



**Department
of Health**

Equity Infrastructure Program (EIP)

Information Technology Target Operating
Model (IT TOM) – Participation Guidance
Document

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Information Technology Target Operating Model (IT TOM) Participation Guidance Document

Overview & Purpose

The Equity Infrastructure Program (EIP) is designed to enhance the Delivery System Reform Incentive Payment (DSRIP) Program by incentivizing participants to participate in activities that are vital to DSRIP's success, but are not specifically funded through DSRIP. As part of the EIP, program participants must select four out of nine available activities. IT TOM is one of the nine activities that make up EIP.

The IT TOM project was a series of workshops offered by the Department of Health and facilitated by the DSRIP Support Team. During these workshops participants generated a target model of operation for their end-state IT systems which would enabled them to meet their DSRIP goals, such as operating in an Integrated Delivery System (IDS) environment. The IT TOM workshop series ended in the first quarter of Demonstration Year (DY) 2.

This document provides guidance on how EIP participants can continue to participate in IT TOM as part of their activity within EIP beginning in the second quarter of DY2. The guidance herein can be used by Performing Provider Systems (PPS) to determine how to participate and report on IT TOM in DY2 Q2 throughout the duration of the program. This document can also be used by Managed Care Organizations (MCOs) to determine how to evaluate their paired PPS' participation in IT TOM beginning in DY2 Q2.

IT TOM – Participation Guidance

Methods of Participation

Starting in the second quarter of DY2, evidence of PPS participation in IT TOM can take two primary forms. A PPS must provide evidence of IT TOM participation by performing one of the two methods described below and reporting to its paired MCOs during each reporting period in order to be awarded EIP funds:

- a. Development and facilitation of PPS-led IT TOM Workshops, or
- b. Leveraging lessons learned from past IT TOM workshops to advance a PPS' target operating model.

Conducting an IT TOM Workshop

IT TOM Workshops typically include examining a DSRIP project (e.g. project 2.a.i – the creation of an Integrated Delivery System) and determining its business or system requirements. The current state of the PPS' provider network's systems are examined in relation to those requirements. This allows the PPS to determine the target operating model and identify gaps that it need to be addressed to complete the model.

IT TOM workshops are centered on the development of blueprints, requirements documents, scenarios, and use cases. By collaboratively running through these activities, a PPS can determine its organizational, technical, and functional gaps by completing their target operating model, and identify the next steps to meet the model's business and system requirements.

IT TOM workshops are iterative in nature, since a single workshop would not be able to cover the requirements of a DSRIP project. Rather, a series of workshops that build upon the last are needed to create a comprehensive set of requirements. Participants walk through different operational use cases and patient-centered scenarios of IT utility and system capabilities to determine target requirements, and concrete plans of action.

The primary difference between the formal series of IT TOM workshops of DY1, and the PPS-led series of IT TOM workshops beginning in the second quarter of DY2, is that the PPS will take on the role of the workshop facilitator. Previously, the DSRIP Support Team facilitated certain PPS-facing workshops. Going forward, PPS leadership will facilitate the workshop, with an audience made up of its network participants and other stakeholders. Additionally, PPS may also invite representatives from other PPS for knowledge-sharing and collaboration during IT TOM workshops.

An IT TOM workshop series should (at a minimum) include the following:

- a. Identification of appropriate stakeholders from all necessary domains,
- b. Selection of one DSRIP project to focus on (or more than one, over the course of a workshop series),
- c. Identification of DSRIP project requirements, as well as any other applicable requirements (e.g. Patient Centered Medical Home) or other State and Federal requirements,
- d. Creation of patient-centric use cases and scenarios to address the current state and target operating model to meet the requirements of the DSRIP project,
- e. Selection of an IT TOM facilitator, as well as the Project Management Office resources to conduct and run the workshop series, and
- f. Access to the necessary process modeling tools to build target operating models (e.g. Aris, Excel, Visio, etc.).

Reporting on an IT TOM Workshop

PPS are required to report on their IT TOM activity to their paired MCOs, which must include evidence of participation. The following list contains key items PPS should include as a package of evidence for their IT TOM workshop facilitation. Note that this list is not exhaustive, and both PPS and MCOs are free to agree on other forms of evidence that may be submitted. It is advised that any additional forms of evidence agreed to by participants be stated in the EP contract and submitted to both the Department and the Independent Assessor.

- a. IT TOM Workshop presentations, inclusive of meeting minutes and the attendance register

- b. Current and Target State Operating Models
- c. Updated Capability Models
- d. Updated Context Models
- e. List of High-Level Use Cases
- f. List of Patient Use Case Scenarios
- g. Requirements Traceability Matrix (RTM)
- h. Finalized Business Requirements Definition (BRD) Report
- i. System Requirements Specifications (SRS) Report

An IT TOM workshop series for a single DSRIP project should be three months (a quarter of a program year) in length. To receive payment for a PPS-led IT TOM workshop series as an EIP activity, the workshop series' deliverables should be reported to the MCO. Of the evidence listed above, it is recommended that all information (items a–i listed above) be included in the IT TOM evidence package, but it is mandatory to submit at least the highlighted items, which make up the final deliverables of a complete IT TOM workshop series. The final deliverables of any IT TOM workshop series are the Requirements Traceability Matrix (RTM), the Business Requirements Definition (BRD) Report, and the Systems Requirements Specifications (SRS) Report. Templates for these deliverables can be found on the Digital Library.

