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# Initial Project Plan

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## Health Information Exchange Project Evaluation

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**Business**

FLORIDA INTERNATIONAL UNIVERSITY

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## DOCUMENT REVISION HISTORY

| Document             | Version | Summary of Changes                             | Modified by          | Date      |
|----------------------|---------|--|----------------------|-----------|
| Initial Project Plan | 1.0     | Initial Version                                | Deckard and Tremblay | 7/11/2011 |
| Initial Project Plan | 2.0     | Updated after comments were received from AHCA | Deckard and Tremblay | 7/24/2011 |
| Initial Project Plan | 2.1     | Minor corrections requested by AHCA            | Deckard and Tremblay | 7/28/2011 |

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## Introduction

This document presents the Initial Project Plan for the process evaluation of the implementation of the state-wide health information exchange which aims to assist the Agency in monitoring and guiding the establishment of the Florida HIE. This evaluation will include both qualitative and quantitative data in order to 1) identify appropriate and feasible metrics and 2) to determine stakeholder perceptions of barriers, benefits and value. These data will allow the State to identify opportunities for improvement throughout the process, plan for sustainability and expansion, and institute a platform for ongoing data collection. As a longitudinal process, the evaluation will allow the Agency to continuously modify the strategic and operational plan and to address opportunities for improvement in order to realize an appropriate and secure Florida HIE. In addition, this information and the lessons learned can be shared as feedback to the ONC.

Planning is an iterative process, and multiple iterations of the planning process are necessary. This Initial Project Plan will be revisited and updated on an annual basis.

## Project Definition

The evaluation team will develop and recommend methods, techniques and tools that will track and maintain project information throughout implementation and which will allow the Agency to conduct ongoing self-evaluations of the Florida HIE afterwards.

Performance measures will be grouped into five domains related to HIE capacity and oversight as requested by ONC: governance, finance, technical infrastructure, business and technical operations, and legal policy. These measures will inform both the state and national program-level evaluation. In addition, stakeholder perceptions of and satisfaction with the Florida HIE will be monitored. Figure 1 presents the approach and work plan.

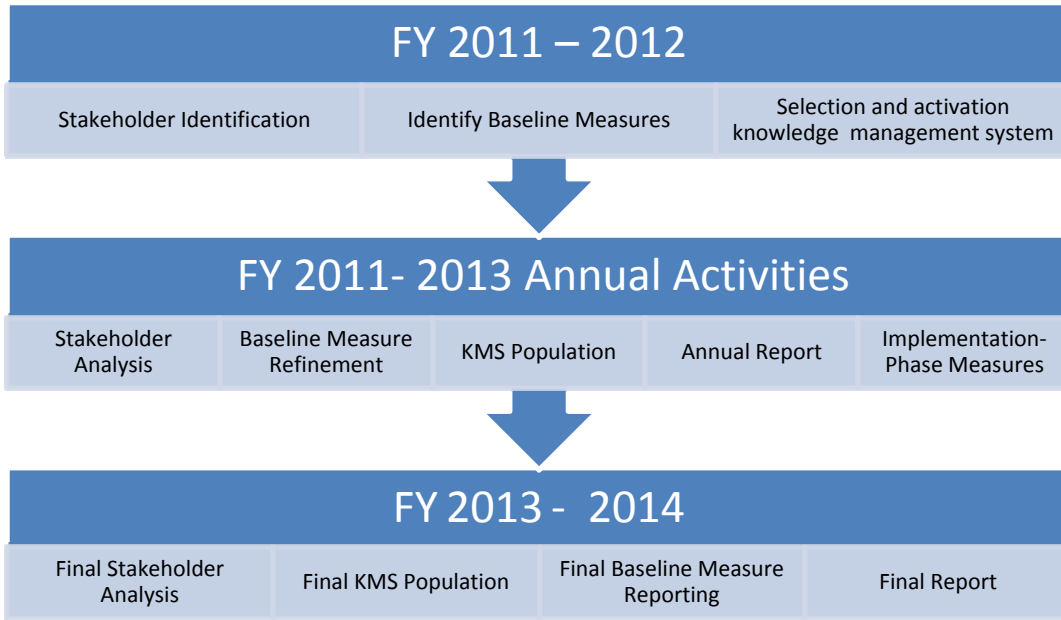


Figure 1: Approach and Work Plan

### Scope/Deliverables

Table 1 outlines the deliverables to the Agency and their due dates.

