



## NM Health Policy Commission SFY10 INFORMATION TECHNOLOGY PLAN

### IT Plan Acknowledgement Signatures

I agree that this document represents the history and planned information-technology-related activities for our agency. The elements of this plan, delivered through information technology services, support the agency strategic plan and the State IT Strategic Plan.

**Agency Name:** NM Health Policy Commission    **Agency Code:** 669

**Agency Head:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Name

Agency Director

Title

**Agency Technology Lead:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Name

IT Lead Manager

Title

**Agency Financial Lead:** \_\_\_\_\_ **Date:** \_\_\_\_\_

Name

CFO/HR Manager

Title

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## **I. EXECUTIVE SUMMARY**

The Health Policy Commission's (HPC's) SFY10 Information Technology plan was developed primarily with the goal of maintaining stability and continuing improvements in IT operations and management.

The Agency Director, Liz Stefanics, established that the HPC internalize as much IT functionality as possible while working closely with the Department of Information Technology. Making progress toward accomplishing this goal represents cost savings on IT expenditures for the HPC and the State of New Mexico and contributes to Governor Richardson's objective of reducing the cost of government operations through IT.

In SFY08 the HPC-IT made significant progress in the areas of maintaining stability and internalizing functions. Server and network resources were stabilized. A new industry standard backup solution was installed. HPC-IT ended reliance on expensive outside contractors. HPC-IT put a quality checking process in place for all data analyzed and presented by the HPC.

Additionally, the HPC made significant progress in the area of continuing improvements in IT in SFY08. Last years goals of leveraging existing database software capabilities and standardizing on a platform that best meets the database system requirements were accomplished. The HPC "Data Universe" is now contained in the SQL Server 2005 environment. The HPC also completed its goal to update and improve its website so that it can more effectively disseminate health policy information to its customers and stakeholders at large. New Mexico State Department of Information Technology (DoIT) now houses the HPC website. HPC-IT continued to develop many professional relationships with other State of New Mexico agencies, Federal agencies, and community agencies.

In SFY10 the HPC intends to distribute the health information it collects more broadly in state and federal arenas. The HPC will work in SFY09 to make statutory changes that will allow for more data transparency while still maintaining strict standards of confidentiality and privacy. The SFY10 IT Plan prepares for this increased ability for information dissemination.

For SFY10 the HPC-IT needs to have the infrastructure and personnel in place to take on a larger role in health data collection, analysis, and dissemination. The role the HPC will play depends on what will happen regarding a centralized Health Authority in legislative sessions.

## **BASE BUDGET PROJECTS**

HPC-IT is responsible for collecting, storing, organizing, safeguarding, analyzing, and disseminating (managing) the health information data that the HPC uses to provide its health research, guidance, and recommendation services. HPC-IT will continue to support this function in a way that maintains confidentiality, integrity, and availability.

In following the DoIT strategies, HPC-IT will strive to help reduce the cost of government through the use of IT, reduce the cost of IT through the use of an enterprise model, enhance the delivery of service to constituents, and support economic development. HPC-IT will maintain a strategy to provide best practices in securing confidential information, providing data integrity,

and standardizing reporting practices. This will allow HPC to have greater data availability and provide data more efficiently. The following reflect some of the more significant base projects that the HPC-IT resources will be allocated:

## **1. Projects requiring Software and Licensing Costs:**

### **a. Data Encryption and Security Project**

HPC-IT houses sensitive and confidential information at a non-aggregate level. The SQL Server database is currently equipped with encryption algorithms for securing the data within the database. However, HPC also disseminates aggregate level data to its customers. As such, HPC-IT realizes a responsibility in securing access to that information by use of best practices and mandated statutes. While HPC-IT will continue to follow the NM DoIT Architectural Configuration requirements, using S-STD-001-002 for symmetric and asymmetric cryptography, implementing the latest standards (i.e. the Federal Information Processing Standards (FIPS 140-2)), will ensure the proper security at the highest level for both data stored within the database and external data to be released. HPC-IT will use a commercial off-the-shelf (COTS) encryption software product to secure files and folders on the server and to encrypt outgoing files to customers. PGP is a widely used COTS product that insures up-to-date standards in encryption for both internal and external data files without requiring external agencies to install third-party software on their end to decrypt the data. The PGP product is licensed per server at \$199.00 for network security and per client machine at \$149.00 for file transfer security. The total cost is \$2,633.00.

### **b. Management Technology Implementation Project**

The HPC-IT will work to improve project management and intra-agency collaboration through use of project management software. Project management and control is essential to the HPC due to many deadlines for publication of materials throughout the year. In providing software and training to management teams, the HPC-IT hopes to be better equipped to meet deadlines, build a stronger communications plan between teams, and provide better estimation and control for future projects. HPC-IT currently has seven licenses for Microsoft Project 2007 Professional edition. It is the intention of HPC-IT to obtain five more licenses to complete and maintain a project enterprise portfolio. This will allow HPC to centralize and combine project information so that all project related personnel are aware of what HPC is currently working on. Training will be provided (see section 6-e for training plan and costs). Licensing fees are on a per user basis. The cost is \$519 per license for a total cost of \$2,595.00.

### **c. Integration and Enterprise Projects**

#### **i. SharePoint**

HPC-IT will evaluate and conduct more enterprise projects by integrating HPC applications and reports, which can be used for internal business processes, to our database. One example is to integrate Microsoft Office applications to the SQL Server database. This will create a repository to store project information and documentation in a relational manner. All

project information will be accessible to HPC management for status updates and reporting throughout HPC from a centralized area. All project related documentation is also centrally stored in the database to allow easy access and reduce redundancy by creating a version control system for HPC documentation. This will provide better teamwork and communication throughout the different disciplines within HPC. The SQL Server add-on requirement for this is SharePoint Server. This product is licensed on a server basis at \$2,864.00 and client basis at \$108.00 for a total cost of \$3,296.00.

