Colorado Hospital Transformation Program

Implementation Plan Review Criteria

September 9, 2021

CHASE

Colorado Healthcare Affordability and
Sustainability Enterprise

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I. Scoring Framework

Hospitals that have been accepted into the Hospital Transformation Program (HTP) must submit an Implementation Plan detailing the strategies and steps they intend to take in implementing each of the interventions outlined in their approved HTP applications.

Implementation Plans collect the hospital approach on the *Organizational Approach to Implementation* and the *Approach to Intervention Implementation*. The Approach to Intervention Implementation must be completed for each of the hospital's interventions. Except for questions that are prepopulated from the Hospital Application, responses will be scored on either a pass / fail or a numerical basis as outlined below.

Pass / fail scores will be based on the following:

- Fail: The response is incomplete because it does not address one or more parts of the question asked. More information must be provided for the answer to be considered complete.
- Pass: A complete response was provided to all applicable aspects of the question.

Implementation Plans must earn passing scores for every pass / fail response to be approved. Any question receiving a failing score during the review period will be returned to the participant with specific instructions for revisions prior to resubmission.

Numerical scores will be based on a one to three (1 - 3) scoring rubric.

- A score of one (1) will be given to answers that need substantial revision. Scores of one indicate that responses are either incomplete (do not address one or more part(s) of the question asked) or do not demonstrate a satisfactory approach. Examples of responses that would not demonstrate a satisfactory approach include:
  - ✓ A response to Question III.A.6. that does not include a plan for identifying and engaging the intervention's target population including addressing barriers to recruitment and resulting gaps in engagement.
  - ✓ A response to Question III.A.7. that does not describe the resources that will need to be re-purposed from other areas, built, acquired, or secured through a partner or in some way.

✓ A response that describes supporting documentation for an impact milestone that is insufficient to validate its completion.

- A score of two (2) represents a generally complete and satisfactory response to the question (criteria for scores of one outlined above do not apply) with only limited clarification or additional information needed to ensure responses are detailed enough to provide the Department with a complete and accurate understanding of the response. Any additional information or clarification needed will be specifically cited by the Department.
- A score of three (3) represents a complete, sufficiently detailed and acceptable response and approach to the topic addressed (criteria for scores of one and two outlined above do not apply).

Participants must earn scores of three (3) for every response included in their Implementation Plan for it to be approved. Any question receiving a one (1) or two (2) during the initial Implementation Plan review period will be returned to the hospital with specific instructions for revision prior to resubmission. The Department will provide technical assistance aimed at ensuring Implementation Plans receive approval.

The tables below summarize the questions in the Implementation Plan and the applicable scoring. Questions that will be prepopulated in the Implementation Plan submission tool from the Hospital Application will not be scored and are marked as "prepopulated" in the scoring column of the tables below.

Table 1: Organizational Approach to Implementation

Section	Component	Question	Scoring
Section II Implementation Overview	Points of Contact	II.A.1.a. II.A.1.b.	Pass / Fail
Section II	Role of Governance Structure	II.A.2.	Pass / Fail

Table 2: Approach to Intervention Implementation

Section	Component	Question	Scoring
Section III.A Overview of Intervention	Reporting Hospital	III.A.1.	Prepopulated
Section III.A	Name of Intervention	III.A.2.	Prepopulated

Section	Component	Question	Scoring
Section III.A	Primary Quality Measure(s)	III.A.3.	Prepopulated
Section III.A	Identification of Existing Interventions	III.A.4.	Pass / Fail
Section III.A	Principal Administrative Roles	III.A.5.	Pass / Fail
Section III.A	Target Population	III.A.6.	1 – 3
Section III.A	Major Functions and Resources	III.A.7.	1 – 3
Section III.A	Challenges and Risks	III.A.8.	1 – 3
Section III.A	Ongoing CHNE	III.A.9.	Pass / Fail
Section III.B Intervention Milestones	Milestones	III.B.1. III.B.2. III.B.3.	1 – 3

II. Review Criteria: Organizational Approach to Implementation

A. Implementation Overview

Question II.A.1.a. Please fill out the following information for the hospital's primary contact.

- Pass / Fail score
- Responses will be reviewed for completeness.
    - ✓ Does the response include all requested contact information for a primary point of contact for the Implementation Plan?

Questions II.A.1.b. Please fill out the following information for the hospital's secondary contact.

- Pass / Fail score
- Responses will be reviewed for completeness.
    - ✓ Does the response include all requested contact information for a secondary point of contact for the Implementation Plan?

