

Safe Drinking Water Information System (SDWIS) Modernization Board Charter

Modernization Planning Phase (January – July 2020)

Mission Statement

The SDWIS Modernization Board's mission for the Planning Phase is for states to provide input and recommendations to the EPA Office of Water on the SDWIS Modernization Alternatives Analysis processes and option selection.

Background and Purpose

The Environmental Protection Agency (EPA) is currently working to modernize the Safe Drinking Water Information System (SDWIS). This work builds off previous attempts to modernize the system that have been met with some development challenges. The current SDWIS State system (and associated data flow components) is a standalone system that runs at the Primacy Agency (state) level. SDWIS State provides states with these capabilities that support implementation of the drinking water program:

- Manage Water System Inventory information
- Receive and manage large volumes of system compliance monitoring data
- Manage rule schedules
- Determine candidate drinking water rules violations (via the Compliance Determination Subsystem, the legacy version of the Business Rules Engine) and provide capabilities for drinking water rules managers to designate automated candidate violations as official violations
- Track enforcement and other water system actions
- Reporting system inventory and violation and enforcement data to EPA

The reporting to EPA function of SDWIS State provides the capability for States to transmit required quarterly reporting data to EPA's SDWIS Fed Data Warehouse for reporting and analysis. As part of a modernization effort, EPA was working with states to develop SDWIS Prime to replace SDWIS State. Development was halted in July 2019 after technical issues were assessed. As this modernization effort is re-established the goal remains to replace SDWIS State with software that helps states perform day to day implementation of the drinking water program, and that facilitates easier information exchange among primacy agencies, regulated entities, EPA Regions, and EPA headquarters.

The Safe Drinking Water Information System Modernization Board (referred to as the Board throughout this document) was established in January 2020 to provide a venue for EPA and State Agencies with drinking water primacy to discuss the SDWIS modernization work and ensure needs and impacts on partners were considered throughout the analysis, planning, and development phases. The Board is comprised of EPA Office of Drinking water staff, state drinking water staff, and state technology staff. The Board is intended to function as a co-regulator input vehicle, where the recommendations that are decided upon by the Board are given to EPA with the expectation that EPA is going to follow that recommendation. Ultimately, however, EPA does retain final decision-making power. In the case that EPA does not follow the Board's recommendation, EPA will report back to the board in an open and transparent way their reasoning behind not following the Board's recommendation.

This charter anticipates that modernization needs will evolve as the project moves towards development. This charter describes a phased approach for modernization, with the possibility that membership will shift significantly throughout each phase to ensure the right expertise is available from states and EPA. Figure 1 depicts the 3 phases of the SDWIS modernization effort. This charter outlines the Board structure, operating assumptions, and decision processes to be used throughout the first phase of the modernization process.

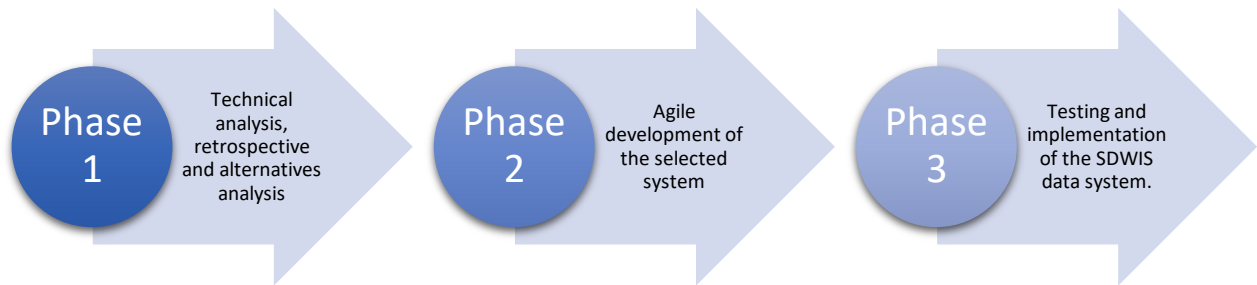


Figure 1: SDWIS Modernization Board Phases

Group Structure

The Board is comprised of 5 EPA members, 5 state drinking water program staff, 6 state technology staff, 1 ASDWA representative, and 1 ECOS representative. Members are volunteers and were identified based on their experience with the SDWIS national system or their experience in technology modernization efforts. Members from both state and EPA drinking water program staff and technical staff were included on the Board to ensure that perspectives from both user groups were included in early discussions. This mix will also help provide perspectives from states that utilize a centralized IT structure where technology decisions may be separated from the drinking water programs. Deliberate inclusion of program staff and technical staff attempts to mitigate the communication and coordination challenge (as experienced during previous modernization efforts) that system development work, particularly in State Agencies, tends to occur outside the purview of the program staff.

