



*HEAL NY-- Phase 5
Health Information Technology
Grants*

***Advancing Interoperability and
Community-wide EHR Adoption***

*Applicant Conference September 28, 2007, 1-4pm
Empire State Plaza, Meeting Room 6
Albany, New York*



Today's Agenda

- HEAL NY Phase 5 Health IT RGA
 - Ground Rules
 - Overview and Goals
 - Application and Award Process
 - Allowable Costs
 - Questions and Answers



Ground Rules

- Verbal responses provided by the panel at today's conference are unofficial. The official responses will appear in the 'Question & Answer' document that will be published by 10/26.
- Private questions cannot be answered. Ask all questions to the panel as part of the question and answer portion of the conference.
- Questions submitted via email are permitted until 10/12.
- A transcript of the conference will be published.
- An attendee list will be published.



RGA Overview

- HEAL-NY Phase 5 Health IT Goals
- Investment Framework
- State-wide Collaboration Process
- Evaluation



HEAL-NY Phase 5 Goals

- Develop infrastructure and capacity to enable improvement in health care quality, affordability and outcomes for New Yorkers
- Advance interoperability to realize benefit from health IT
 - 3 foundations
 - Organizational
 - Clinical
 - Technical
 - Cross-sectional interoperability



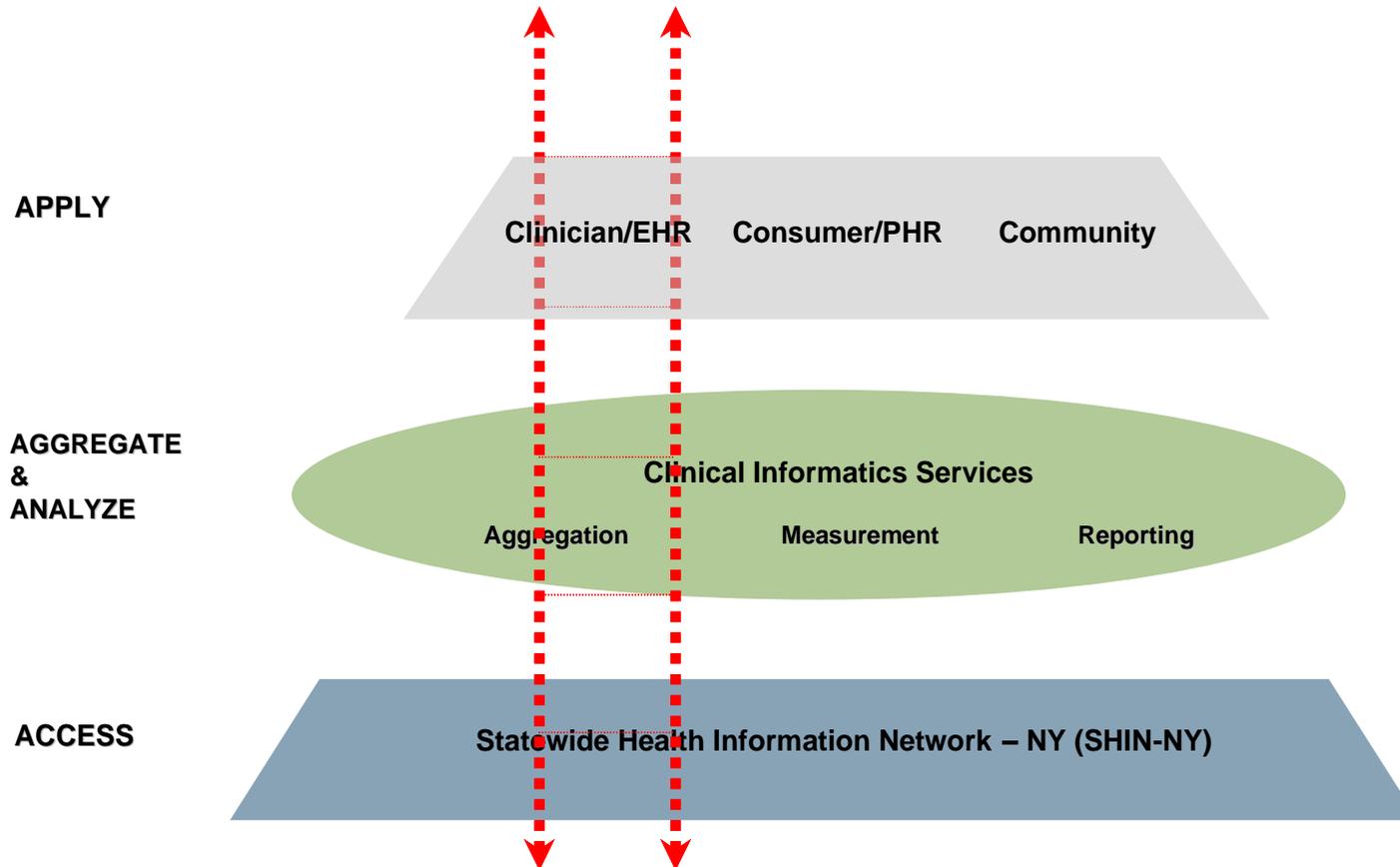
RGA Investment Framework

- Technical Framework
- Clinical Investment Priorities/Use Cases
- Three Categories of Grant Applications

Technical Framework

Framework for New York's Health Information Infrastructure

"Cross-Sectional" Interoperability – People, Data, Systems



Clinical Investment Priorities & Corresponding Use Cases

- Connecting New Yorkers and Clinicians
- Health Information Exchange for Public Health
- Interoperable EHRs for Medicaid
- Quality Reporting for Outcomes
- Clinical Decision Support in a HIE Environment
- Immunization Reporting via EHRs
- Quality Reporting for Prevention via EHRs

Grant Category One

- Statewide Health Information Network for New York (SHIN-NY)
 - Technical and organizational capacity to achieve interoperability
 - RHIO applicants only
 - Demonstrate 2 out of the following 4 use cases
 - Connecting New Yorkers and Clinicians
 - Health Information Exchange for Public Health
 - Interoperable EHRs for Medicaid
 - Quality Reporting for Outcomes
 - Regional implementation driving common HIE protocols, services and standards statewide
 - Up to eight awards
 - 55% of total available funds or \$58.16 million

Grant Category Two

- Clinical Informatics Services (CIS)
 - Community-based quality tools which aggregate, analyze, measure and report data to support new payment models and facilitate quality interventions
 - RHIO and CHITA applicants
 - Demonstrate 1 out of the following 2 use cases
 - Quality Reporting for Outcomes
 - Clinical Decision Support in HIE Environment