Question II.A.2. Governance Structure - Describe how the governance structure outlined in response to Question 3 of the HTP Application will be engaged in the implementation and execution of the hospital's HTP participation. Address how leadership will ensure oversight and support, including sign off/approval for resources, and address their role in the following functional areas, as applicable. (Please seek to limit response to 1,000 words.)

- People (Workforce / Training)
- Processes of Care
- Technology and Data Systems
- Patient Engagement / Target Population

- Pass / Fail score
- Responses will be reviewed for completeness.
    - ✓ Does the response address how the HTP governance structure (as outlined in Question 3 of the Hospital Application) will be engaged in the implementation and execution of the hospital's HTP participation?
    - ✓ Does the response address how leadership will ensure oversight and support, including sign off / approval for resources?
    - ✓ Does the response specifically address leadership's role in each of the functional areas, as applicable?

III. Review Criteria: Approach to Intervention Implementation

A. Overview of Intervention

Question III.A.1. Reporting Hospital

- This response will be prepopulated from HTP application. A score is not applicable.

Question III.A.2. Name of Intervention

- This response will be prepopulated from HTP application. A score is not applicable.

Question III.A.3. Primary Measure(s)

- This response will be prepopulated from HTP application. A score is not applicable.

Question III.A.4. Is this an existing intervention (an intervention that the hospital previously planned and is currently implementing or executing)? (See definition in the HTP Milestones Requirements section of this document.)

- Pass / Fail score
- Responses will be reviewed for completeness and consistency with the HTP Application.
    - ✓ Did the response indicate if the intervention is "an existing intervention"?
    - ✓ Does response match the HTP application?

Question III.A.5. The below chart is for principal internal and external administrative roles for this intervention, versus leadership at the organizational level. If there are more than five individuals working on this intervention, please list the five individuals with the greatest leadership roles or most time dedicated to this intervention.

	Name of Individual	Intervention-Specific Role	Role will lead implementation of the intervention (Y/N)	Name of Organization	Key Deliverables / Responsibilities
Individual 1					
Individual 2					
Individual 3					
Individual 4					
Individual 5					

- Pass / Fail score

- If there are not five individuals with roles in the intervention's implementation, fewer than five individuals may be listed. A minimum of one individual must be listed to receive a passing score.

- Responses will be reviewed for completeness.

  - ✓ Does the response provide all requested elements of information about the principal internal and external partner administrative roles responsible for implementing this intervention, including name of the individual, intervention-specific role, whether the role will lead implementation of the intervention, name of organization, and key deliverables / responsibilities?

Question III.A.6.a. Briefly describe the intervention's target population for the intervention. This should align with the hospital's approved HTP Application. (Please respond in no more than two sentences.)

- Numerical score (1-3)
- An overall score will be assigned for Question III.A.6., which encompasses the responses to Question III.A.6.a. and Question III.A.6.b.
- Responses will be reviewed for completeness and approach.

  - ✓ Does the response include a brief description of the intervention's target population?
  - ✓ Does the target population align with the measure(s) selected?

Question III.A.6.b. Describe how individuals within the target population will be identified and engaged in the intervention. (Please seek to limit response to 500 words.)

- Numerical score (1-3)
- Responses will be reviewed for completeness and approach. (Part of overall score for Question III.A.6.)

  - ✓ Does the response demonstrate how individuals within this population will be identified?
  - ✓ Does the response describe how individuals within the target population will be engaged by involving them in their healthcare?
  - ✓ For engagement of the target population, consideration will be given to the type of intervention, and patient engagement may be active during care or through delivering information / education.

Question III.A.7.a. Describe what major functions and resources, supporting the initiative throughout the course of implementation are already in place, or are not in place and will need to be re-purposed from other areas, built, acquired, or secured through a partner or in some way.

Please address the following functional areas and resources, at a minimum, when responding[1]:

- People (Workforce / Training)
- Processes of Care
- Technology and Data Systems
- Patient Engagement / Target Population

- Numerical score (1-3)
- An overall score will be assigned for Question III.A.7.
- Responses to will be reviewed for completeness and approach.

    - ✓ Considered together, do the responses to Questions III.A.7.b. and III.A.7.c. address the major functions of the intervention?
    - ✓ Considered together, do the responses to Questions III.A.7.b. and III.A.7.c. address the major resources needed for the intervention?
    - ✓ Considered together, do the responses to Questions III.A.7.b. and III.A.7.c. address all the below functional areas (or explain why certain functional areas are not applicable)?

        - People (Workforce / Training)
        - Processes of Care
        - Technology and Data Systems
        - Functions for identifying and engaging patients / target population

Question III.A.7.b. Use the following space to describe the major functions and resources that are already in place. (Please seek to limit response to 1,000 words.)

- Responses will be reviewed for completeness and approach. (Part of overall score for Question III.A.7.)