Leveraging Past IT TOM Workshops

As listed in the above section, IT TOM workshops typically produce key deliverables as a result of the collaboration and development from each workshop. Therefore, these deliverables are a strong starting point when leveraging IT TOM workshops to move towards the PPS' target operating model for any of its DSRIP projects.

It is ultimately up to the PPS and MCO to determine what qualifies as a sufficient activity to warrant the award of EIP funds when leveraging past IT TOM workshops. The following list contains a series of steps that the Department recommends PPS follow. Note that this list is not exhaustive, and PPS and MCOs are free to agree on other forms of leveraging past IT TOM workshops. All agreed upon forms should adhere to the main principle of meaningful progress towards the PPS' target operating model related to at least one DSRIP project. In addition, agreed upon terms/evidence for EIP activities outside of DOH guidance should always be included in EP contracts.

Each item listed below follows a clear chronological progression moving from the completion of an IT TOM workshop series to the full implementation of the target operating state of technology for a given DSRIP project. The Department recommends that no more than two quarters of a year be spent on steps 1, 2, and 3. Step 4 should take no longer than three quarters. The final step (step 5) has no recommended time limit, as the time required to implement the target operating model will depend on the PPS' resources, the DSRIP project

chosen, and the complexity of the target state.

Like with all EIP Activities, a distinct piece of evidence must be submitted to the MCO in each reporting period to receive payment. For example, suppose a PPS was conducting step 1 (Performing Gap Analysis) and was reporting quarterly to its MCO. To receive EIP payment for this activity in the first quarter, it would need to provide the Current State Evaluation as evidence. In the second quarter, it would need to provide its reviewed RTM and its list of next steps. After two quarters, according to DOH guidance, step 1 would be complete and the PPS would need to move on to step 2 to continue to receive EIP payment for this activity.

1. Perform Gap Analysis

Quarter 1

- i. Current State Evaluation: Identify the current state of the business and system capabilities across the PPS in relation to the DSRIP project examined in the completed IT TOM workshop series.

Quarter 2

- ii. Review the RTM: Using the Requirements Matrix as a starting point, identify the gaps that exist between the current state and the requirements of the target operating model.
- iii. Determine next steps: create a chronological list of steps to take to move from the current state to the target operating model for each requirement, together with due dates and accountable personnel.

2. Develop an Implementation Roadmap

Quarter 1

- i. Opportunity Analysis: Using the Gap Analysis as a starting point, identify the level of difficulty, the requirements, and the time needed for each gap to be met.
- ii. Prioritization: based on the relative need, the resources required, and the capabilities of the current network, triage all gaps identified.

Quarter 2

- iii. Roadmap Development: Map out the steps identified in the Gap Analysis into a full implementation roadmap.
- iv. Plan Incorporation: incorporate the implementation roadmap developed into the PMO's overarching plan for the relevant DSRIP project.

3. Achieve Stakeholder Buy-in

Quarter 1

- i. Solicit Feedback: Distribute the results of the IT TOM workshop series amongst the PPS members, with a focus on the policy and capability requirements within the target operating model. Hold discussions and meetings to solicit feedback on the implementation roadmap.

Quarter 2

- ii. Achieve Stakeholder Buy-in: Produce a single report of the agreed upon policy and capability requirements, and secure stakeholder buy-in on the report. Include a comprehensive record of revisions to the report with references to stakeholder feedback.
- iii. Communicate Target State: Through a Town Hall or a similar formalized presentation format, communicate the target state to all relevant stakeholders. This should involve a series of presentations to ensure the target state is understood by the provider network and other stakeholders.

4. Drill Down to the Network Level

Quarter 1

- i. Provider Capability Analysis: Determine the current levels of business and system capabilities within key providers, with a focus on the gaps between their current state capabilities and the requirements of the target state.

Quarter 2

- ii. Variation Analysis: Evaluate the different systems and processes currently in place across provider groups, and the level of variation between them.

Quarter 3

- iii. Plan for Synthesis: Working with each provider group, develop a customized plan to move each group to the target state as described in the implementation plan, taking into account their current systems and their expected final level of integration with the target state.

5. IT TOM Implementation*

- i. Build: Using the models, requirements documents, and plans developed during and after the workshop series, invest in and take action towards moving business and system capabilities across the PPS towards the

target operating state. Use the RTM and implementation roadmap as checklists against progress.

- ii. Test: Turn models and use cases into testing scripts, to ensure new systems work within the current and future operating environment.
- iii. Go live: Implement the target operating state.

**The sub-steps within step 5 can be repeated without limit, but there must be evidence of distinct building and testing work submitted to the MCO in each reporting period to receive EIP payment for this activity.*

Conclusion

Throughout this document, the Department has provided EIP participants who wish to continue participating in IT TOM with the groundwork to do so in a structured manner. Like with all EIP activities, paired PPS and MCOs should work together to determine standards and expectations in relation to activity and evidence for IT TOM. Final standards and expectations for this activity should be stated in the EP contract.

To assist participants in pursuing the IT TOM activity, over 20+ templates can be found on the Digital Library under the IT TOM Master Toolkit folder. On the Digital Library, participants will also be able to find an instructional user guide and recorded presentation that walks through how to use these templates for their own IT TOM Workshops.”

Questions on the material included in this document should be submitted to dsrip_ssp@health.ny.gov with ‘IT TOM’ in the subject line. Additional inquiries on IT TOM in EIP are welcome during the Equity Programs Monthly Update Webinars, which typically take place on the fourth Wednesday of each month.