



**CHCANYS** DEFINING NEW DIRECTIONS  
Community Health Care Association of New York State

# NY DSRIP

## Draft Project Plan Application

Summary of Key Components

September 29, 2014



# Draft Application

- Two parts to the draft application, released by DOH for public comment on September 29:
  1. [Organizational Application](#) (comprises 30% of total project score)
  2. [DSRIP Project Plan Applications](#) for Domains 2, 3, and 4 (comprises 70% of total project score)
- DOH also released for comment:
  - [Domain 1 DSRIP Project Requirements Milestones and Metrics](#)
  - [DSRIP PPS Application Scoring Guide](#)

# Scoring Summary

**Total Project Score** for each project =

- **70% PPS Project Score**
- **30% PPS Organization Score.** Includes:
  - 25% Governance
  - 25% CNA
  - 20% Workforce
  - 15% PPS Cultural Competency/Health Literacy
  - 10% Financial Sustainability Plan
  - 5% Data-Sharing, Confidentiality and Rapid-Cycle Evaluation

# Organizational Application Overview

# Organizational Application

- 30% of total project score
- Includes sections that summarize the PPS's organizational structure, community health issues, and capabilities to implement a successful PPS

# Sections

1. Executive Summary	Pass/Fail (no scoring)
2. Governance	25% of PPS structure score
3. Community Needs Assessment	25% of PPS structure score
4. DSRIP Projects	<i>Separate application/attachment for project plans</i>
5. PPS Workforce Strategy	20% of PPS structure score
6. Data-Sharing, Confidentiality and Rapid-Cycle Evaluation	5% of PPS structure score
7. PPS Cultural Competency/Health Literacy	15% of PPS structure score
8. DSRIP Budget and Flow of Funds	Pass/Fail (no scoring)
9. Financial Sustainability Plan	10% of PPS structure score

## Sections (2)

10. Bonus Points	<ul style="list-style-type: none"> <li>• Up to 3 bonus points for proven population health management capabilities (applicable to 2.a.i only)</li> <li>• Up to 3 bonus points for contracting with a proven, independent organization to assist with workforce strategy</li> <li>• Additional bonus points for those pursuing 11<sup>th</sup> project</li> </ul>
11. Attestation	No scoring

Total of all Organizational Application sections = 100% + up to 6 bonus points (or more for those pursuing 11<sup>th</sup> project)

The Organizational Application is only **30%** of the total project score. The remaining **70%** is based on Project Plan Applications.

# Organizational Application

## Requirements for selected sections

1. Governance
2. PPS Workforce Strategy
3. Data-Sharing, Confidentiality, and Rapid-Cycle Evaluation
4. Financial Sustainability Plan



# Governance

Narrative	Requirements
<p><b>Governance organizational structure (20%)</b></p>	<ul style="list-style-type: none"> <li>• Organizational structure description</li> <li>• Why selected structure will be critical to PPS success</li> <li>• Organizational chart</li> <li>• How the structure will ensure adequate governance and management of DSRIP</li> <li>• How the structure will ensure adequate clinical governance</li> <li>• How the organizational structure will evolve (when applicable)</li> </ul>
<p><b>Governance members and process (30%)</b></p>	<ul style="list-style-type: none"> <li>• Members (or types of member positions) of governing body</li> <li>• Roles and responsibilities of each member</li> <li>• Description of process to select members</li> <li>• How members sufficiently represent all providers and community organizations in the PPS network</li> <li>• Outline where coalition partners have been included in the organizational structure</li> <li>• Decision-making/voting process that will be used</li> <li>• How conflicts/issues will be resolved</li> <li>• How governing body will ensure transparency</li> <li>• How governing body will engage stakeholders including Medicaid members</li> </ul>

# Governance (2)

Narrative	Requirements
<b>PAC (15%)</b>	<ul style="list-style-type: none"> <li>• How the PAC was formed</li> <li>• Timing in which it was formed</li> <li>• Membership</li> <li>• Role the PAC will serve within the PPS</li> <li>• Role of the PAC in development of PPS organizational structure</li> <li>• Input during the CNA</li> </ul>
<b>Compliance (10%)</b>	<ul style="list-style-type: none"> <li>• Identify the designated compliance official or individual (must not be the legal counsel to the PPS)</li> <li>• Describe the individual's organizational relationship to the PPS governing team</li> <li>• Describe mechanisms for identifying and addressing compliance problems related to PPS operations and performance</li> <li>• Describe compliance training for PPS members and coalition partners (distinguishing those under development versus existing programs)</li> </ul>

# Governance (3)

Narrative	Requirements
<p><b>Financial Organizational Structure (10%)</b></p>	<ul style="list-style-type: none"> <li>• Planned financial structure, including description of financial controls</li> <li>• Processes that will support PPS financial success and the decision-making of PPS governance structure</li> <li>• Key finance functions to be established within the PPS</li> <li>• Planned used of auditors (internal and/or external)</li> <li>• Plan to establish compliance program in accordance with NY State Social Security Law 363-d</li> </ul>
<p><b>Oversight and member removal (15%)</b></p>	<ul style="list-style-type: none"> <li>• PPS process for monitoring performance</li> <li>• How PPS will address lower performing members of the PPS</li> <li>• Process for sanctioning or removing a poor performing member of the PPS (must be compliant with the STCs of the waiver)</li> </ul>