    - ✓ Does the response describe major functions and resources that are already in place?
    - ✓ Does the response explain how those functions and resources will support the initiative throughout the course of implementation?
    - ✓ Does the response articulate how the functions and resources already in place correspond to the functional areas of the intervention?

Question III.A.7.c. Use the following space to describe the major functions and resources that are not in place and will need to be re-purposed from other areas, built, acquired, or secured through a partner or in some way. (Please seek to limit response to 1,000 words.)

- Responses will be reviewed for completeness and approach. (Part of overall score for Question III.A.7.)

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[1] See section IV. Milestone Requirements, for more detailed definitions of each functional area.

- ✓ Does the response describe major functions and resources that are not in place and will need to be re-purposed from other areas, built, acquired, or secured through a partner in some way?
- ✓ Does the response explain how those functions and resources will support the initiative throughout the course of implementation?
- ✓ Does the response indicate how the hospital will re-purpose, build, acquire or secure the functions and resources for the intervention that are not already in place?
- ✓ Does the response articulate how the functions and resources described correspond to the functional areas of the intervention?

Question III.A.8.a. Describe any major challenges and risks to intervention implementation and how the hospital will mitigate those challenges and risks. In the response, specifically address the following areas:

- Workforce;
- Budget;
- Health Information Technology;
- Regulatory Barriers; and
- Challenges related to engaging difficult-to-reach populations.

- Numerical score (1-3)
- An overall score will be assigned for Question III.A.8. that encompasses the responses provided to Questions III.A.8.b. and III.A.8.c.
- Responses to will be reviewed for completeness and approach.

    - ✓ Do the responses to Questions III.A.8.b. and III.A.8.c. specifically address challenges and risks the following areas? (It is not required that challenges / risks are identified in all areas.)
        - Workforce;
        - Budget;
        - Health Information Technology;
        - Regulatory Barriers; and
        - Challenges related to engaging difficult-to-reach populations.

Question III.A.8.b. Use the following space to describe any major challenges and risks to intervention implementation. (Please seek to limit response to 750 words.)

- Responses will be reviewed for completeness. (Part of overall score for Question III.A.8.)

    - ✓ Does the response describe major challenges and risks to intervention implementation in one or more of the areas listed?

Question III.A.8.c. Use the following space to describe how the hospital will mitigate the challenges and risks described above. (Please seek to limit response to 750 words.)

- Responses will be reviewed for completeness and approach. (Part of overall score for Question III.A.8.)

  - ✓ Given the challenges and risks that exist, does the response describe how the hospital will mitigate the impact on the success of the intervention?

Question III.A.9. Describe how this intervention will benefit from the hospital's ongoing Community and Health Neighborhood Engagement efforts. (Please seek to limit response to 500 words.)

- Pass / Fail score
- Responses will be reviewed for completeness.

  - ✓ Does the response describe how the hospital will use Community and Health Neighborhood Engagement (CHNE) as a learning opportunity and explain how the intervention will benefit from and be supported by the ongoing CHNE efforts?

B. Intervention Milestones

Hospitals must propose and record in the Implementation Plan submission tool one milestone in both Quarters 2 and 4 (Q2 and Q4) for each Program Year (PY) starting with PY2Q2 (Jan. – Mar. 2023). Milestones should be discrete tasks that, when completed, have an easily identifiable, quantifiable, and definable goal that has been reached or action that has been completed.

The Implementation Plan submission tool will guide hospitals through the process of establishing milestones as applicable for each intervention for the duration of the HTP. Important information on HTP requirements associated with intervention milestones can be found in the *HTP Implementation Plan Template and Milestone Requirements* located here. This includes specific milestone elements for certain measures.

Questions III.B.1., III.B.2., and III.B.3.

- An overall numeric score (1-3) will be assigned to each milestone proposed by the hospital, based on the responses to questions III.B.1., III.B.2., and III.B.3.
- Responses to Questions III.B.1., III.B.2., and III.B.3. will be provided for each milestone.
- Depending on the phase of the intervention, Question III.B.3. may contain up to three parts: III.B.3.a., III.B.3.b., III.B.3.c.
- Responses will be reviewed for completeness, approach, and adherence to applicable program requirements (as outlined in the *HTP Implementation Plan Template and Milestone Requirements* located here).

Question III.B.1. What phase does this milestone fall under?