**ii. ArcGIS**

The second major effort in this category is to utilize an upgraded version of our currently licensed ArcGIS product (geographic information system (GIS) for mapping) to create healthcare related geographical informational maps requested frequently by customers. The latest version of the ArcGIS suite software will allow for more sophisticated maps and documentation. It will also allow role-based security for access to and filtering of map details. The maps and data files associated with this will also be stored in the SQL Server database. HPC will be able to offer a wide range of mapping services to customers. It is also the intention of HPC to use this product to advertise its services and build stronger relations with entities throughout New Mexico who are in need of mapping services. The ArcGIS product is licensed per user for a total cost of \$4,500.00 (see section 2-a "Geographic Access Data System (GADS)" for a description of the project and hardware costs).

**iii. Visual Studio**

The third major project in this category is to create and maintain an HPC intranet suite of web based applications. HPC currently has multiple uses for data entry and a need to build centralized applications for internal data entry use. This will provide an enterprise approach to internal data gathering and reporting requirements. HPC-IT currently has skilled staff to create web-based applications using the SQL Server as a back end database. HPC-IT will use three Microsoft's Visual Studio 2008 licenses to develop applications. Visual Studio is licensed at \$347 per workstation for a total cost of \$1,041.00 for three workstations.

**d. Business Process Documentation Project**

HPC-IT will conduct a project to document all business cases/processes using Unified Modeling Language (UML) theory and Microsoft Visio 2007 professional software. HPC-IT recognizes that a thorough business process documentation policy increases understanding and reduces the amount of effort in the IT requirements gathering phase of projects. This project is needed to document and standardize HPC business, as well as, IT processes. This will allow HPC-IT to synchronize its processes with the HPC's business processes and provide more efficient support services for the agency. These documents will also be maintained centrally within the SQL Server database, using the SharePoint software as described above. The HPC-IT will require seven licenses. The cost to

obtain and license Microsoft Visio 2007 is \$320.00 per license for a total of \$2240.00.

## **2. Projects requiring Hardware Costs:**

Over time business processes, statutes, rules and technology change. In the past this resulted in multiple systems where data is stored on a variety of platforms. While HPC-IT has completed major efforts to consolidate data in the SQL Server database, there are still a few systems that will need to be converted. HPC-IT is committed to analyzing and migrating existing data collection systems into a secured SQL Server database environment reducing data redundancy and increasing security. HPC-IT is also committed to produce an enterprise environment for internal applications. HPC-IT estimates 75% increase in data storage needs for its network (shared) server by the end of SFY10. It currently has 169GB shared data file capacity, of which 137GB is being used, leaving 32GB free. A total of 240GB hard disk space will be needed by the end of SFY10.

HPC-IT also estimates a need for increased storage on its database server. The server currently uses 70GB of the 240GB capacity, leaving 170GB free. However, FY08 is the first year that data is being stored in the database. As new projects require storage of data into the database, in addition to existing usage increases, it is estimated that the need for storage will increase four times by the end of SFY10, creating a need for an additional 280GB of hard disk space will be needed by the end of SFY10

The HPC-IT has two Hewlet Packard ProLiant DL380 Raid Servers containing six hard drives per server. These servers do not currently have any additional slots to add hard drives. Therefore, the hard drives will be replaced with 12 larger drives at a cost of \$450 per drive for a total of \$5,400.00.

The major projects that will need the extra hardware are as follows:

### **a. Geographic Access Data System (GADS)**

A major effort will be undertaken to raise the standard for data collection and validation (quality), and to increase the amount of data that is collected for use in the GADS report. The HPC GADS system will be re-designed so that maps can be created ad-hoc and more efficiently. The data will be normalized within the SQL Server relational database and stored on the server. This will provide a more secure, standardized storage of GADS data that is used in providing a health professional workforce development plan in New Mexico. This will also provide a repository for pre-defined maps, which will reduce the efforts in re-creation. HPC-IT estimates that GADS data will require 100GB of hard disk space.

### **b. Hospital Inpatient Discharge Data (HIDD)**

Data collection and reporting standards are being created that will allow New Mexico HPC HIDD and Quick Facts reports to be compared with national hospitalization discharge data. HPC-IT will work on new formatting requirements, adding data fields, collaborating with DOH, and to produce data in a way so that the annual HIDD report becomes more informative and can be compared to national data. A rule change for SFY09 will require a substantial

number of data fields to be added to the files submitted. The 2007 HIDD data currently requires 70GB of hard disk space. It is estimated that an additional 200GB of data will be needed by the end of SFY10.

**c. Healthcare Effectiveness Data and Information Set (HEDIS)**

HPC-IT collects health plan information related to health care measures and consumer satisfaction for the annual *New Mexico Consumer Guide to Managed Care* publication and various other reports that help to make up the HPC Quick Facts publication. The data is collected in spreadsheet format for each of the major Managed Care Organizations and stored on CD. HPC-IT will undergo a data conversion project to import the data into the SQL Server database. It is estimated that the data will need 100MB of hard disk storage by the end of SFY10.

**d. County Financing of Health Care (CIF)**

HPC-IT collects data from New Mexico county offices, annually, related to county health financing expenditures. The data is collected via a survey and stored on CD in Excel spreadsheet format. HPC-IT will undergo a data conversion project to import the data into the SQL Server database. It is estimated that the data will need 200MB of hard disk storage by the end of SFY10.

**e. Consumer Assessment of Healthcare Providers and Systems (CAHPS)**

HPC-IT will work with the health plans to store data and report on data from surveys conducted by the health plans concerning patient's health plan experiences. It is estimated that the data will need 100GB of hard disk storage by the end of SFY10.

