Enterprise Architecture Policy

Enterprise Architecture Dispensation Procedure

1. Purpose

This procedure describes the dispensation process (Enterprise Architecture Health Service Directive Dispensation (HSD) and Enterprise Architecture Policy Dispensation) to ensure all areas within the scope of this procedure are aware of the evaluation and consideration of dispensation requests within the Health Services Information Agency including governance arrangements.

2. Scope

This procedure applies to all employees, contractors and consultants within the Department of Health divisions, agencies and commercialised business units.

This procedure applies to all Hospital and Health Services applications for dispensations from the Enterprise Architecture Health Service Directive.

3. Supporting documents

Queensland Health ICT Governance Framework

Authorising Policy and Standard/s:
- Enterprise Architecture Policy
- Enterprise Architecture Framework Implementation Standard
- Enterprise Architecture Foundations Implementation Standard
- Enterprise Business Architecture Implementation Standard
- Enterprise Information Architecture Implementation Standard
- Enterprise Applications Architecture Implementation Standard
- Enterprise Technology Architecture Implementation Standard
- Enterprise Architecture Health Service Directive

Procedures, Guidelines and Protocols:

Forms and templates:
- Enterprise Architecture Dispensation Register
- Enterprise Architecture Policy Dispensation Request Template
4. Dispensation Requests

4.1 Approach

4.1.1 Dispensation types
This procedure outlines the steps to seek dispensations for the following separate categories:

1. **Enterprise Architecture HSD Dispensation** – Hospital and Health Services requesting a dispensation from the mandatory requirements of the Enterprise Architecture Health Service Directive

2. **Enterprise Architecture Policy Dispensation** – Department of Health requesting a dispensation from the mandatory requirements of the Enterprise Architecture Policy.

4.1.2 Health Services Information Agency responsibilities
To manage dispensations, Health Services Information Agency (HSIA) shall allocate responsibility to:
- appropriate governing bodies to oversee dispensations
- The Dispensation Coordinator to:
  - maintain dispensation registers and regularly report dispensation register metrics to the appropriate governing bodies
  - process dispensation application requests
  - monitor approved dispensation conditions including reporting requirements.

4.1.3 Indicative timeframes
The following timeframes are an estimate of the timeframe for accessing a dispensation request. Actual times will depend on the complexity of the request. Urgent requests can be processed accordingly and reviewed out of session if necessary.

<table>
<thead>
<tr>
<th>Action</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registration</td>
<td>Within 1 working day</td>
</tr>
<tr>
<td>Assessment</td>
<td>Within 5 working days</td>
</tr>
<tr>
<td>Governance Review</td>
<td>Within 14 working days per governing body</td>
</tr>
<tr>
<td>Notification</td>
<td>Within 1 working day post governance review</td>
</tr>
</tbody>
</table>
4.2 Requesting a dispensation from the Enterprise Architecture Health Service Directive

High Level Process Flow

<table>
<thead>
<tr>
<th>Dispensation requirement</th>
<th>Register request</th>
<th>Assess requirement</th>
<th>Governance review</th>
<th>Record result</th>
<th>Notify submitter</th>
<th>Review/report</th>
</tr>
</thead>
</table>

As per the Enterprise Architecture Health Service Directive, Hospital and Health Services shall seek formal dispensation from compliance with the mandated ICT applications, technologies and services.

4.2.1 Dispensation requirement
To determine the dispensation requirement the Hospital and Health Service (HHS) shall:
- discuss the dispensation requirement with the HSIA Business Relationship Manager for the HHS if a request is required, complete a HSD Dispensation Business Case detailing the dispensation requirement
- have the business case appropriately approved by internal HHS governance
- submit the request to the Chief Health Information Officer, Department of Health through formal correspondence.

Note: The elements of the Business Case that are required for assessment are outlined in the Definitions table.

4.2.2 Register request
The submitted HSD Dispensation Business Case request shall be recorded into the Enterprise Architecture Dispensation Register and allocated a unique reference identifier.

4.2.3 Assess requirement
Each request shall be assessed by the appropriate subject matter experts, in consultation with the HHS, and other stakeholders (including Information Security Unit, Strategy and Architecture Office and Commercial and Business Services). This assessment shall include an evaluation of the impact of the request on Queensland Health from a supportability, maintainability and fiduciary perspective. Any issues or risks that arise during evaluation shall be negotiated with the submitting Hospital and Health Service.

At the completion of the assessment, the assessor will provide a written recommendation to the relevant governing bodies for consideration. The recommendation/s shall include any outstanding issues and risks together with conditions on granting the dispensation.

4.2.4 Governance review
Each HSD Dispensation Business Case request and recommendations shall be submitted to, and considered by the Architecture and Standards Board.