Table 1: Deliverables

| No. | Deliverable                     | Due Date  |
|-----|---------------------------------|---|
| 1   | Initial Project Plan            | Within thirty (30) calendar days from the effective date of the Contract. |
| 2   | Disaster Recovery Plan          | Within thirty (30) calendar days from the effective date of the Contract  |
| 3   | KMS Activation                  | Within six (6) months from the effective date of the Contract.            |
| 4   | Monthly Progress Status Reports | By the last day of the month following the end of the reporting period.   |

|    |  |                   |
|----|--|-------------------|
| 5  | Updated Project Plan   | June 30, 2012     |
| 6  | FY 2011-12 Annual Report                                     | July 31, 2012     |
| 7  | Updated Project Plan   | June 30, 2013     |
| 8  | FY 2012-13 Annual Report                                     | July 31, 2013     |
| 9  | Data Sharing Plan  | November 30, 2013 |
| 10 | Final Report   | January 31, 2014  |
| 11 | Submission of All Records and Data Generated by the Contract | February 28, 2014 |

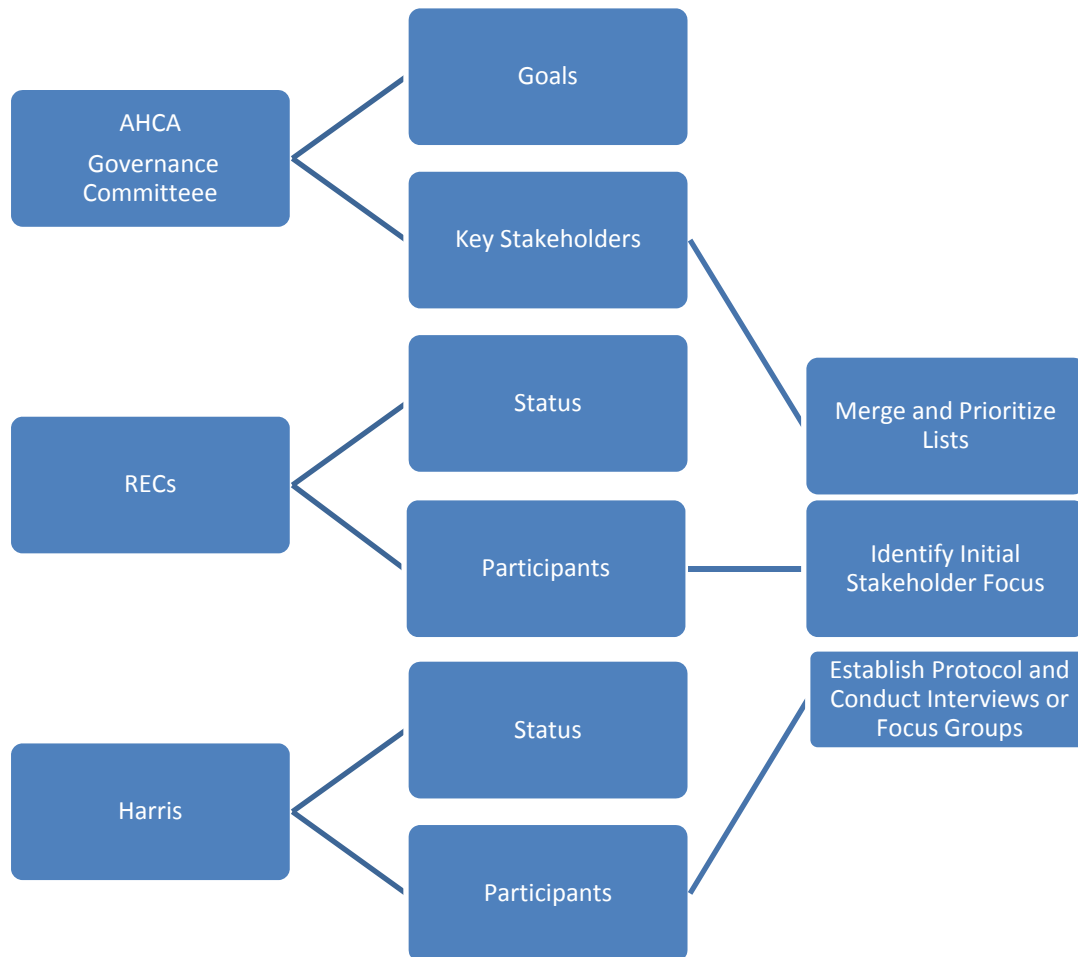
## Activities

### Stakeholder Interviews

To guarantee a high level of participation and the long term sustainability of the Florida HIE, it is imperative to solicit stakeholder involvement and to assure the development of an HIE that provides value and supports quality reporting. Evaluation efforts can also identify the willingness of stakeholders to participate in data exchange and under what terms. Comprehensive process evaluation must seek to involve both those stakeholders who participate and those who do not currently participate in the data exchange in order to provide a complete understanding of the issues related to promotion, adoption and exchange of information. Key stakeholders include hospitals, county health departments, federally-qualified health centers (FQHC), regional extension centers (REC), regional health information organizations (RHIO), state agencies, including the Florida Department of Health, professional organizations, health plans, HIT vendors, health care providers, pharmacies, clinical laboratories and consumers.

We will utilize a multi-stakeholder process which brings a number of different groups into constructive engagement, dialogue and decision making. The team will begin this process by interviewing key stakeholders including members of the HIECC, staff of Harris Corporation and staff of RECs in order to determine the current status of the project and to prioritize the stakeholder groups and feedback appropriate for this stage in the implementation process. For instance, interviews with “network of network” candidates may allow us to gather the initial baseline measures on satisfaction with selection, on-boarding and Florida HIE. Interviews with professional organizations, e.g. the Florida Medical and Hospital Associations, may lead to focus groups with providers that will clarify perceptions of benefits and barriers and identify value expectations. An iterative process will allow us to involve the appropriate key stakeholders at each stage of the process (see Figure 2).

Figure 2: Initial Stakeholder Interviews





The metrics included as evaluation measures will focus on the five domains identified by the ONC: governance, finance, technical infrastructure, business and technical operations, and legal policy. Identification of specific metrics will begin with a review of measures identified by the Agency in conjunction with the data collected by Harris Corporation. The initial metrics currently proposed by AHCA in the Florida HIE Performance Metrics for Consideration and the Direct Secure Messaging Outreach Plan include the following outlined in Tables 2 and 3.