**f. Other major data sets collected**

HPC-IT also collects, and reports in the Quick Facts publication, the Physician's Survey, reporting on physician occupational data, and New Mexico Telehealth data reporting on extended health care coverage in rural areas of New Mexico. These data sets, in addition to internal spreadsheets and small databases used in tracking information requests will be migrated into the SQL Server. It is estimated that an additional 50GB of hard disk space on the server will be required by the end of FY10 for these various data sources.

HPC-IT will also build internal web based data entry applications for use in various capacities (see section 1.c.iii above for a description of intranet web based applications project). It is estimated that an additional 50GB of hard disk storage will be needed by the end of SFY10.

**3. Projects requiring Travel Expenditures:**

**a. Healthcare Cost and Utilization Project (HCUP)**

HPC-IT fully supports the HPC's effort in participating within thirty-seven other states that are within the Hospital Cost and Utilization (HCUP) project. HPC-IT will aid HPC by providing research, collaboration and support to allow for the

comparison between states utilizing the HCUP database and the HPC HIDD data. Travel allowance is requested to attend three HCUP seminars throughout the year. Based on the 2008 event calendar for HCUP exhibits, workshops, and presentations, there are at least three presentations a year relating the HCUP database and data collection methodologies. An estimate (for two people attending three events totaling 9 days) of \$3,992.00 will be needed to include flight, car, and per diem for meals and lodging.

#### **4. Projects requiring Annual Subscription of Services:**

##### **a. Surveys**

The current surveys that are sent out to multiple entities are continually being evaluated to raise the standards and ease the burden on the responder, while gathering the best quality of data available. HPC-IT will continue to research new media for dissemination and data collection of surveys. HPC currently subscribes to Survey Monkey for services related to the dissemination and collection of surveys. The annual cost for Survey Monkey is \$300 per year. However, HPC-IT will research the feasibility of using Microsoft's SharePoint to create, disseminate, and manage surveys in-house. See above section 1-b "Integration and Enterprise projects" for costs related to SharePoint.

##### **b. DoIT Web Site Hosting**

The HPC Web Site is currently hosted by DoIT. The HPC-IT intends to upgrade the web site, adding more web-based applications and providing more information. While HPC-IT intends to maintain the contents of the web site there is an annual service fee charged. A rate adjustment has been approved for midyear SFY09-10. The new rate will be \$291.83, which will amount to an anticipated total of \$3,501.96.

##### **c. DoIT Email – Mailbox Fees**

The HPC-IT currently subscribes to 16 mailboxes with DoIT. The anticipated rate for SFY10 is \$13.62 per mailbox account. This will total to \$217.92 for the year.

#### **5. Projects requiring Training and Educational Costs:**

Efforts to provide various training resources to IT staff will be conducted. HPC-IT currently has staff taking advantage of an online course study. This training includes multiple topics, which include study guides for certification. This will help staff to remain highly effective and knowledgeable about current technology.

##### **a. Continued Online Training**

A renewal of our current online training will be purchased to have the IT staff train on SQL Server Reports and Forms and Cisco systems networking and TCP/IP. The subscription is \$800 per person per year for a total of \$2,400.00 for three people.

##### **b. SQL Server and SharePoint Training.**

Database administrators will attend an instructor led training course at New Horizons in Albuquerque for administration of Microsoft SharePoint client designer, services, and server. The cost for this 5 day training is \$1395.00 per person for a total of \$4,581.00 (includes 6.75% gross receipts tax and 32 cents per mile travel for Albuquerque) for two people.

**c. SQL Server Reporting and Forms Training.**

As HPC reporting needs continue and grow, there will be a need to have standard reports reproduced over time. HPC-IT will move toward a more enterprise environment by providing reporting services. Reports that can be requested at the end user level reduce the time and resources needed to reproduce standard reports from scratch. Standard reports can, easily, be published on the HPC web site with the use of the enterprise software SharePoint (see section 1-c “Integration and Enterprise Projects” for costs related to SharePoint). HPC’s state pricing vendor for training, New Horizons, will provide SQL Server Report Services and Web Forms development training at a price of \$207.00 per day per person. A two day course for three people totals \$1,956.00 (includes 6.75% gross receipts tax and 32 cents per mile travel for Albuquerque).

**d. Unified Modeling Language (UML) and Microsoft Visio.**

Instructor led training will be provided by New Horizons at the HPC location for two days of training in UML diagramming and the use of the Microsoft Visio tool. This training is essential to document and standardize IT processes to meet the needs of the business processes for HPC. The cost for three people is \$414 per person per day for a total of \$2,652.00 (includes 6.75% gross receipts tax).

**e. Microsoft Project Training.**

Three managers from HPC will attend a two-day Microsoft Project application instructor led session in Albuquerque offered by New Horizons. The cost is \$165 per person per day for a total of \$2,879.00 (includes 6.75% gross receipts tax and 32 cents per mile travel for Albuquerque).

**6. Projects requiring no additional costs:**

**a. State Health Expenditure Account (SHEA)**

The HPC will conduct research into the development of a data collection system for the State Health Expenditure Account (SHEA) to help track how much is being spent on health care in New Mexico. HPC-IT will support the HPC in providing solutions to collect and store the data in a database repository. A budget has not been set up for this to date as this has only been defined as a research effort.

**b. Collocation of network servers with DoIT**

The HPC-IT will continue to collaborate with DoIT to research the possibility of moving its hardware infrastructure to DoIT. This would include two Windows servers. Preliminary discussions with DoIT had indicated that, due to the sensitive nature of the HPC data and statutory limitations (Health Information

System Act (24-14A-3), it would not be feasible at this time. Further investigation on the matter will take place.

