CEA ACTION PROPOSAL

Per California Code of Regulations, title 2, section 548.5, the following information will be posted to CalHR's Career Executive Assignment Action Proposals website for 30 calendar days when departments propose new CEA concepts or major revisions to existing CEA concepts. Presence of the department-submitted CEA Action Proposal information on CalHR's website does not indicate CalHR support for the proposal.

A. GENERAL INFORMATION

1. Date

June 25, 2024

2. Department

Department of State Hospitals

3. Organizational Placement (Division/Branch/Office Name)

Research, Evaluation and Data Insights Division

4. CEA Position Title

Assistant Chief Data Officer, Assistant Deputy Director

5. Summary of proposed position description and how it relates to the program's mission or purpose. (*2-3 sentences*)

The Department of State Hospitals' (DSH) mission is to provide evaluation and treatment in a safe and responsible manner, by leading innovation and excellence across a continuum of care and settings. Continuing to achieve this mission requires the evolution to a data culture, where leadership and decision making is continuously informed through meaningful analytics, research and evaluations. The Assistant Chief Data Officer provides executive data leadership in the modernization of data/technology solutions such as the Electronic Health Record (EHR), data integration and migration efforts and use of data platforms to support data sharing and exchange initiatives. The Assistant Chief Data Officer is responsible to oversee the transition from static reporting to dynamic data tools, maximizing insights for decision making across all DSH programs and services and also serves as the executive sponsor and provides oversight for the Expert Determination process involving complex statistical risk assessments to ensure compliance with Data De-identification Guidelines and the Health Insurance Portability and Accountability Act.

6. Reports to: (*Class Title/Level*)

Chief Data Officer, Deputy Director

7. Relationship with Department Director (*Select one*)

☑ Member of department's Executive Management Team, and has frequent contact with director on a wide range of department-wide issues.

☐ Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(*Explain*):

8. Organizational Level (*Select one*)

☐ 1st ☐ 2nd ☐ 3rd ☑ 4th ☐ 5th (mega departments only - 17,001+ allocated positions)

B. SUMMARY OF REQUEST

9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

The Assistant Chief Data Officer/Assistant Deputy Director will oversee DSH data operations pertaining to data quality management, compliance monitoring and court reporting, enterprise reporting, data analytics and evaluation, business intelligence models and data innovation initiatives. This role provides executive data leadership in the modernization of data/technology solutions such as the Electronic Health Record (EHR), data integration and migration efforts and use of data platforms to support data sharing and exchange initiatives including the California Data Exchange Framework. Incumbent is responsible to oversee the transition from static reporting to dynamic data tools, maximizing insights for decision making across all DSH programs and services. This role serves as the executive sponsor and provides oversight for the Expert Determination process involving complex statistical risk assessments to ensure compliance with Data De-identification Guidelines (DDG) as required by Health Insurance Portability and Accountability Act (HIPAA), and maintaining compliance with California Health and Human Services (CalHHS) DDG Implementation Procedure (IP). The incumbent will assist the Deputy Director in all matters relating to data operations and the administrative operations of the Division and provides a high level of assistance and expertise to the Department Director, Chief Deputy Directors, and DSH Divisions concerning highly complex and sensitive issues regarding patient, program, and treatment data. This role may act on behalf of the Chief Data Officer/ Deputy Director and represent DSH on data and research issues with the California Health and Human Services Agency (CalHHS), Office of Data Innovation (ODI), Department of Finance (DOF), Legislative Analyst's Office, (LAO), Governor's Office, and other stakeholders as appropriate. The Assistant Chief Data Officer/ Assistant Deputy Director advocates and testifies in the Legislature on DSH-sponsored legislation or budget proposals related to data, research, and evaluation activities, and provides court testimony on DSH data and data practices.