While the board consists of a mix of state and EPA participation across both drinking water and technology expertise, it is expected that Board members communicate and coordinate with their peers and inform the Board of the varying perspectives. The Modernization Board support staff, with the support of ASDWA and ECOS, will endeavor to help with this type of outreach whenever possible but the Board members may be asked to reach out directly to their peers in other states. If a more formal expansion of input is needed, additional participants may be invited to specific modernization board meetings to aid in discussions. These participants will not be considered formal members of the modernization group, but their input will be considered as essential customer information and included in analysis.

Meeting Logistics

Board meetings will occur bi-weekly through the first phase of this effort with the frequency adjusted as-needed and driven by the development of technical analysis. Support for each meeting will include agenda development, discussion facilitation, and meeting summary development with a special

emphasis on action and decision tracking. Every effort will be made to meet deadlines for read-ahead materials to ensure members have adequate time to review materials and gather feedback from any other staff with specific expertise.

- *Agendas, analysis summaries, reports*: circulated no later than the Monday before each meeting (approximately one full work week).
- *Meeting actions and requested member work between calls*: circulated immediately following each call (same day).
- *Meeting summaries outlining key discussion points and decisions*: posted on SharePoint three working days after each meeting.

To support Board members, emails for this effort will include the phrase ‘SDWIS Modernization Board’ to make them easier to search for and will also reference any needed review or response needed from members.

Calls will include a mix of traditional presentations, discussion, and interactive structured discussion. Members are encouraged to fully engage with the web meeting tool (Zoom Meetings) to ensure full participation and the ability to participate in chat and polling work within calls. Members are also encouraged to use video during meetings to help with discussions whenever possible.

Membership Expectations

Modernization Board Members will conduct their business primarily through the bi-weekly conference calls and e-mail. In performing their duties, Modernization Board Members shall agree to conduct proceedings in a professional, constructive, and respectful manner as well as:

- Come to meetings with sufficient background information to productively discuss meeting topics, including reading background materials.
- If members are unable to attend a Board Meeting, it is the member’s responsibility to send an alternate from their office to attend on their behalf and to follow up with this alternate to remain informed on the decisions being made by the Board. It is also important for this alternate to inform project staff which member they are sitting in for during roll call.
- Perform follow-up actions identified in meetings in a timely manner and let the group know when there are known time constraints.
- Communicate relevant information within their organization (e.g., discussions of meeting items between drinking water and information management staff)
- Attend meetings with a mindset for how a general user would use SDWIS into the future, not just the needs of the agency that they represent.
- Spend approximately two hours a week to review materials and communicate with staff on topic areas.

Timeline

Item	Timeframe
Draft and Finalize the SDWIS Modernization Board Charter	Late January – February 21 st

Validate SDWIS Business Requirements and Partner Needs	Mid-March (March 20)
Validate the Alternatives Analysis Criteria	Early March (March 6)
Finalize the Alternatives Analysis Scope - What does the AA include?	Early March (March 6)
Alternatives Analysis Criteria & Options Development - Continual “sprint”-like reviews w/ Modernization Board (e.g., gather quick, real-time feedback on the development of the alternatives analysis work)	Early March – Early April
Review of progress relative to timeline – any adjustments needed?	Mid-April (or is this assumed throughout timeline)?
Alternatives Analysis Report Draft Release	End of May
Alternatives Analysis Final Report Release	End of June
Alternatives Analysis Option Selection	Late June – July
Transition to Phase 2 (Development) and identification of changes to charter	Late July

Relationship of this work to the E-Enterprise Digital Strategy

The SDWIS modernization effort is the first major system to undergo this type of activity since the development of the E-Enterprise Digital Strategy. The principles outlined in the Digital Strategy provide a high-level roadmap to ensure full customer engagement throughout the planning and development phases of system redesigns and the development of new systems. These expectations, while not yet finalized, provide a helpful framework under which shared governance will operate. These principles will act as a starting point for the development of a lifecycle-based governance approach that allows stakeholders to engage in transparent decision-making at all stages of the SDWIS development cycle.