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## II. AGENCY OVERVIEW

### A. Agency's Mission Statement

The Health Policy Commission (HPC) is a state agency that provides independent research, guidance and recommendations on health policy issues that impact the health status of New Mexicans.

#### **HPC-IT Mission**

The HPC Information Technology (HPC-IT) unit is responsible to collect, store, organize, analyze, and disseminate (manage) the health information data that the HPC uses to provide its health research, guidance, and recommendation services.

#### **HPC-IT Motto**

SUPPORTING THE DEVELOPMENT OF HEALTH POLICY FOR NEW MEXICO

#### **HPC-IT Philosophy**

HPC-IT is committed to serving the public's health care policy maker's needs. HPC-IT will maintain public and government agency trust through best practices, maintaining a dedicated staff, and adhering to the highest standards of performance. HPC-IT strives to manage the healthcare data in a way that maintains confidentiality, integrity, availability, accountability, and assurance.

### B. Statement of Agency's Goals

The Health Policy Commission (HPC) will help New Mexican's improve their health status by being the State's trusted advisor on health policy issues. The Commission will:

- **Goal I:** Be valued by peers, colleagues and consumers for it's independence and expertise;
- **Goal II:** Provide leadership in identifying and researching critical health and health care delivery issues;

- **Goal III:** Provide policy research and recommendations to the legislative and executive branches of state government; and effective healthcare system through the application of information technology;
- **Goal IV:** Maintain a work environment that encourages individual growth and teamwork.

### C. Agency Description

The HPC was established by state statute (9-7-11.2) in 1991 to provide a forum for the discussion of complex and controversial health policy issues. The HPC is an independent state agency, administratively attached to the Department of Finance and Administration. The HPC is responsible for providing technical assistance and forming recommendations for both the Executive and Legislative branches of state government based on an objective analysis of data and information, public and professional input and staff research.

In accordance with New Mexico statute, the Commission guides the HPC’s activities to meet agency vision and mission statements. Appointments are made by the Governor with the advice and consent of the Senate, and reflect the ethnic, economic, geographic and professional diversity of the state. Commissioners serve a staggered three-year term and may be reappointed at the end of their terms. Regular meetings are held in which a neutral forum is provided for the discussion of health care issues and policy. Table 1 lists the current Commissioners:

Frank Hesse M.D., Chairman	Seferino Montano, Vice Chairman
Miles Nelson, M.D.	Dawn Brooks MSN, MBA-HC.
Moises Morales	Alicia Roman
Kim Maxwell	Karen Kotch P.A.
Eric Kraska M.D.	

Table 1: Commissioners

The HPC employs fifteen (15) full time equivalents. The HPC’s non-exempt/classified employees include four (4) Management Analysts, three (3) IT Database Administrators, one (1) Economist, one (1) Staff Manager, one (1) Financial Specialist, one (1) IT Lead Manager, and one (1) Line Resources Manager. There are no current vacant positions. All employees participate in partnerships, forums, committees, workshops and task forces relevant to their positions.

Figure 1 is the HPC Organization Chart. There are three (3) exempt employees. The exempts are the Director, Deputy Director and Special Assistant for Projects. The Director and Deputy Director work directly for the Commission and are responsible for the operations of the agency including the budget and direction of the HPC staff to accomplish their job responsibilities. They also communicate with members of the Executive and Legislative branch as well as other public and private entities to gather and share information, and to develop strategies to address critical health care issues that impact New Mexicans. The Special Assistant coordinates Legislative activities and assists the Director as well as the nine-member Commission with various projects. All

HPC services and functions are provided from its Santa Fe office located at 2055 South Pacheco, Suite 200.