**Table 2: Florida HIE- Direct Secure Messaging Potential Performance Metrics**

| Type of Metric              | Measure                                      |
|-----------------------------|--|
| Governance                  | Participants By Organization Type            |
|                             | Requests for Access                          |
| Network Reach               | Registrants by Area                          |
| Network Usage               | Number of Registrants                        |
|                             | Users monthly                                |
|                             | Transactions monthly                         |
|                             | Transactions by type of health care provider |
| Network Responsiveness      | Help Desk Requests                           |
| Financial Management of HIE | Contribution to HIE Sustainability           |
| Outcomes                    | User surveys of health care impact           |
|                             | Other TBD                                    |
| Consumer Engagement         | Consumer Inquiries                           |
|                             | Complaints                                   |

Table 3: Florida HIE- Patient Lookup Potential Performance Metrics

| Type of Metric              | Measure                                    |
|-----------------------------|--|
| Governance                  | Participants By Type of Network            |
| Network Reach               | Number of Registrants                      |
| Network Usage               | Transactions monthly                       |
|                             | Transactions by type of document exchanged |
|                             | Transactions by network                    |
| Network Responsiveness      | Help Desk Requests                         |
| Financial Management of HIE | Contribution to HIE Sustainability         |
| Outcomes                    | Hospital Readmissions                      |
|                             | ED Visits                                  |
| Consumer Engagement         | Permissions                                |
|                             | Complaints                                 |

As with the stakeholder interviews, the identification of metrics will be an iterative approach which allows us to determine metrics, grade metrics in order of importance to stakeholders and to assess the feasibility of existing and proposed metrics. Through the iterative process at recurring stages of implementation, the potential impact of the measures will also be assessed. Would the metrics truly measure impact at this stage of implementation? We will also assure that measures are consistent with and include the domains and requirements established by the ONC.

Exploration of metrics will also focus on current availability of data from stakeholders. As mentioned above, the first step will establish metrics which can be obtained from Harris and secondly, we will identify measures currently collected by the local HIEs or RHIOs that these organizations are willing to share. Then, we will seek likely participant groups that are already collecting data that might be useful as an evaluation metric if shared with the Agency. For instance, laboratory services, pharmacies, hospitals and other such groups generally collect a tremendous amount of data for multiple purposes to satisfy various federal and state

requirements, to conduct ongoing quality assurance evaluations, to measure patient and staff satisfaction, etc.