This CEA will oversee the Data Officer and Analytics Officer, with oversight across numerous data functions as referenced below.
Data Modernization: this role will provide executive leadership across all data modernization projects and initiatives, ensuring data-driven decision-making capabilities, maximizing data intelligence and a person-centered and equity focused approach are deployed across all DSH data efforts. Modernization spans the entire DSH continuum of care, from enhancing our analytic capabilities through more advanced data models, developing data solutions to legacy systems, establishing cloud-based data management platforms, data warehousing, integration and electronic health record planning and implementation. Collaborates with technology leadership to advance data pipelines to support new analytics. Provides data leadership to support alignment with the United States Core Data for Interoperability (USCDI). Data interoperability and sharing initiatives include but are not limited to the Data Exchange Framework, Research Data Hub, and intra-agency data sharing to support CalHHS Insights Lab initiatives.

This includes leadership towards the following:
• Implementation and ongoing support of an Electronic Health Record (EHR) solution
• CalHHS Data Exchange Framework
• Data Sharing
• Department/state-wide expansion of dynamic analytics

Expert Determination – Statistical Risk Assessments: the Assistant Chief Data Officer serves as the executive sponsor, overseeing the Expert Determination process, compliance with CalHHS DDG -IP and provides direct supervision of the Expert Determination Supervisor. Incumbent provides oversight, guidance and support across all privacy compliance data practices consistent with DSH policy to conduct expert determination risk assessment across all aggregate and summarized data prior to external distribution to prevent disclosure and re-identification of personally identifiable information.

Application Development – Data Leadership: the Assistant Chief Data Officer provides executive leadership and guidance in the development of patient-centered applications. Serves as a data sponsor, supporting the vision of patient record integration across the continuum of care, access to patient records for treatment providers and program administrators, and access to actionable analytics for decision makers.

Caseload Estimate: the Assistant Chief Data Officer provides executive leadership and guidance in the development of a population-driven caseload estimate published with in the Governor's Budget and May Revision. Oversee the development of annual data metrics, treatment outcomes, population profiles, predictive analytics to estimate and evaluate caseload through patient referrals and treatment capacity. Advise directorate on highly complex and sensitive issues and/or policy. Advise and collaborate with department leadership on statistics, analytics and data collections necessary to examine policy.

Additional Areas of Oversight: Enterprise reporting solutions, program and services data support and evaluation tools, compliance monitoring and reporting for Stiavetti v. Clendenin and Coleman v. Brown litigation, data innovation initiatives, dynamic business analytic tools including dashboard development and management, data science, complex population analysis, data architecture investigation, data modeling and predictive and prospective analytics.

B. SUMMARY OF REQUEST (continued)

10. How critical is the program's mission or purpose to the department's mission as a whole? Include a description of the degree to which the program is critical to the department's mission.

☑ Program is directly related to department's primary mission and is critical to achieving the department's goals.

☐ Program is indirectly related to department's primary mission.

☐ Program plays a supporting role in achieving department's mission (i.e., budget, personnel, other admin functions).

Description: The Department of State Hospitals' (DSH) mission is to provide evaluation and treatment in a safe and responsible manner, by leading innovation and excellence across a continuum of care and settings. Continuing to achieve this mission requires the evolution to a data culture, where leadership and decision making is continuously informed through meaningful analytics, research and evaluations. The Assistant Chief Data Officer/ Assistant Deputy Director will provide leadership vital to evolving DSH data quality management and analytics to support data informed decision making within the administration and provision of psychiatric treatment programs. This role will lead data modernization initiatives which are necessary to shift data operations to a person-centered approach involving a vision of data integration and business intelligence tools to support actionable analytics.

DSH has a responsibility, as California's largest provider of forensic mental health services and custodial entity of forensic health information, to effectively utilize the vast health information data, to generate valuable insights regarding our patients' treatment. DSH must be positioned to quickly utilize data to evaluate the needs of patients committed to DSH and the efficacy of all current operations, allowing for data informed decision and policy making. In addition, DSH carries a high-level of risk as the custodian of patient, employee, and operational data. DSH must govern and protect this data, while also providing transparent operations and responsiveness to external stakeholders.