# NM Health Policy Commission

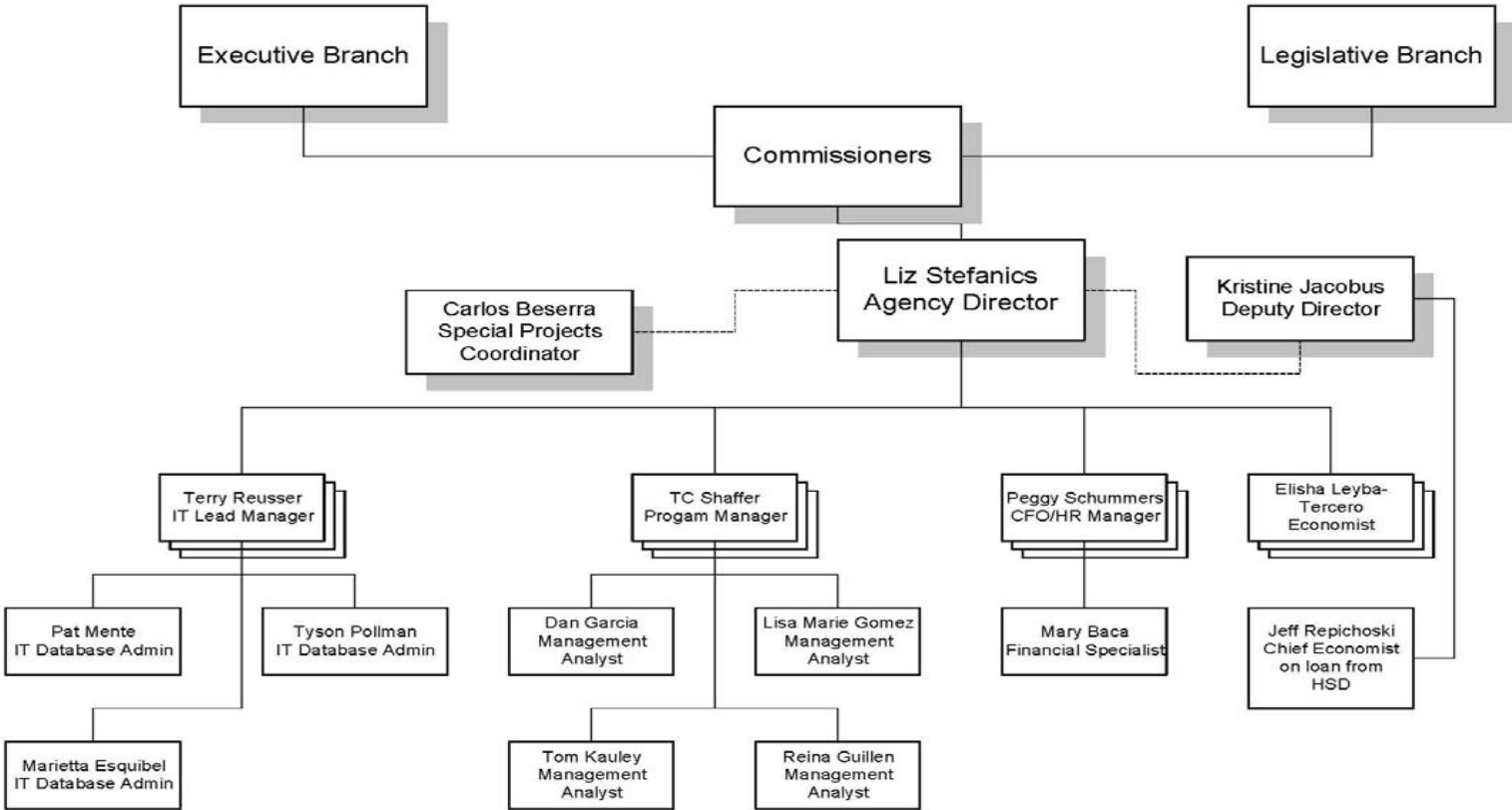


Figure 1. NM Health Policy Commission Organization Chart

### **III. DESCRIPTION OF IT PLAN IMPLEMENTATION FOR THE PRIOR FISCAL YEAR (SFY08)**

#### ***A. IT Plan implementation***

The HPC Information Technology (HPC-IT) unit is responsible to collect, store, organize, analyze, and disseminate (manage) the health information data that the HPC uses to provide its health research, guidance, and recommendation services. HPC-IT strives to manage the health and all data in a way that maintains confidentiality, integrity, and availability, accountability, and assurance.

The HPC made the following progress on its goals of stabilization and improvement in operations:

- Staffed an IT Lead Manager position.
- Standardized the HPC database infrastructure on a single platform: SQL Server 2005.
- Realized cost effectiveness and efficiency by ending reliance on outside contractors to produce Hospital Inpatient Discharge Data processing and analysis.
- Secured and standardized the HPC internal network (i.e. McAfee virus protection was installed on all workstations and servers, workstation configurations were standardized and ghosted, Active Directory was cleaned up and rights were reviewed and established, servers were maintained and memory was added, the firewall was reconfigured for greater security, encryption was implemented for Protected Health Information, etc.) Followed the NM DoIT Architectural Configuration Requirements using N-Guide-001, S-STD-003, S-STD-004, S-STD-005.
- Implemented an industry standard backup solution using HP StorageWorks and BackUp Exec 12 for Servers. Followed NM DoIT Architectural Configuration Requirements using S-STD-010.
- Implemented a data quality checking assurance process.
- Established an HPC “Data Universe”.
- Implemented formal helpdesk procedures and a helpdesk tracking system.
- Engaged in a multi-agency process with the Department of Health regarding Hospital Inpatient Discharge Data.
- Created a relationship with the New Mexico Hospital Association.
- Modernized the Hospital Inpatient Discharge Data rule to collect data the hospitals were already producing.
- Re-established relationships with Federal data collection entities such as Agency for Healthcare Research and Quality and the Center for Disease Control.
- Completely updated HPC website.
- Realized cost effectiveness and efficiency by moving the HPC website to DoIT.
- Updated phone system to State of New Mexico phone system.

HPC-IT assists the commission, legislature and other agencies and organizations in the state's efforts in collecting, analyzing and disseminating health information. To this end, HPC-IT collaborates with the following agencies (reference Table 2):

<b>HPC-IT Collaborative Efforts</b>
NM Department of Health /Epidemiologists
NM Department of Health /Vital Records and Health Statistics
NM Department of Health /Public Health
NM Telehealth Commission
NM Telehealth Alliance
NM CHILI
Agency for Healthcare Research and Quality (HCUP)
Thompson-Reuters Healthcare (data clearinghouse)
New Mexico Hospital Association
NM Regulation and Licensing Department

Table 2: HPC-IT Collaborative Efforts

***SFY08 IT Expenditures***

HPC SFY08 IT related expenditures were \$375,378. IT expenditures are based on actual costs for travel and training and pro-rated at 27% of general agency costs for things like ISD, phones and rent. The four IT positions represent 27% of the agencies 15 FTE. Table 3 shows the costs by category:

<b>Line Items</b>	<b>Allocated</b>	<b>Actual</b>
Salary & Benefits	\$250,000	\$284,833
Professional Services	\$9,818	\$10,444
IT Services	\$5,000	\$0
I/S Mileage & Fares; Meals & Lodging	\$1,107	\$3,321
IT Maintenance	\$0	\$4,576
IT Inventory Exempt	\$25,800	\$26,572
ISD Services	\$1,075	\$905
Communications	\$10,719	\$9,999
Rent/Land & Building	\$33,818	\$30,309
Rent/Equipment	\$2,565	\$2,672
Employee Training & Ed	\$675	\$1,747
O/S Mileage & Fares	\$0	\$0
O/S Meals & Lodging	\$0	\$0
IT Equipment	\$0	\$0
<b>TOTAL</b>	<b>\$340,577</b>	<b>\$375,378</b>

Table 3: SFY08 IT Expenditures by category.