4.2.5 Record result
The outcome of the governance review shall be recorded in the minutes of the Architecture and Standards Board and notified to the respective Dispensation Coordinator to record in the Enterprise Architecture Dispensation Register.
4.2.6 Notify submitter
The Dispensation Coordinator shall notify the outcome of the dispensation request to the submitter via formal correspondence from the Chief Health Information Officer including the approval conditions, compliance and reporting requirements.

4.2.7 Review/report
Approved HSD dispensation requests shall include a date of review, at which time the dispensation and its conditions shall be re-assessed by Health Service Information Agency with the result of the assessment being provided to the Architecture and Standards Board and communicated to the Dispensation Coordinator.

The submitter shall report to the Chief Health Information Officer against agreed conditions outlined in the dispensation by the due date/s.

The Dispensation Coordinator shall regularly report dispensation register metrics to the Architecture and Standards Board.

4.2.8 Appeals
Any appeals to recommendations and endorsements will be referred to the appropriate Architecture and Standards Board.

4.3 Requesting a dispensation from the Department of Health Enterprise Architecture Policy

High Level Process Flow

<table>
<thead>
<tr>
<th>Dispensation requirement</th>
<th>Register request</th>
<th>Assess requirement</th>
<th>Governance review</th>
<th>Record result</th>
<th>Notify submitter</th>
<th>Review/report</th>
</tr>
</thead>
</table>

The Enterprise Architecture Framework Implementation Standard refers to establishing a formalised dispensation process to enable business areas to seek dispensation from the mandated applications, technologies and services identified in the Department of Health Enterprise Architecture Policy documents.

4.3.1 Identify and document dispensation requirement
To determine the dispensation requirement the submitter shall:

- discuss the dispensation requirement with the Strategy and Architecture Office
- use the HSIA Enterprise Architecture Dispensation Request Template to document:
  - specific standard, protocol, procedure or position
  - reason for requesting dispensation
  - impact on supportability of the ICT environment in granting the dispensation including significant issues and risks
  - financial impact of granting the dispensation including costs and benefits including significant issues and risks
  - impact of not granting the dispensation including costs and benefits including significant issues and risks
  - an agreed timeframe to achieve compliance, if required
- submit the request to the Strategy and Architecture Office.
4.3.2 Register request
The submitted HSIA Enterprise Architecture Policy Dispensation Request shall be recorded on the HSIA Enterprise Architecture Dispensation Register and allocated a unique reference identifier.

4.3.3 Assess requirement
Each Enterprise Architecture Policy Dispensation Request shall be assessed by the appropriate subject matter expert and other stakeholders (including Strategy and Architecture) in consultation with the submitter as necessary. This assessment will include an evaluation and risk assessment of the impact of the request on Queensland Health from a supportability, maintainability and fiduciary perspective.

The lead Enterprise Architect will liaise with the submitter to discuss any issues or risks that arise during evaluation together with required actions and timeframes.

At the completion of the assessment, the Strategy and Architecture Office will provide a written recommendation to the Architecture and Standards Board. The recommendation/s shall include any outstanding issues and risks together with conditions on granting the dispensation.

4.3.4 Governance review
Each Enterprise Architecture Policy Dispensation Request and recommendation shall be submitted to, and considered by the Architecture and Standards Board.

4.3.5 Record result
The outcome of the governance review shall be recorded in the minutes of the Architecture and Standards Board and notified to the Dispensation Coordinator to record in the Enterprise Architecture Policy Dispensation Register.

4.3.6 Notify submitter
The Dispensation Coordinator shall notify the outcome of the dispensation request to the submitter via formal correspondence from the Chief Health Information Officer including the approval conditions, compliance and reporting requirements.

4.3.7 Review/report
Approved Enterprise Architecture Policy dispensation requests shall include a date of review, at which time the dispensation and its conditions shall be re-assessed by Health Service Information Agency with the result of the assessment being provided to the Architecture and Standards Board and communicated to the Dispensation Coordinator.

The submitter shall report to the Chief Health Information Officer through governing bodies against agreed conditions outlined in the dispensation by the due date/s.

The Dispensation Coordinator shall regularly report Enterprise Architecture Dispensation Register metrics to the Architecture and Standards Board.
4.3.8 Appeals
Any appeals to recommendations and endorsements will be referred to the Architecture and Standards Board.