☐ Planning and Implementation

☐ Continuous Improvement

- **Hospital Index**: The final Planning and Implementation milestone (impact milestone) must be completed PY2Q2 (January-March 2022). This means that the milestones must begin the Continuous Improvement phase with the PY2Q4 (July-September 2023) milestone.
- **Existing Interventions**: The final Planning and Implementation milestone (impact milestone) must be completed no later than the PY3Q2 (January-March 2023) milestone. This means that milestones must begin the Continuous Improvement phase no later than the PY3Q4 (July-September 2024) milestone.
- **New Interventions**: The final Planning and Implementation milestone (impact milestone) must be completed no later than the PY3Q4 (July-September 2024) milestone. This means that milestones must begin the Continuous Improvement phase no later than the PY4Q2 (January-March 2025) milestone.
- Responses will be reviewed for completeness and adherence to applicable program requirements.

    ✓ Was a response provided?
    ✓ Does the response reflect an acceptable phase given the following factors?
      ▪ The quarter of the program the milestone relates to
      ▪ Whether the intervention is new or existing
      ▪ The measure(s) that the intervention will address

Question III.B.2. Is this the impact milestone for this intervention?

The final milestone of the Planning and Intervention phase should be an impact milestone. If this is the impact milestone for this intervention, please keep in mind:

- The impact milestone should address all functional areas applicable to the intervention.
- The impact milestone functional area descriptions and supporting documentation should demonstrate that the intervention has been fully implemented.

☐ Yes
☐ No

- Responses will be reviewed for completeness and adherence to applicable program requirements.

    ✓ Was a response provided?
    ✓ Is this the final milestone for the "Planning and Implementation" phase of the intervention?
      ▪ If so, is the response "yes"?
      ▪ If not, is the response "no"?

Question III.B.3.a. Please indicate which Functional Area(s) applies to this milestone. Select all that apply.

☐ People

☐ Process

☐ Technology

☐ Patient Engagement/ Target Population

- Impact milestones must include all Functional Areas.
- The impact milestone can reference prior quarters for activities already completed and provide a narrative update rather than repeating the same information. In this case, the hospital should describe how the functional process has been operationalized and is being maintained.
- Responses will be reviewed for completeness and adherence to applicable program requirements.

  ✓ This question is applicable to "Planning and Implementation" phase milestones only, which requires the selection of a functional area(s).
  ✓ Was a response provided?
  ✓ If this is an impact milestone, were all functional areas selected?

Question III.B.3.b. This question is phrased one of two ways, depending on whether the milestone is in the "Planning and Implementation" or "Continuous Improvement" phase.

> **Planning and Implementation:** Please include a brief description of the applicable [*People*, *Process*, *Technology*, *Patent Engagement / Target Population*] Functional Area(s) for this milestone (no more than two sentences per functional area).

> **Continuous Improvement:** Please include a brief description of the milestone (no more than two sentences).

- Responses will be reviewed for completeness, approach, and adherence to applicable program requirements.

  ✓ Does the response contain a short description of the actions that will constitute completion of the milestone?
  ✓ Is the milestone sufficiently concrete that the hospital can identify whether the milestone was completed and provide documentation to verify completion?
  ✓ Does the milestone specified correspond to the "Planning and Implementation" or "Continuous Improvement" phase selected in Question III.B.1.?
  ✓ If a "Planning and Implementation" phase milestone, is the activity relevant to the functional area selected in Question III.B.3.a.?
  ✓ If an "Impact Milestone" was selected in Question III.B.2., does the milestone address all functional areas, and does the milestone demonstrate completion of the "Planning and Implementation" phase?

- ✓ If the hospital index measure was selected for the intervention, do the milestones align with the specifications set forth in the *HTP Implementation Plan Template and Milestone Requirements?*
- ✓ Does at least one continuous learning and improvement milestone address health equity? Hospitals should, at a minimum, analyze the intervention's impact disaggregated by race, ethnicity, gender, and other demographic variables related to populations that experience health disparities.

Question III.B.3.c. This question is phrased one of two ways, depending on whether the milestone is in the "Planning and Implementation" or "Continuous Improvement" phase.

Planning and Implementation: Please describe the supporting documentation which will be provided in support of the Functional Area for this milestone (no more than two sentences per functional area).

Continuous Improvement: Please describe the supporting documentation which will be provided in support of this milestone (no more than two sentences).

- Responses will be reviewed for completeness, approach, and adherence to applicable program requirements.
  - ✓ Does the response contain a short description of the supporting documentation that will be provided in support of the milestone's completion?
  - ✓ Does the response state explicitly and unambiguously what piece(s) of documentation will be provided? (Note: Statements that "evidence will be provided", or "documentation will be furnished" to support milestone completion are typically not concrete enough to meet this requirement.)
  - ✓ Is the documentation sufficient to verify or prove milestone completion?
  - ✓ If the milestone contains multiple elements, does the documentation allow verification of each element's completion?