## ***B. IT Strategic Plan Initiatives***

The HPC continues to adhere to state IT consolidation guidelines.

The HPC continues to incorporate Governor Richardson’s health care policy initiatives into its IT planning and day to day operations. Tables 4 and 5 elaborate on the HPC’s alignment with the Governor’s policy initiatives and the State IT Strategic Plan initiatives.

### **Governor Initiatives**

<b><i>Governor’s Healthcare Policy Initiatives</i></b>	<b><i>HPC Alignment</i></b>
<p><b><u><i>Comprehensive Health Care Plan</i></u></b></p> <ul style="list-style-type: none"> <li>• Improve Access</li> <li>• Workforce Development</li> <li>• Financing</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Collect and Report Provider Data by Key Demographics via GADS.</i></li> <li>• <i>Collect and Report Charity Care and County Financing of Health Care (CFHC) Data.</i></li> </ul>
<p><b><u><i>Access to Health Care</i></u></b></p> <ul style="list-style-type: none"> <li>• Reduce Uninsured Rate</li> <li>• Reduce Health Care Costs</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Collect and Report Hospital Discharge Data to Monitor Disease and Injury Rates by Diagnosis (HIDD).</i></li> <li>• <i>Collect and Report Charity Care and County Financing of Health Care (CFHC) Data.</i></li> </ul>
<p><b><u><i>Immunizations</i></u></b></p> <ul style="list-style-type: none"> <li>• Increase Immunization Rates</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Collects and Report Hospital Discharge Data to Monitor Disease and Injury Rates by Diagnosis (HIDD).</i></li> <li>• <i>Collect and Report Managed Care Health Plan Quality Measures includes Immunization Rates (HEDIS).</i></li> </ul>
<p><b><u><i>Medicaid</i></u></b></p> <ul style="list-style-type: none"> <li>• Control Costs</li> </ul>	<ul style="list-style-type: none"> <li>• <i>Collect and Report Hospital Discharge Data for geographic variation of</i></li> </ul>

<ul style="list-style-type: none"> <li>• Protect Services and Eligibility</li> </ul>	<p><i>specific category of illness (HIDD).</i></p> <ul style="list-style-type: none"> <li>• <i>Collect and Report Medicaid Health Plan Quality Measures includes Immunization Rates (HEDIS).</i></li> </ul>
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Table 4: Governor Initiatives

### State IT Strategic Plan Initiatives

<b><i>FY08IT Goal</i></b>	<b><i>Goal Status</i></b>
<p><b><i>Customer Relationships</i></b></p> <ul style="list-style-type: none"> <li>• Improve collaboration on projects with key customers.</li> <li>• Closer collaboration with DOH on special projects and on-going health surveillance activities.</li> <li>• Improve awareness of current HPC information services and systems.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>HPC collaborated with New Mexico Medical Review Association, Greater Albuquerque Medical Society, New Mexico Medical Society, New Mexico Health Resources, New Mexico Board of Medical Examiners, and University of New Mexico Family and Community Medicine to produce <b>Physicians Survey Report</b>. All state agencies and state legislators were notified of its availability via e-mail.</i></li> <li>• <i>HPC produced annual 2008 <b>Quick Facts</b> report covering topics such as Health Care Coverage, Health Care Access and Supply, Hospital Utilization, Health Care Quality, Women’s Health, and Children and Teen Health. Quick Facts was made available via HPC’s website. All state agencies and state legislators were notified of its availability via e-mail.</i></li> </ul>
<p><b><i>Policy &amp; Process</i></b></p> <ul style="list-style-type: none"> <li>• Establish health data standards for health care cost data.</li> <li>• Expand Health Information System (HIS) statute to allow collection of additional data elements, collection from additional health care settings, and to allow controlled reporting of</li> </ul>	<ul style="list-style-type: none"> <li>• <i>HPC’s Economist, whose responsibilities include establishing health data standards for health care cost data, is insuring validity and reliability.</i></li> <li>• <i>Due to the inherent difficulties of changing state statute as well as HIPAA considerations the HIS statute</i></li> </ul>

<p>lower level data elements.</p>	<p><i>has not been changed. A request to amend the HIS statute will be proposed to the '09 legislative session.</i></p>
<p><b><i>Technology &amp; Systems</i></b></p> <ul style="list-style-type: none"> <li>• Make health information easily accessible to the general public via the Internet.</li> <li>• Improve capability to provide accurate and timely data on many aspects of health care services provided in New Mexico.</li> <li>• Identify options for sharing record level HIDD data in compliance with privacy requirements to allow linkage with external data sets.</li> <li>• Develop internal SAS expertise to reduce dependence on external contractor.</li> </ul>	<ul style="list-style-type: none"> <li>• <i>HPC and HPC-IT participate, with 37 other states in the Healthcare Cost and Utilization Project (HCUP) to share software tools and data to bring together multiple resources of data throughout the nation.</i></li> <li>• <i>HPC produced the annual 2008 Quick Facts report covering topics such as Health Care Coverage, Health Care Access and Supply, Hospital Utilization, Health Care Quality, Women's Health, and Children and Teen Health. Quick Facts was made available via HPC's website. All state agencies and state legislators were notified of its availability via e-mail.</i></li> <li>• <i>HPC produced the 2006 Geographic Access Data System (GADS) report detailing the availability of qualified healthcare professionals in New Mexico. The report was made available in hardcopy format as well as electronically via the HPC website.</i></li> <li>• <i>HPC produced the 2007 County Financing of Healthcare report detailing the financing of healthcare in 30 New Mexico counties. The report was made available in hardcopy format as well as electronically via the HPC website.</i></li> <li>• <i>Options for sharing record level HIDD data continue to be limited due to HIS Act Disclosure of Records (24-14-27) prohibition.</i></li> </ul>
<p><b><i>Personnel</i></b></p>	