 - Clinical information is required as primary data source; can be supported by claims-based information
 - Minimum of two; maximum of four awards
 - 45% of total available funds or \$47.58 million is expected to be available for the CIS & EHR categories

Grant Category Three

- Community-wide Interoperable EHRs
 - Ambulatory care clinician office-based EHR adoption in a defined care coordination zone, including clinically affiliated providers to drive results delivery and adoption
 - RHIO and CHITA applicants
 - Demonstrate 1 out of the following 3 use cases
 - Immunization Reporting with EHRs
 - Quality Reporting for Prevention
 - Interoperable EHRs for Medicaid
 - Interoperability and sufficient scale of adopters defined by care coordination zone
 - Up to eight awards
 - 45% of total available funds or \$47.58 million is expected to be available for the CIS & EHR categories



Statewide Collaboration Process

- Section 4 describes statewide collaboration process by the New York e-Health Collaborative (NYeC)
 - Coordination and harmonization of technical and policy approaches; providing technical assistance
- Applicants must:
 - Allocate 5% of project funds to support collaboration process (source of funds can be either reimbursable funds from grant to matching funds)
 - Plan for collaboration process in project plans



Eligible Applicants

- Regional Health Information Organizations (RHIOs) – Section 3.1
- Community Health Information Technology Adoption Collaborations (CHITAs) – Section 3.2



RHIOs

- Lead Applicant
- Stakeholders
- Service area
- Scope of services
- Other criteria



CHITAs

- Lead applicant
- Participants
- Care coordination zone
- Health IT adoption and support services
- Other criteria



Evaluation

- Project Evaluation – Section 5.1.4
- Grant Review Evaluation – Section 5.2
 - Technical Application
 - Financial Application



Project Evaluation

- Project evaluation will be conducted statewide by a third party academic evaluation consortium
- Applicants must:
 - Allocate 5% of project funds to support project evaluation (source of funds can be either reimbursable funds from grant to matching funds)
 - Plan for participation in project evaluation



Grant Review Evaluation

- Technical Application
 - Organizational plan
 - Technical plan
 - Clinical plan
 - Leadership and personnel qualifications
 - Project management
 - Financial plan



Grant Review Evaluation

- Financial Application
 - Project budget
 - Cost Effectiveness
 - Project financial sustainability
 - Applicant financial sustainability



Application Process

- Submission
 - November 19, 2007 by **3:00 PM** at the Hedley Building, **TROY NY**
 - Refer to Section 6.5: How to File an Application
 - Include either 2 CDs or 2 USBs (Section 6.5.1 states 3 copies are required – **only 2 copies** are required)
 - No cost figures on Technical Application



Application Process (cont.)