### Ranking of Metrics with Stakeholder Input

Once the listing of potential metrics has been established, the importance as well as the relevance, i.e., whether and how the Florida HIE or other initiatives in the State, e.g., RECs and the Medicare/Medicaid Incentive Program, might impact each metric will be reviewed. Representatives from the Agency, the HIECC and a sample of key informants from stakeholder groups will be asked to grade each metric in order of importance based on a Likert scale: 1 = Very Important, 2 = Moderately Important, 3 = Not Important. This rating will help us begin to filter out those metrics that will not provide information of importance to stakeholders. At the same time, but as a separate exercise, these individuals will be asked to rate the feasibility of the potential metrics based on a Likert scale: 1 = Feasible, 2 = Feasible with Moderate Effort, 3 = Not Feasible. (Feasibility determinants are described in the next section).

The team will populate the scores obtained from the exercises described above into the grid below:

|                  |                          | Feasibility Scale |                     |                  |
|------------------|--------------------------|-------------------|---------------------|------------------|
|                  |                          | 1 - Feasible      | 2 - Moderate Effort | 3 - Not Feasible |
| Importance Scale | 1- Very important        | (1)               | (2)                 | (3)              |
|                  | 2 - Moderately important | (2)               | (2)                 | (3)              |
|                  | 3 - Not important        | (2)               | (3)                 | (3)              |

Figure 3: Feasibility Grid

Those metrics that fall within the green (1) zone (Most important, Most Feasible) are ones to definitely undertake; the yellow (2) zones are ones that we may undertake in the order listed; those in the red (3) zones will be removed from the list.

### **Feasibility Determination of Chosen Metrics**

The final decision on metrics should include consideration of the availability of data, the labor-intensity in collection of the data and the expense of collecting the data. The exploration of metrics will also include contact with various groups to learn the reporting capabilities of their current software programs and their willingness to share this data. If we identify useful metrics that groups are willing to share, this will simplify data collection and minimize costs.

The proposed key data sources of initial interest include Harris and the local HIEs and RHIOs. Other potential data sources include the Department of Health's (DOH) Health Management System data which includes electronic lab results for patients treated by DOH county facilities, DOH immunization registry data, two networks of federally qualified health centers (FQHC), and medication history from Surescripts, which includes the Florida Medicaid prescription history. We will also incorporate the Agency's planned obtaining of electronic lab test results on Medicaid recipients from two national laboratories.

### **Review by Expert Panel**

Following the identification of the metrics, we will share the list of metrics with experts in the field to validate the importance and relevance of the metrics for HIE evaluation. These experts may also provide information on potential pitfalls or unanticipated issues with obtaining or utilizing each metric.

Figure 4 gives a broad overview of activities in metric identification.