Additionally, this proposal is aligned with CalHHS's goals to improve transparency, efficiency, availability, and utilization of data while also managing the data's integrity, quality, and strategic use to promote data-driven decision making and integrated care and services. This proposal is also in alignment with CalHHS Center for Data Insights and Innovation (CDII) priority for "Turning data into insights, knowledge and action" as well as the following CDII objectives:
• Analytics as a service to improve knowledge management across policy areas
• Analytical excellence within government drives civic engagement externally
• Data and technology readiness in advancing all Data Exchange programs

B. SUMMARY OF REQUEST (continued)

11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

DSH has completed a department re-organization, establishing the Research, Evaluation and Data Insights (REDI) Division overseen by a Chief Data Officer/Deputy Director. This re-organization was the initial step towards supporting data intelligence as a strategic priority and implementing a data strategy with short-term and long-term goals to evolve data practices and processes for delivering analytics.

As referenced below, DSH is the custodial of a sizable data scope, which necessitates two levels of executive leadership to support advancement and modernization of current data operations and leading the vision of a data informed integrated forensic health system. DSH's treatment services continue to expand beyond the five state psychiatric hospitals and now include a growing continuum of care which encompasses inpatient and outpatient settings, including community and jail-based programs. This expansion, along with the need to modernize existing data/technology solutions with the state hospitals, as well as emerging state mandates, necessitate the proposed Assistant Chief Data Officer, Assistant Deputy Director. Emerging state and department mandates include state-wide data exchange, evaluation of equity as directed by multiple oversight agencies, and court compliance and monitoring of court designated benchmarks.

DSH Data Scope: DSH manages the nation's largest inpatient state forensic psychiatric mental health system and as such has an enormous data scope and span of custodial data responsibility.
• Patient referral intake – Pre-admission screening, patient placement, and patient movement and transfers.
• Provision of treatment – Psychiatric, medical, and ancillary treatment:
• Law enforcement operations – Patient and employee safety
• Facilitation of discharges – County coordination and community integration
• Hospital administration and operations (includes licensing and health and safety)
• Program Administration

Each of these data domains exist across a continuum of care including the state hospitals and inpatient and outpatient mental health programs at the local level across 58 counties and each contains extremely sensitive, personal information. As of July 2023, DSH holds upwards of 150 contracts with counties and private providers across all programs, with significant expansion planned in the upcoming years as DSH implements expanded programs to provide timely access to services for Incompetent to Stand Trial (IST) individuals. Additionally, the State Hospitals provide 24-hour operations involving housing and daily care of patients in a variety of settings, including intermediate care, acute care, the enhanced treatment program and skilled nursing facility level of care.

C. ROLE IN POLICY INFLUENCE

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principle policy maker. Each example should cite a policy that would have an identifiable impact. Include a description of the statewide impact of the assigned program.

1. Data De-identification as required by HIPAA: Sets policy to implement Data De-identification Guidelines (DDG) and Expert Determination practices to protect the privacy of personal health information while balancing the need for transparency. The de-identification of data is required under both federal and state privacy laws when disclosing personally protected health information or personally identifiable information without the authorization of the individual who is the subject of the information, except as otherwise authorized by law. To balance the public's need for transparency with an individual's right to privacy under federal and state laws, procedures are necessary to appropriately and accurately de-identify data when reporting this data publicly.

2. Data Accessibility: Sets policy to implement state-wide data accessibly practices and principles, addressing best practices to ensure role-based assess to protected health information within systems and analytics and addressing appropriate access within DSH servers to ensure data integrity. This policy area is necessary for the evolution of data operations, moving to dynamic tools, expanding data access; all of which requires policy and practices to ensure guardrails are in place for compliance, while using innovative and modernized data approaches, minimizing unnecessary restrictions hindering advancement.

3. Person-Centered & Integration Data Strategy: Sets policy to implement person-centered data solutions and strategy, requiring record level integration to maximize personal health information for treatment providers and implementing a vision that supports patient movement throughout a Continuum of care settings and data transfer throughout a system, supporting all programs and services having access to a patient record when needed.