- *Make User-Centered Design the Top Priority*
 - This will ensure that the right stakeholders are participating in modernization discussions and that these parties are actively part of the decision-making process.
- *Question the Status Quo and Keep an Open Mind*
 - This is going to be a focal point for the members to be mindful of and may include leveraging information from existing lookbacks, retrospectives, and lessons learned.
- *Take the Time to Fully Understand Program Priorities and User Needs*
 - While the detailed business requirements are already known, they may need to be refreshed since there has been a decent amount of time since they have been gathered.
- *Document current business processes, workflow, and technology*
 - This is an ongoing task that will be fleshed out once the retrospective work is complete.
- *Identify the Desired Future State of Business Processes and System*
 - This is a key item that will be discussed by the members as they review the ongoing continuous operations.
- *Default to Using Open Data and Shared Services in the Solution Design*

- This is a key item that will be discussed by the members as they review the ongoing continuous operations.
- *Consider Alternative Approaches to Designing, Building, and Operating Systems*
 - This will be incorporated into discussions on the Alternatives Analysis and will be a guiding principal for the members to re-imagine operations based upon new industry standards.

Expected Modernization Board Engagement by Project Milestone

Topic / Deliverable	Area of responsibility for the Modernization Board
Review and Development of Alternative Analysis Criteria (including assumptions and scope)	Prior to EPA providing criteria to contractor the board must identify and/or review priority criteria. Modernization board responsibility is to identify and review the above, member responsibility will be to canvas colleagues and counterparts within their own state and/or other states to collect their perspectives to provide during board deliberations.
Review and Provide Feedback on the Iterations of the Alternatives Analysis	Modernization Board Members will provide feedback to GDIT on iterations and areas needing additional members input as they become necessary from GDIT
Development of Alternatives Cost-Benefit Analysis	Modernization Board members will provide cost/benefit input to Alternative Analysis team. May require coordination across IT and Program representatives.
Review Alternatives Analysis	<p>Modernization Board members will review and provide input on drafts of the Alternatives Analysis, as requested.</p> <p><u>Modernization Board members will review the final Alternatives Analysis and be prepared to identify preferred options.</u> If a consensus is not reached by the Board this should be noted to EPA with the recommendation with reasoning from the dissenting members why they didn't agree with the majority opinion.</p>
Provide final recommendation to Modernization Board co-chairs and EPA	Modernization Board members will provide a final recommendation to the Modernization Board Chairs and EPA on preferred Alternative Analysis option(s). This final recommendation will be given to EPA with the understanding that it is the expectation that EPA will adhere to the recommendation. EPA does retain the final

	decision making authority, and will provide members with transparent reasoning and rational as to why the member's recommendation was not adhered to.
Transition to Phase 2 - SDWIS System Development	

Membership

Consistent with requirements of the Federal Advisory Committee Act (FACA) and the Unfunded Mandates Reform Act (UMRA), all state members of the governance board must be designated to act on behalf of their state's elected officers.

The following EPA and state agency staff have been identified as the members for Phase I of the governance board.

Name	Org/Agency
State Enterprise Information Management Members	
Victoria Phillips (Co-Chair)	Massachusetts Department of Environmental Protection
Sudhakar Adda	Arizona Department of Environmental Quality
Stephen Forrest	Montana Department of Environmental Quality
Jeff Martin	Colorado Department of Public Health and Environment
Mary Montoya	New Mexico Environment Department
State Drinking Water Program Members	
Shellie Chard	Oklahoma Department of Environmental Quality
Damon Guterman	Massachusetts Department of Environmental Protection
Gino Pizzini	Montana Department of Environmental Quality
Mike Means	Washington State Department of Health
Nicole Graziano	Colorado Department of Public Health and Environment
Michele Risko	Texas Commission on Environmental Quality
EPA Members	
Benita Best-Wong (Co-Chair)	U.S. Environmental Protection Agency/ Office of Water
Karen Maher	U.S. Environmental Protection Agency/ Office of Mission Support
EPA SDWIS Leadership Team Participants	
Jennifer McLain	EPA Office of Water
Yu-Ting Guilaran	EPA Office of Water
Anita Thompkins	EPA Office of Water
Ron Bergman	EPA Office of Water
Michael Plastino	EPA Office of Water
Tina Chen	EPA Office of Water
Deric Teasley	EPA Office of Water
Renee Morris	EPA Office of Water

Justin Wright	EPA Office of Water
Facilitation and Support	
Rob Willis	Ross Strategic
Kristen Durance	Ross Strategic
Alec Ege	Ross Strategic
Kurt Rakouskas	Environmental Council of the States/E-Enterprise
Anthony DeRosa	Association of State Drinking Water Administrators
Mary Curtis	EPA Office of the Chief Financial Officer/Office of E-Enterprise
Dwayne Young	EPA Office of Water