<ul style="list-style-type: none"> <li>Maintain key IT positions: 1 lead manager and 3 database administrators.</li> </ul>	<ul style="list-style-type: none"> <li><i>HPC has hired an IT Generalist II who has also been designated as IT Lead.</i></li> <li><i>HPC IT Lead Manager will attend all OCIO council meetings.</i></li> <li><i>Allow for growth and training of IT staff.</i></li> <li><i>Empower the IT staff with ownership in the HPC mission to provide a more encouraging atmosphere aiming toward higher performance.</i></li> </ul>
<p><b><i>Work Environment</i></b></p> <ul style="list-style-type: none"> <li>Improved communications with OCIO and GSD-ISD on how State IT Consolidation can benefit HPC.</li> </ul>	<ul style="list-style-type: none"> <li><i>HPC IT Lead now regularly attends IT Commission meetings and regularly reviews OCIO website to ensure HPC compliance with OCIO State IT Consolidation requirements.</i></li> </ul>

Table 5: State IT Strategic Plan Initiatives

**IV. IT ENVIRONMENT AND INFRASTRUCTURE**

***A. Current IT environment, organization structure, strategies and goals***

***a. Business Continuity and Contingency Plans***

The HPC Business and Continuity plan procedures are modeled after S-STD-003. Additionally, the plan is centered on backup procedures because the HPC does not need to provide 24X7 access. In the risk mitigation and analysis process, HPC management indicated a simple backup solution to be cost effective at this time. The only resource deemed “critical” was the HPC website and this was moved to DoIT for Business Continuity. Regular backups, performed with off-site data storage, will in the event of a catastrophic failure (i.e. fire, natural disaster, theft, etc.), enable the HPC to restore its data in a reasonable amount of time. Reference appendix D for the BCP Scorecard.

***b. Security Program and Security Architecture***

The HPC’s security program is based on the HPC’s IT Policies and Procedures, which also cover agency Internet and Email policies. Upon employment, HPC staff is required to sign acceptable usage and confidentiality agreements. The penalty for non-compliance is termination. All HPC staff is required to adhere to the following policies:

- HPC staff agrees to adhere to New Mexico state statute as defined in NMAC 1.12.10 for Internet, Intranet, Email and Digital Network usage and NMAC 1.12.11 for Enterprise

Architecture.

- With regard to audits and inspections the Director or the IT Lead as well as any other state authority, may audit, inspect, or record any and all files on HPC equipment at any time.
- HPC staff agrees not to install any software or executable program that has not been authorized by IT Lead or Director.
- HPC staff will sign a confidentiality agreement to protect any private health information or confidential data collected by the agency upon employment. Violation of confidentiality will result in termination.
- HPC staff user passwords will adhere to the strong password standard as outlined in the NMAC 1.12.11 Enterprise Architecture Rule. The password must be alphanumeric, contain a special character and be 8 characters long. Passwords will be changed every 90 days. The HPC server is configured to uphold password security and 90-day password changes.
- HPC staff visitors will sign in and be escorted at all times unless the HPC Director gives approval for visitors who are providing specific services.
- IT Equipment and software will be secured in the IT Office. An inventory will be kept current by the IT Lead. All software will be locked in the IT office. Laptops and projectors must be reserved in advance and signed for at time of checkout.
- When out of the office during the day for more than 30 minutes HPC staff will log off or lock computer.
- HPC network users will shutdown their computer at the end of their workday.
- HPC staff are required to save all work related documents and collected data (excludes HIDD) to the 'My Documents' folder on their assigned computers. This enables local computer data to be included in the daily backup of HPCserver1 and restored as necessary.

### ***c. Records and Retention***

The HPC currently uses the NM Commission of Public Records – State Records Center and Archives administrative code (Title 1, Chapter 18, Part 669) as the rulebook for records retention. As a repository of confidential personal medical data the HPC recognizes the absolute necessity of maintaining strict adherence to the relevant administrative code. The HPC plans to develop agency specific policies and procedures for records retention and expects to implement it by the end of SFY09.

### ***d. Major IT Issues / Concerns***

The largest concern of the last few fiscal years is now resolved. The HPC's mission critical Hospital Inpatient Discharge Data is now standardized on the SQL Server 2005 platform. This affords the HPC confidentiality, integrity, availability, accountability, and assurance. Additionally, HPC ended its dependence on outside contractors. HPC currently has in-house

experience with SQL Server 2005 and will be able to find affordable replacement SQL Server staff should the need arise.

The first major issue that the HPC now faces is statutory limitation (Health Information System Act (24-14A-3)). Due to statutory prohibitions on sharing disaggregate data, the HPC is limited in its ability to share data with sister agencies such as Department of Health (DOH), Federal agencies such as the Agency for Healthcare Research and Quality (AHRQ), and other agencies and community data requestors.

The second major issue that the HPC now faces is uncertainty about a statewide “Healthcare Authority”. This disposition, composition, and direction of a “Healthcare Authority” and the role HPC will play, is yet to be determined.

Staffing levels are of major concern to HPC-IT due to a decrease in budget. A “flat” budget does not take into consideration inflation levels or the rising cost of employee benefits, or the rising cost of living adjustments. Of concern is the inability to expand IT personnel with growing needs for new projects and technologies. The fact that current experienced employees are decidedly leaving state government and non-government candidates are opting to seek private sector employment compromises the ability for HPC-IT to move forward with trained, full-time staff.

As new technologies arise and become best practices, opportunities for professional staff development are taken away due to a decrease in funding. Annual funding to train the IT staff is a large factor in efficiency and ensuring employee retention.