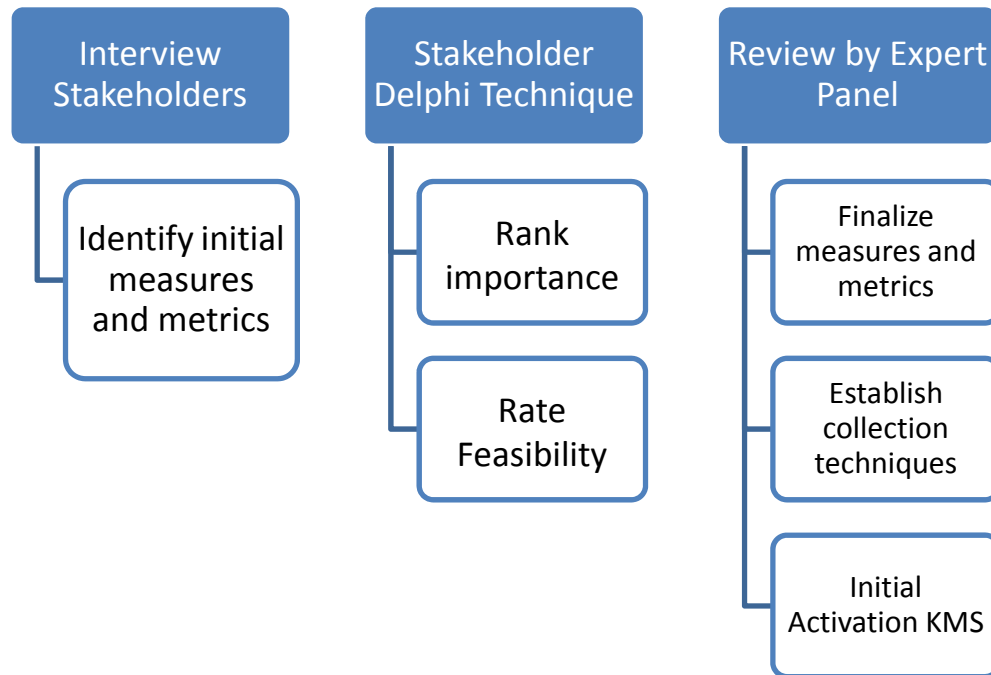


Figure 4: Overview of Activities in Metric Identification

### Data Assembly and Knowledge Management System (KMS) Construction

We will identify and select a knowledge management system where key measures will be stored for easy retrieval by the Agency. The initial task will be to identify the appropriate KMS technology. We plan to meet with key contacts at the Agency in order to identify technology that is compatible with what is available internally within the Agency to ensure that at project completion, the Agency will have the option to continue the use and update of the KMS.

Secondly, we will create the functional specifications for the web-deployed portal that will have secure and encrypted access for the Agency.

Thirdly, we will work with the Agency and the HIECC to identify the dashboards and the key performance indicators needed (we anticipate one dashboard for each five domains related to health information exchange capacity and oversight as requested by ONC: governance, finance, technical infrastructure, business and technical operations, and legal policy).

Finally we will design an indexing technique, so that baseline metrics will be easy to search and retrieve to fulfill for Agency’s reporting needs. Additionally, upon request the dashboards can be modified.

**Plan for Population of Each Metric**

As data is collected and stored we will decide on a refresh rate and calculation for each of the metrics (since it will not be feasible to update every metric on the same schedule). Additionally, we will also have to determine the unit for each metric (for example percentage or ratio, versus a count) by utilizing previous studies, subject area experts and data availability. Information on refresh rates and unit for each metric will be stored in a data dictionary, which will be available on the portal to the KMS.

**Preliminary Timeline**

We will utilize Microsoft Project and Basecamp to manage and document our progress and costs. The following figures show the initial timeline. Since we are in the planning stages, some of the activities do not have exact time estimates. We are in the process of specifying these estimates (as specified under section “Planning Tasks, Estimate Task Duration”).

**Work Breakdown Structure (WBS) / Precedence Relationship**

Below is a list of the activities that compose the proposed project. To the right of each task is the task number of any required predecessor.

| Task Number | Task Name                        | Predecessors |
|-------------|----------------------------------|--------------|
| 1           | Start Project                    |              |
| 2           | <b>Create Project Plan</b>       |              |
| 3           | Draft to AHCA                    |              |
| 4           | Review with Governance Committee | 3            |
| 5           | Additional Review                | 4            |
| 6           | Finalize Project Plan            | 5            |
| 7           | <b>Planning Tasks</b>            |              |
| 8           | Disaster Recovery Plan           |              |
| 9           | Estimate Task Duration           |              |

| Task Number | Task Name   | Predecessors |
|-------------|---|--------------|
| 10          | Interview for Graduate Assistants (GA)              |              |
| 11          | Assign Resources                                    |              |
| 12          | Determine Task Relationships                        |              |
| 13          | Review Gantt and PERT Information                   |              |
| 14          | Review Plan with Stakeholders                       | 9,11,12,13   |
| 15          | <b>Executing Tasks</b>                              |              |
| 16          | <b>KMS Set-Up Task</b>                              |              |
| 17          | <b>KMS Design</b>                                   |              |
| 18          | Platform Selection                                  |              |
| 19          | Technology Selection                                | 18           |
| 20          | Functional Specifications                           | 19,18        |
| 21          | KMS Activation                                      | 17           |
| 22          | <b>Initial Analysis Tasks</b>                       |              |
| 23          | Content Analysis of available documentation         |              |
| 24          | Identify key stakeholders                           | 23           |
| 25          | Identify baseline measures                          | 23           |
| 26          | Consider project impacts on potential metrics       | 25           |
| 27          | Rank metrics in order of importance to stakeholders | 26           |
| 28          | Determine feasibility of chosen metrics             | 27           |
| 29          | Draft plan to populate metrics                      | 28           |
| 30          | Assemble data                                       | 29           |
| 31          | KMS Design  | 30           |
| 32          | <b>Ongoing Task Analysis</b>                        |              |
| 33          | <b>Ongoing Task Analysis 2012</b>                   |              |
| 34          | Identify new stakeholders                           |              |
| 35          | Surveys, interviews and focus groups                |              |
| 36          | Identify additional baseline measures               | 35           |
| 37          | Consider project impacts on potential metrics       | 36           |
| 38          | Rank metrics in order of importance to stakeholders | 37           |
| 39          | Determine feasibility of chosen metrics             | 38           |
| 40          | Populate KMS  | 39           |
| 41          | <b>Ongoing Task Analysis 2013</b>                   |              |
| 42          | Identify new stakeholders                           |              |
| 43          | Surveys, interviews and focus groups                |              |
| 44          | Identify additional baseline measures               | 43           |
| 45          | Consider project impacts on potential metrics       | 44           |
| 46          | Rank metrics in order of importance to stakeholders | 45           |