# PPS Workforce Strategy

Narrative	Requirements
<b>Detailed workforce strategy identifying all workplace implications to the PPS (20%)</b>	<ul style="list-style-type: none"><li>• Summarize how existing workers will be impacted (possible staff redeployment, retraining, potential workforce reductions)</li><li>• Identify and outline the specific workforce categories of existing staff, by category, that will be impacted the greatest, specifically citing the reasons for anticipated impact</li><li>• Describe PPS high-level approach and strategy to minimize negative impact</li></ul>

Identify % of existing employees that need to be **retrained**, **redeployed**, and **new hires**.  
In the near future, PPS must complete a comprehensive assessment on the impact to the workforce on  
***a project-by-project basis.***

# PPS Workforce Strategy (2)

Narrative	Requirements
<p><b>Retraining of existing staff (15%)</b></p>	<ul style="list-style-type: none"> <li>• Process by which identified employees and job functions will be retrained</li> <li>• Indicate whether retraining will be voluntary</li> <li>• Process and potential impact of this retraining approach (particularly on wages and benefits of existing employees)</li> <li>• Ramifications to existing employees who refuse their redeployment assignment</li> <li>• Role of labor representatives in the retraining plan</li> <li>• Indicate % of retrained staff expected to achieve partial or full replacement</li> </ul>
<p><b>Redeployment of existing staff (15%)</b></p>	<ul style="list-style-type: none"> <li>• Process by which identified employees and job functions will be redeployed</li> <li>• Process and potential impact of the redeployment approach (particularly on wages and benefits of existing employees)</li> <li>• Ramifications to existing employees who refuse their redeployment assignment</li> <li>• Role of labor representatives in the redeployment plan</li> </ul>
<p><b>New hires (15%)</b></p>	<ul style="list-style-type: none"> <li>• Describe new jobs that will be created as a result of DSRIP (itemized by category)</li> </ul>

# PPS Workforce Strategy (3)

Narrative	Requirements
<p><b>Workforce strategy budget (20%)</b></p>	<ul style="list-style-type: none"> <li>Identify by DSRIP project number the planned spending committed to workforce strategy over the life of the waiver (budget by year and funding type). The size of the financial commitment will have a direct impact on scoring of this section.</li> </ul>
<p><b>State program collaboration efforts (5%)</b></p>	<ul style="list-style-type: none"> <li>Describe plans to utilize existing state programs in implementation of workforce strategy</li> </ul>
<p><b>Stakeholder and worker engagement (10%)</b></p>	<ul style="list-style-type: none"> <li>Outline stakeholder engagement process undertaken in developing the workforce strategy</li> <li>Identify labor groups or worker representatives that have been consulted</li> <li>How PPS has and will continue to engage frontline workers in planning implementation of system change</li> <li>Plans to continue stakeholder and worker engagement</li> <li>Strategies to overcome structural barriers the PPS expects to encounter</li> </ul>

# Data-Sharing, Confidentiality, and RCE

Narrative	Requirements
<p><b>Data-sharing and confidentiality (50%)</b></p>	<ul style="list-style-type: none"> <li>• PPS plan must have a data-sharing and confidentiality plan that ensures compliance with all Federal and State privacy laws while also identifying opportunities to develop clinical collaborations and data-sharing to improve care quality and coordination</li> <li>• Description of PPS plan for appropriate data sharing among partner organizations</li> <li>• Strategy describing how all PPS partners will act in unison to ensure data privacy and security of data while upholding HIPAA</li> <li>• How the PPS will have/develop ability to share relevant patient information in real time while maintaining patient privacy</li> </ul>
<p><b>Rapid-cycle evaluation (RCE) (50%)</b></p>	<ul style="list-style-type: none"> <li>• Description of PPS plan for required RCE, interpretation and recommendations</li> <li>• Identify organizational unit within PPS that will be accountable for reporting results and making recommendations on actions requiring further investigation into PPS performance</li> <li>• Describe organizational relationship of this unit to PPS governing team</li> <li>• Outline how the PPS intends to use patient data to: (a) evaluate performance of PPS partners and providers, (b) conduct quality assessment and improvement, and (c) conduct population-based activities to improve health of targeted population</li> <li>• Describe oversight of interpretation and application of results and how RCE will help develop a highly-functioning PPS</li> </ul>