5. Review
This Procedure is due for review on: 30 October 2015

Date of Last Review: New Document

Supersedes: Nil

6. Business Area Contact
Strategy & Architecture Office, Health Services Information Agency

7. Definitions of terms used in this procedure

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition / Explanation / Details</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Contestability</td>
<td>Testing the standards and costs of delivering services within government with other providers, including the private sector to ensure the government is obtaining best value for money.</td>
<td>Queensland Government ICT strategy 2013–17</td>
</tr>
<tr>
<td>Dispensation</td>
<td>Seeking an exemption from the mandatory conditions of the relevant authority instrument.</td>
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<tr>
<td>Dispensation Coordinator</td>
<td>Responsible officer appointed within HSIA to coordinate the receipt, evaluation, submission to governing bodies, notification, monitoring and follow up of applications for dispensations.</td>
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<tr>
<td>Dispensation register</td>
<td>The following information shall be recorded in the dispensation register for each request:</td>
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<tr>
<td></td>
<td>• Unique reference identifier</td>
<td></td>
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<tr>
<td></td>
<td>• Dispensation short title</td>
<td></td>
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<tr>
<td></td>
<td>• Short description</td>
<td></td>
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<tr>
<td></td>
<td>• Requesting person, role, contact details, location</td>
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<tr>
<td></td>
<td>• Request approver/location details</td>
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<tr>
<td></td>
<td>• Submission date</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Which authority instrument (policy or HSD)</td>
<td></td>
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<tr>
<td></td>
<td>• Specific application, technology or service under request</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Dispensation recommendation (Endorsed/Endorsed with Conditions/Declined)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Conditions imposed (optional to duplicate from recommendation)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Review date</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Compliance date</td>
<td></td>
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<tr>
<td></td>
<td>• Architecture and Standards Board (Endorsed/Endorsed with Conditions/Declined)</td>
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<tr>
<td></td>
<td>• Submitter notified</td>
<td></td>
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<tr>
<td></td>
<td>• Responsible action officer</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Action/s due date</td>
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<tr>
<td></td>
<td>• Status</td>
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</tr>
<tr>
<td>Term</td>
<td>Definition / Explanation / Details</td>
<td>Source</td>
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<tr>
<td>Enterprise Architecture</td>
<td>The practice of applying a comprehensive and rigorous method for describing a current and future structure and behaviour for an organisation's processes, information, applications, technology and human resources, so that they align with the organisation's strategic direction.</td>
<td>Queensland Government Chief Information Office Glossary</td>
</tr>
<tr>
<td>Enterprise ICT Services</td>
<td>ICT services or projects that are managed and/or delivered by Health Services Information Agency that are intended for use by any or all of the Department’s Divisions and Hospital and Health Services.</td>
<td>Queensland Health ICT Governance Framework</td>
</tr>
<tr>
<td>Governing Bodies</td>
<td>For the purposes of this procedure the meaning of governing bodies includes the Department of Health committees that have responsibility for oversight of Enterprise Architecture and/or Enterprise ICT Services within their Terms of Reference.</td>
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</tbody>
</table>
| Health Service Directive            | Section 47 of the Hospital and Health Boards Act 2011 authorises the Chief Executive of the Department of Health to issue Health Service Directives to Hospital and Health Services. Health Service Directives may be issued for the purposes of:  
- Promoting service coordination and integration  
- Optimising effective and efficient use of resources  
- Setting standards and policies for safe and high quality service delivery  
- Ensuring consistent approaches to service delivery  
- Supporting the application of State policies, legislation and agreements entered into by the State.  
Health Service Directives are brief and focussed on specific requirements of, or outcomes to be achieved by, Hospital and Health Services. | www.health.qld.gov.au                                                                                                                                |
| HSD Dispensation Business Case      | The HSD Dispensation Business Case application shall contain/consider the following elements:  
- Business requirements, benefits and impacts (high level options analysis)  
- Financial/cost: initial investment, ongoing costs, financial impact on Queensland Health for diverting from a mandated application, technology or service  
- Contestability  
- Operational requirements and resources  
- Interoperability  
- Information sharing  
- Information security  
- Issues, risks and dependencies.                                                                                                                |                                                                                             |
| Interoperability                    | The ability for a system to securely communicate and exchange data in an accurate, reliable, and meaningful way with another information system so that the clinical or operational purpose and meaning of the data are preserved and unaltered. | Department of Health Interoperability Protocol                                                |
8. Approval and Implementation

Policy Custodian:
Senior Director, Strategy, Governance & Architecture, Health Services Information Agency

Responsible Departmental Management Team Member:
Chief Health Information Officer, Department of Health

Approving Officer:
Mal Thatcher Chief Health Information Officer, Department of Health

Approval date: 5/11/2014
Effective from: 5/11/2014

Version Control

<table>
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<th>Version</th>
<th>Date</th>
<th>Prepared by</th>
<th>Comments</th>
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<tr>
<td>1.0</td>
<td>16/10/2014</td>
<td>ICT Policy</td>
<td>Finalised for approval</td>
</tr>
<tr>
<td>1.1</td>
<td>13/11/2014</td>
<td></td>
<td>Minor editorial amendments</td>
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