by the AIRA Board

Attachments:

A. JDI Advisory Workgroup project selection criteria
B. JDI Advisory Workgroup Membership
C. AIRA IIS JDI Strategy Map
Scorecard: Evaluation Criteria for Selection of a Joint Development and Implementation Project
April 1, 2016

Context: These criteria will be used to rate candidate projects for their suitability as a joint development and implementation project. Some of the criteria are mutually exclusive, so it is not anticipated that any single project will meet all of these criteria. Similarly, some criteria are aspirational, so projections will need to be made based on the perceived likelihood of an event occurring. These criteria focus on initial project selection; potential participating parties will need to do a secondary level of evaluation to determine benefits and risks prior to participation. Suggested evaluation criteria for potential participating parties can be found at the end of this scorecard.

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Origins</th>
<th>Core/Secondary</th>
<th>Response</th>
<th>Scoring Instructions</th>
<th>Score</th>
<th>% of Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>The proposed project is seen as a priority by more than one IIS.</td>
<td>2014 JD Guidance</td>
<td>Core</td>
<td>☐ Yes ☐ No</td>
<td>Non-scoring. If the response is no, the project does not qualify as a joint development project.</td>
<td>0</td>
<td>N/A</td>
</tr>
<tr>
<td>The initial project risks are identified and assessed to be manageable.</td>
<td>2014 JD Guidance (modified)</td>
<td>Core</td>
<td>☐ Yes ☐ No</td>
<td>Non-scoring. If the response is no, the project does not qualify as a joint development project.</td>
<td>0</td>
<td>N/A</td>
</tr>
<tr>
<td>The expectations for participation throughout the project lifecycle can be documented.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Core</td>
<td>☐ Yes ☐ No</td>
<td>Non-scoring. If the response is no, the project does not qualify as a joint development project.</td>
<td>0</td>
<td>N/A</td>
</tr>
<tr>
<td>The project addresses an Immunization Program priority, an IIS priority, or both.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Secondary</td>
<td>☐ Immunization Program Priority ☐ IIS Priority</td>
<td>Assign one point for each ☐/2</td>
<td>10%</td>
<td></td>
</tr>
<tr>
<td>The proposed project has the potential to be implemented broadly.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Secondary</td>
<td>☐ Could cross 3 or more IIS implementations ☐ Could cross multiple IIS platforms/systems ☐ Could be implemented by all IIS</td>
<td>Assign one point for each ☐/3</td>
<td>15%</td>
<td></td>
</tr>
<tr>
<td>Benefits to development time, cost, or quality are anticipated.</td>
<td>2014 JD Guidance (modified)</td>
<td>Secondary</td>
<td>☐ Development time is anticipated to be shortened through a JDI project ☐ Development cost is anticipated to be decreased through a JDI project ☐ Quality of output is anticipated to be more comprehensive through a JDI project</td>
<td>Assign one point for each ☐/3</td>
<td>15%</td>
<td></td>
</tr>
<tr>
<td>Benefits to implementation time, cost, or consistency are anticipated.</td>
<td>2014 JD Guidance (modified)</td>
<td>Secondary</td>
<td>☐ Implementation time is anticipated to be shortened through a JDI project</td>
<td>☐ Implementation cost is anticipated to be decreased through a JDI project</td>
<td>☐ Consistency of implementation is anticipated to be increased through a JDI project</td>
<td>Assign one point for each</td>
</tr>
<tr>
<td>Relevant standards or other guidance exists to support the project.</td>
<td>2014 JD Guidance (modified)</td>
<td>Secondary</td>
<td>☐ Yes ☐ Partial ☐ No</td>
<td>Assign two points for yes</td>
<td>Assign one point for partial</td>
<td>__/2</td>
</tr>
<tr>
<td>The project addresses a funded goal, objective, or activity.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Secondary</td>
<td>☐ Yes ☐ No</td>
<td>Assign one point for yes</td>
<td>__/1</td>
<td>5%</td>
</tr>
<tr>
<td>The project supports achievement of a Programmatic Goal, Functional Standard, or operational guidance statement.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Secondary</td>
<td>☐ Yes ☐ No</td>
<td>Assign one point for yes</td>
<td>__/1</td>
<td>5%</td>
</tr>
<tr>
<td>The project is anticipated to provide greater compatibility across programs/organizations.</td>
<td>2014 JD Guidance (modified)</td>
<td>Secondary</td>
<td>☐ Greater compatibility across IIS ☐ Greater compatibility between EHRs and IIS</td>
<td>Assign one point for each</td>
<td>__/2</td>
<td>10%</td>
</tr>
<tr>
<td>It is anticipated that the project will add to the IIS knowledgebase, community stability and/or continuity.</td>
<td>2014 JD Guidance</td>
<td>Secondary</td>
<td>☐ Yes ☐ No</td>
<td>Assign one point for yes</td>
<td>__/1</td>
<td>5%</td>
</tr>
<tr>
<td>Testing tools and/or test data are planned to be created or leveraged as part of the project.</td>
<td>2014 JD Guidance (modified)</td>
<td>Secondary</td>
<td>☐ Yes ☐ No</td>
<td>Assign one point for yes</td>
<td>__/1</td>
<td>5%</td>
</tr>
<tr>
<td>The product from the project will be available to some or all IIS projects who did not participate in the initial development for implementation at a later time.</td>
<td>2015 JDI Advisory Workgroup</td>
<td>Secondary</td>
<td>☐ Yes ☐ No</td>
<td>Assign one point for yes</td>
<td>__/1</td>
<td>5%</td>
</tr>
<tr>
<td>Total Score</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>__/20</td>
</tr>
</tbody>
</table>
Evaluation criteria for potential participating parties may include:

- The timeline for availability of required functionality, if relevant, is acceptable to all project participating parties.
- All project stakeholders are fully committed to supporting the joint development project lifecycle.
- Once implemented, contractual or service level agreement changes for ongoing support of the IIS are assessed to be reasonable.
- Post-implementation, the project has an approved support plan to maintain the functionality as applicable.
Member List
IIS Joint Development & Implementation Advisory Workgroup
Current May 7, 2016

Awardee Developed Program Representatives
Bhavani Sathya, IIS Coordinator, State of New Jersey Immunization Program
Martie Sulak, Project Manager, Florida Shots, State of Florida Immunization Section

Envision Program Representatives
Brittany Ersery, IIS Manager, State of Kansas Immunization Program
Mandy Harris, IIS Manager, State of Nevada Immunization Program

Envision Vendor Representative
Steve Murchie, CEO, Envision Technology Partners (Jim Holsinger sub)

HLN Vendor Representative
Noam Arzt, President, HLN Consulting, LLC

HP Vendor Representative
Gary Wheeler, IIS Portfolio Executive, HP Enterprise Services

STC Program Representatives
Gerri Yett, Program Manager, State of Alaska Immunization Program
Belinda Baker, IIS Manager, State of Washington Immunization Program (and Board Rep.)

STC Vendor Representative
Judy Merritt, Account Executive, Scientific Technologies Corporation

WIR Program Representatives
Erin Roche, IIS Manager, State of Minnesota Immunization Program (Aaron Bieringer sub)
Michael Flynn, IIS Technical Lead, State of New York Immunization Program

CDC Representative
Warren Williams, Health Scientist, Acting Branch Chief, IIS Support Branch, CDC

Ex-Officio Members
Bill Brand, Director of Informatics Science, Public Health Informatics Institute (PHII)
Therese Hoyle, Public Health Consultant, State of Michigan

AIRA Staff (non-voting)
Alison Chi, Program Director, AIRA
Mary Beth Kurilo, Policy and Planning Director, AIRA
Amanda Branham, Staff Support, AIRA
Maureen Neary, Project Manager, AIRA
Danielle Reader Jolley, Consultant, AIRA
Leverage and share resources to improve the consistency, quality and/or cost effectiveness of IIS implementation projects

Develop Governance to Guide Joint Development/Implementation
- Establish workgroup and subcommittee structure for meeting strategic priorities
- Define rules of order, meeting frequency, etc.
- Determine decision-making parameters with AIRA, CDC, partners and stakeholders

Oversee Project(s) to Leverage Collaborative Methods Across the Community
- Refine Selection Criteria
- Collaborate with AIRA and partners to identify and select projects, as needed
- Select and implement one or more IIS joint implementation projects

Effectively Communicate IIS JD&I Scope and Status to Full IIS Community
- Communicate focus and core challenge of Advisory Workgroup and JD&I initiative
- Message and engage community on priority project(s)
- Provide ongoing updates regarding JD&I initiatives and their projects, including final disposition

Develop and Coordinate with Repository for Project Transparency/Disposition
- Contribute to development of requirements for knowledge repository
- Leverage repository as project management platform and ongoing location for outputs
- Evaluate repository in terms of usability and benefits of project outputs and information

Research and Plan for Innovative Funding Mechanisms to Support Future Approaches
- Explore and advocate for legal and policy pathways to allow projects to apply for joint funding
- Advocate for funding mechanisms to be available to all projects, including awardee-developed projects
- Support and inform development of CDC Service Center model

Emphasize inclusion of full IIS community
Focus on disposition to maximize availability/uptake
Conduct evaluation activities to assure accomplishment of JD&I priorities