# Financial Sustainability Plan

Narrative	Requirements
<p><b>Assessment of PPS financial landscape (33.33%)</b></p>	<ul style="list-style-type: none"> <li>Describe assessment performed to identify partners that are financially challenged and at risk of financial failure</li> <li>Identify (high level) the expected financial impact that DSRIP projects will have on financially fragile providers and/or other providers that could potentially be negatively impacted by DSRIP</li> </ul>
<p><b>Path to PPS financial sustainability (33.33%)</b></p>	<ul style="list-style-type: none"> <li>PPS must develop strategic plan to achieve financial sustainability</li> <li>Describe the plan the PPS has or will develop outlining the PPS path to financial sustainability, citing any known financial restructuring efforts that will require completion</li> <li>Describe how PPS will ensure fragile safety net providers will achieve a path of financial sustainability</li> <li>How PPS will sustain the DSRIP outcomes after conclusion of the program</li> </ul>
<p><b>Strategy to pursue &amp; implement payment transformation to support financial sustainability (33.33%)</b></p>	<ul style="list-style-type: none"> <li>Describe PPS plan for engaging in payment reform over course of 5-year demonstration period</li> <li>PPS vision for moving to value-based reimbursement and how the PPS will engage Medicaid MCOs in the process</li> <li>How payment transformation will help the PPS achieve a path of financial sustainability (particularly for financially fragile partners)</li> </ul>





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# Project Plan Applications for Domains 2, 3, and 4

# Project Plan Applications, Domains 2-4

- 70% of total project score
- Each PPS will submit project plan applications for no fewer than 5 projects and no more than 11 projects
  - **Domain 2:** At least two projects (including one from sub-list A and one from sub-list B or C)
  - **Domain 3:** At least two projects (including at least one from sub-list A)
  - **Domain 4:** At least one project
- The draft DSRIP Project Plan Application outlines project-specific application requirements and scoring criteria for each project

# Scoring

- Domain 2-4 projects will be scored based on:
  - The quality of the *Project Description and Justification* response
    - Subjectively scored by Independent Assessor
  - The *scale of implementation* and the *speed of implementation*
    - Objectively scored by Independent Assessor – scores are based on data provided in the application and are relative to the responses from other PPSs

# Project-Specific Metrics

- Project-specific scoring will be based on a number of variables for each PPS. These metrics include:
  1. Total number of providers, programs, facilities, or sites that the PPS intends to include for implementation of the project.
  2. Percentage of safety net providers that the PPS intends to include for implementation of the project.
  3. Total expected percentage of targeted patients the PPS intends to actively engage for the project.
  4. Expected timeline for achieving all project requirements.
  5. Expected timeline for engagement of targeted patients.

# Application Components and Scoring – Domains 2 and 3

- Applicants must list providers participating in each project (with NPI)
- Project application score is based on **Project Response and Evaluation (100 possible points)**. For **most** Domain 2 and 3 projects, this includes four sections:
  1. **Project description and justification** (20 points). Asks applicants to:
    - Use CNA data to address gaps this project will fill to meet community needs
    - Define the target population expected to be impacted
    - Summarize current assets and resources that can be mobilized and needed community resources to be developed or repurposed
    - Describe anticipated project challenges or issues and how these challenges will be addressed
    - Outline how the PPS plans to coordinate on the DSRIP project with other PPSs that serve an overlapping service area

# Application Components and Scoring – Domains 2 and 3 (Continued)

## 2. **Scale of implementation** (40 points)

- This section evaluates the scale and scope of projects. Projects larger in scale (larger impact on Medicaid program and patient population) will receive higher scores.
- Generally also asks for number of providers participating in the project, number of safety net providers, and % of safety net providers by county

## 3. **Speed of implementation/patient engagement** (40 points)

- Projects with accelerated timelines for meeting project requirements and desired impact on the target population will get higher scores

## 4. **Project resource needs and other initiatives** (not scored). This section asks:

- Whether the project will require capital budget funding
- Whether any providers that are in the PPS and part of the project plan are involved in other Medicaid or relevant projects related to this project's objectives
- If so, how this project differs from or significantly expands upon existing initiatives

# Additional Specifications

- Though most Domain 2 and 3 applications follow this format, there are some additional specifications and prompts based on individual project objectives
- Project 2.a.i (*Create an Integrated Delivery System focused on Evidence-Based Medicine and Population Health Management*) has an additional section on System Transformation Vision and Governance
- Domain 4 Project applications follow a different format. Scores are 100% based on Project Description and Justification.

# Domain 1 DSRIP Project Requirement Milestones and Metrics

- In addition to the application, DOH released a supplemental document *Domain 1 DSRIP Project Requirements Milestones and Metrics*
  - Outlines Domain 1 milestones and metrics for each Domain 2 and 3 project
  - Includes requirements, corresponding metrics/deliverables needed to demonstrate achievement, and expected data sources
  - This is what the Independent Assessor will use to verify that project requirements have been achieved
  - PPSs should use this document in developing their applications, implementation plans due on April 1, 2015, and subsequent quarterly reports
- For Domain 4 projects, each PPS will submit specific milestones for those projects in their implementation plan (further details forthcoming)



# Minimum and Maximum Scores

- **Bonus points:** Bonus points can't push the total project score above 100%
- **Minimum standard:** If a PPS has an average project score that is less than 60% (averaging across all their projects), the application will be failed and sent back to the PPS for remediation
- The project score will be used to determine the project value (dollar amount) that a PPS will receive for each project:

$[\$ \text{ per member per month}] \times [\# \text{ of members}] \times [\% \text{ Application Score}] \times [\# \text{ of months}]$   
= Project Value