- Section 9 includes RGA forms & checklists
 - Use checklists provided to ensure complete submissions
 - Identify Lead Applicant
 - Identify Category of Project & Region
 - RHIOs use Section 9.1
 - CHITAs use Section 9.2
 - Financial Section
 - RHIOs Cover Page
 - CHITAs Cover Page

INCOMPLETE SUBMISSIONS MAY BE ELIMINATED FROM FURTHER REVIEW.



Minimum Requirements

- Section 7.4 describes the initial screening process. Any missing critical elements may result in the elimination of applications
- Completeness Review
 - Sections and forms
 - Format
 - Copies
- Application and Eligibility Review
 - RHIOs
 - CHITAs
- Budget
- Commission Mandates



Award Process

- Section 5.3 describes the award process
 - Separate applications must be submitted for each grant category
 - Applicant cannot apply more than once per category
 - If Applicant applies for multiple categories, the applicant should describe the interrelationship between each category.
 - If an applicant is applying for multiple categories, the total requested funding cannot exceed \$15 million



Award Process (cont.)

- Expected awards will be made in the three grant categories:
 1. Statewide Health Information Network for New York (SHIN-NY)
 2. Clinical Informatics Services (CIS)
 3. Electronic Health Record (EHR)



Award Process (cont.)

- Section 5.3.6 describes award process
 - 55% of total available funds or \$58.16 million is expected to be available for the SHIN-NY category
 - 45% of total available funds or \$47.58 million is expected to be available for the CIS & EHR categories
 - Applications meeting a minimum score will be arrayed and awards made using the four step award process



Award Process (cont.)

- Category I: SHIN-NY
 - Up to 8 awards are expected to be made
 - Single Commission Region awards are expected to be the lesser of the regional allocation or up to \$10 million
 - For co-applying RHIOs serving more than one region, the maximum award amount is expected to be the sum of regional allocation but not to exceed \$15 million



Award Process (cont.)

- Category II: CIS
 - A minimum of 2 and a maximum of 4 awards are expected
 - Maximum award amount is expected to be \$5 million or the lesser of the regional allocation



Award Process (cont.)

- Category III: EHRs
 - Up to 8 awards are expected in this category
 - Maximum award amount is expected to be \$8 million or the lesser of the regional allocation



Award Process (cont.)

- Section 6.6 describes NYS rights reserved
 - NYS reserves the right to reject any or all applications
 - and to adjust or correct cost figures with concurrence of the applicant if errors exist



Contracting

- Expected project start date within the first quarter of 2008.
- Initial contract term of 2 years.
- DOH option to renew the contract for up to 2 additional 1 year periods to ensure completion of the project (no additional funding).
- Any renewal must be approved by the Office of the NYS Attorney General and the Office of the State Comptroller.



Payment and Reporting

- The grantee must submit quarterly vouchers to DOH based upon eligible expenses actually incurred by the Grantee.
- During the two year grant period, the grantee is required to submit quarterly reports to DOH.
- Written questions will be accepted through October 12, 2007 at healnyhit@health.state.ny.us



Allowable Costs

- Grants will be made for up to 75% of total project cost.
- Matching fund requirement is 25% of total project cost.
- Applicants that provide a 10% cash contribution match will be evaluated more favorably.



Allowable Costs (cont.)

- Applicant allocation of funds (see sections 9.3.4-9.3.6)
 - NON-CAPITALIZABLE: Total non-capitalizable expense **must not exceed** 40% of total reimbursable expense.
 - CAPITALIZABLE: It is the responsibility of the applicant to allocate at least 60% of all reimbursable expenses as capitalizable.
- Phases
 - Planning
 - Implementation
 - Post-Implementation
 - Evaluation & Collaboration



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Questions and Answers

- Written questions due by October 12, 2007