| Task Number | Task Name                               | Predecessors |
|-------------|---|--------------|
| 47          | Determine feasibility of chosen metrics | 46           |
| 48          | Populate KMS                            | 47           |
| 49          | <b>Controlling Tasks</b>                |              |
| 50          | <b>Update Project Plan</b>              |              |
| 51          | Update Project Plan 2012                |              |
| 52          | Update Project Plan 2013                |              |
| 53          | <b>Monthly Report</b>                   |              |
| 54          | Monthly Report 1                        |              |
| 55          | Monthly Report 2                        |              |
| 56          | Monthly Report 3                        |              |
| 57          | Monthly Report 4                        |              |
| 58          | Monthly Report 5                        |              |
| 59          | Monthly Report 6                        |              |
| 60          | Monthly Report 7                        |              |
| 61          | Monthly Report 8                        |              |
| 62          | Monthly Report 9                        |              |
| 63          | Monthly Report 10                       |              |
| 64          | Monthly Report 11                       |              |
| 65          | Monthly Report 12                       |              |
| 66          | Monthly Report 13                       |              |
| 67          | Monthly Report 14                       |              |
| 68          | Monthly Report 15                       |              |
| 69          | Monthly Report 16                       |              |
| 70          | Monthly Report 17                       |              |
| 71          | Monthly Report 18                       |              |
| 72          | Monthly Report 19                       |              |
| 73          | Monthly Report 20                       |              |
| 74          | Monthly Report 21                       |              |
| 75          | Monthly Report 22                       |              |
| 76          | Monthly Report 23                       |              |
| 77          | Monthly Report 24                       |              |
| 78          | Monthly Report 25                       |              |
| 79          | Monthly Report 26                       |              |
| 80          | Monthly Report 27                       |              |
| 81          | Monthly Report 28                       |              |
| 82          | Monthly Report 29                       |              |
| 83          | <b>Annual Report</b>                    |              |