4. Population Evaluation & Criminal Offender Research: Sets policy to support to research and evaluation of criminal offender data to drive outcome evaluation studies. With newly approved statutory language including amendments to Section 11105 of the Penal Code to include the Department of State Hospitals as a named agency having statutory authority to obtain access to Criminal Offender Information for the specific purposes of conducting research, program evaluation, data analytics and legislative reporting on areas with important implications to mental health policy and management; policy and oversight are necessary to ensure security and privacy compliance, while achieving the following outcomes:

a. Fulfilling the mandate through Welfare and Institutions Code 4040 to conduct research and evaluation studies which have an application to mental health policy and management issues.

b. Generating increased insight into the needs of vulnerable populations and the events leading to commitment to DSH for psychiatric treatment

c. Also generating data-driven insight on solutions to change recidivism and offense trends.

C. ROLE IN POLICY INFLUENCE (continued)

13. What is the CEA position's scope and nature of decision-making authority?

The Assistant Chief Data Officer, Assistant Deputy Director will oversee DSH data operations pertaining to data quality management, compliance monitoring and court reporting, enterprise reporting, data analytics and evaluation, business intelligence models and data innovation initiatives. This role provides executive data leadership in the modernization of data/technology solutions such as the Electronic Health Record (EHR), data integration and migration efforts and use of data platforms to support data sharing and exchange initiatives including the California Data Exchange Framework. Incumbent is responsible to oversee the transition from static reporting to dynamic data tools, maximizing insights for decision making across all DSH programs and services. This role serves as the executive sponsor and provides oversight for the Expert Determination process involving complex statistical risk assessments to ensure compliance with Data De-identification Guidelines (DDG) as required by Health Insurance Portability and Accountability Act (HIPAA), and maintaining compliance with California Health and Human Services (CalHHS) DDG Implementation Procedure (IP). The incumbent will assist the Deputy Director in all matters relating to data operations and the administrative operations of the Division and provides a high level of assistance and expertise to the Department Director, Chief Deputy Directors, and DSH Divisions concerning highly complex and sensitive issues regarding patient, program, and treatment data.

This role may act on behalf of the Chief Data Officer/ Deputy Director and represent DSH on data and research issues with CalHHS, Office of Data Innovation (ODI), Department of Finance (DOF), Legislative Analyst's Office, (LAO), Governor's Office, and other stakeholders as appropriate. The Assistant Chief Data Officer/ Assistant Deputy Director advocates and testifies in the Legislature on DSH-sponsored legislation or budget proposals related to data, research, and evaluation activities, and provides court testimony on DSH data and data practices.

This CEA will oversee the Data Officer and Analytics Officer, with oversight across numerous data functions.

Serves as the executive sponsor, overseeing the Expert Determination process, compliance with CalHHS Implementation Procedures (IP) and provides direct supervision of the Expert Determination Supervisor. Incumbent provides oversight, guidance and support across all privacy compliance data practices consistent with DSH policy to conduct expert determination risk assessment across all aggregate and summarized data prior to external distribution to prevent disclosure and re-identification of personally identifiable information.

This role will provide executive leadership across all data modernization projects and initiatives, ensuring data-driven decision-making capabilities, maximizing data intelligence and a person-centered and equity focused approach are deployed across all DSH data efforts. Modernization spans the entire DSH continuum of care, from developing solutions to legacy systems, establishing cloud-based data management platforms, data warehousing, integration and electronic health record planning and implementation. This includes leadership towards the implementation and ongoing support of an EHR solution.

Addition key areas of oversight include: Enterprise reporting solutions, program and services data support and evaluation tools, compliance monitoring and reporting for Stiavetti v. Clendenin and Coleman v. Brown litigation, data innovation initiatives, dynamic business analytic tools including dashboard development and management, data science, complex population analysis, data architecture investigation, data modeling and predictive and prospective analytics.

14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?

The Assistant Chief Data Officer/Assistant Deputy Director will be developing and implementing new policies as described in question 26.

Policy development involves multiple cross-functional specialty teams including enterprise application development, information security, privacy, clinical operations, hospitals and various program administration teams.

This role will work closely with CalHHS – CDII to align DSH policies and evolve policy areas as required to address new mandates, state-wide and federal data practices, etc.