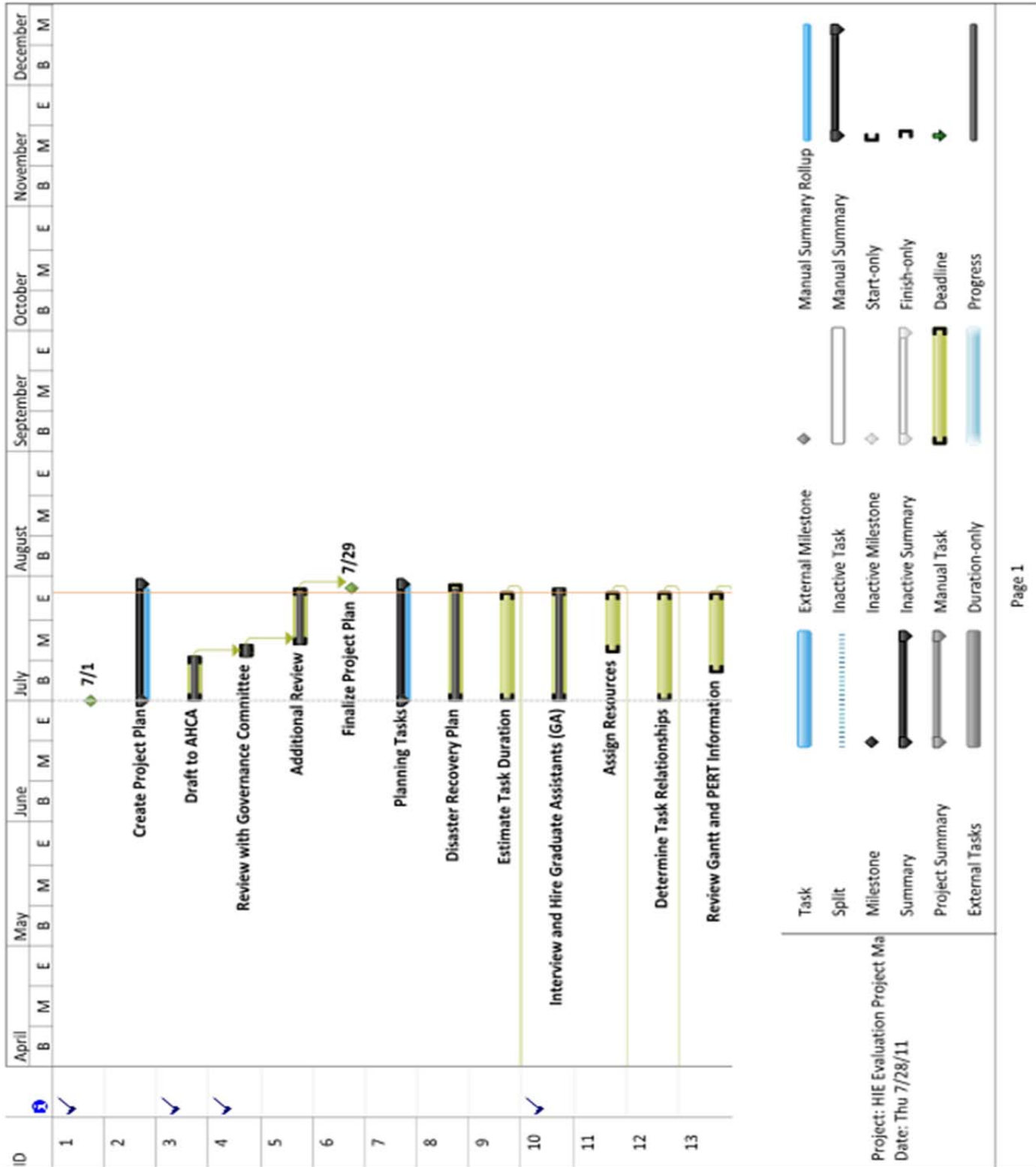


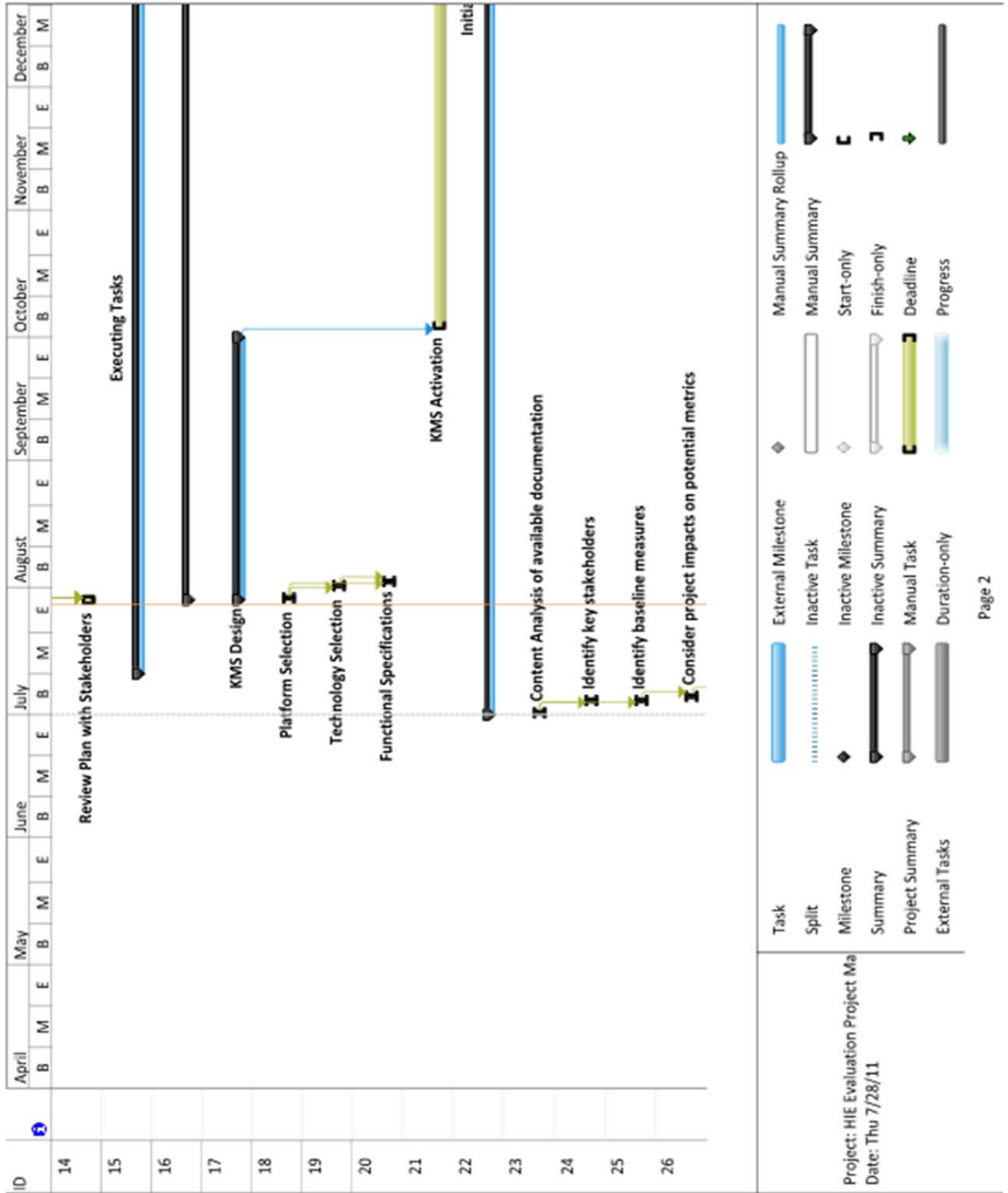
| Task Number | Task Name  | Predecessors |
|-------------|--|--------------|
| 84          | Annual Report 2012                                       |              |
| 85          | Annual Report 2013                                       |              |
| 86          | <b>Closing Tasks</b>                                     |              |
| 87          | Data Sharing Plan  |              |
| 88          | Final Report   |              |
| 89          | Submission of all records and data generated by contract | 87,88        |
| 90          | End Project  |              |

Table 4: Work Breakdown Structure

### Gantt Chart (Partial)

\*\*check marks on the far left of the graph identifies task that are complete





| ID | April |   |   | May |   |   | June |   |   | July |   |   | August |   |   | September |   |   | October |   |   | November |   |   | December |   |   |   |   |   |  |  |  |
|----|-------|---|---|-----|---|---|------|---|---|------|---|---|--------|---|---|-----------|---|---|---------|---|---|----------|---|---|----------|---|---|---|---|---|--|--|--|
|    | B     | M | T | W   | T | F | S    | S | S | M    | T | W | Th     | F | S | S         | S | S | M       | T | W | Th       | F | S | S        | S | S | M | T | W |  |  |  |
| 27 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 28 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 29 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 30 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 31 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 32 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 33 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 34 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 35 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 36 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 37 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 38 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |
| 39 |       |   |   |     |   |   |      |   |   |      |   |   |        |   |   |           |   |   |         |   |   |          |   |   |          |   |   |   |   |   |  |  |  |

Rank metrics in order of importance to stakeholders

Determine feasibility of chosen metrics

Draft plan to populate metrics

Assemble data

Project: HIE Evaluation Project Ma  
Date: Thu 7/28/11

|                 |  |                    |  |                       |  |
|-----------------|--|--------------------|--|-----------------------|--|
| Task            |  | External Milestone |  | Manual Summary Rollup |  |
| Split           |  | Inactive Task      |  | Manual Summary        |  |
| Milestone       |  | Inactive Milestone |  | Start-only            |  |
| Summary         |  | Inactive Summary   |  | Finish-only           |  |
| Project Summary |  | Manual Task        |  | Deadline              |  |
| External Tasks  |  | Duration-only      |  | Progress              |  |

### PERT Chart (Partial)

*\*\*crossed-out boxes identifies task that are complete*