As HPC-IT implements more databases for the collection of the multitude of submitting entities data storage needs will continue to increase with the demand. HPC-IT has only begun to capture a small portion of data into its database. As HPC moves more toward enterprise and web applications development server storage will need to be increased.

A major effort to be undertaken is that of providing healthcare provider related maps from our GADS data to multiple requestors. A decrease in budget causes concern for the HPC-IT to keep up with demands for maintaining and supplying the plotter to increase the amount of mapping services that HPC anticipates.

HPC-IT is deficient in staffing a networking systems administrator. Service is of concern due to the fact that if major configuration or repair work is needed HPC lacks the funds to obtain contract services for maintenance on its network infrastructure.

HPC is committed to increasing its service and quality of that service. It is anticipated that the HPC-IT project workload will increase substantially. Project management will need to become better equipped to estimate, manage, and control project attributes.

Due to the sensitive nature of health related data, security is a continual concern. HPC-IT will continually need the ability to utilize current technology for data security, encryption, and authentication/credentialing.

As new projects evolve and new requirements are established for data collection there is a

concern for new methods of how HPC-IT will collect and disseminate the data. There is also concern about requirements gathering of the data that meet state and federal guidelines.

HPC-IT has new staff members who are working on a learning curve as it relates to business processes. A learning curve is directly related to the amount of the documentation that exists explaining the business processes. HPC-IT will need to work at documenting and diagramming these processes and new business rules as they are created.

HPC-IT is committed to the use of best practices for all aspects of its duties and responsibilities. The processes currently in place will need to be modified or replaced to keep up with new best practice theories. This takes time and effort to implement.

HPC-IT has a limited amount of physical storage space for the retention and archival of data elements and documents. The data that the HPC collects is highly sensitive and follows strict guidelines for data retention. As such, there will eventually be concern for accommodating the storage of the data.

Customers that enlist the services of HPC are, generally, not allowed to install third-party software onto their workstations. Therefore, it is difficult to provide encrypted sensitive data that requires a program to be installed on their end to decrypt the data. It is essential that HPC maintain encryption in a manner that does not impact the customer, and thus, essential that HPC-IT use a more advanced method for security and encryption.

DoIT does not currently have a detailed services catalog. As HPC-IT moves toward an enterprise in collaboration with DoIT it will be essential that HPC know what each service rate is for budgeting.

The approved midyear rate adjustments for FY 2009-2010, for DoIT services, may cause considerable hardship on HPC-IT, as the current budget during this period will have been based on old rates, not accounting for the adjustments.

***e. IT infrastructure and how assets will be maintained and improved.***

Currently, all computer users are running Centrino Duo or Pentium 4 PCs with large hard drives (80GB) and plenty of memory (2GB RAM). All PCs are running Microsoft Windows XP Professional SP2. The two production servers are HP Proliant DL380 with 218.6 GB of data storage running Microsoft Windows Server 2003. Cisco 2960 Switches and a Sonicwall TZ170 Firewall provide WAN connectivity and intrusion detection/protection. Automatic updates are used wherever possible to ensure security patches and virus/anti-spyware updates are as current as possible. Backups are performed on a daily basis. High capacity network color printers are also available to all users. All employees have access to the tools required for the HPC to perform its statutory requirements. The database infrastructure is now SQL Server 2005.

The current server disk space will reach maximum capacity by the beginning of SFY10. The computer workstations/laptops will be at the time frame for upgrade in SFY11. Depending on what the HPC is asked to do, it is also probable that the HPC will need new Servers in SFY11. The firewall, switch, UPS, rack, and printers will all remain viable through SFY10 and possibly

SFY11. The database platform (SQL Server 2005) will remain viable for several more years. If DoIT begins to recommend Windows Vista, the HPC will need to be prepared for that upgrade.

### ***f. Outline of current resource sharing***

The HPC website (<http://www.hpc.state.nm.us>) is now co-housed at DoIT. The website co-house is an ideal application of the consolidation directive.

HPC received an industry standard tape backup solution from the NM Department of Health (DOH). The DOH and the HPC are actively involved in collaboration related to the Hospital Inpatient Discharge Data.

### ***g. Maintenance and upgrade strategies***

The current strategy is to automatically patch all workstations using Microsoft update. The servers are patched by hand usually waiting several months while bugs in the MS patches are ironed out. Other software patches are treated in the same way. Software is upgraded when missing functionality is required. Workstations are replaced approximately every 3 years. Printers are replaced when they fail. The servers are replaced when a resource analysis of the server components (memory, hard disk space, CPU, network utilization) show that the server will become maximized in the next six months to one year.

## ***B. Technical Inventory***

The HPC's hardware, software, and application inventory data has been updated on the OCIO Online Inventory System.

## **Appendices**

- A.** IT Plan and Funding Request Checklist
- B.** Section I. Proposed Projects Summary
  - Section II. IT Staff Summary
  - Section III. IT Budget Performance Data
- C.** IT Project History and Inventory
  - FY08 IT Projects > \$100,000
  - FY09 IT Projects > \$100,000
- D.** Executive Business Continuity Plan (BCP) Scorecard
- E.** Compliance Spreadsheet
- F.** C1 Form
- K** DoIT IT Plan Review Checklist

## Appendix A

### IT Plan and Funding Request Checklist

#### **September 2, 2008 Deadline**

1.  Final IT plans
  - I. Executive Summary
  - II. Agency Overview
  - III. Description of IT plan implementation for prior fiscal year
  - IV. Agency and Technical Inventory
  - V. Agency IT Environment and Infrastructure
  - VI. Completed Forms: Appendix B, C, D, and E
  - VII. Signature form
2.  Complete Online Inventories
3.  Completed list of Base Budget IT project form
4.  Completed Form(s) C1
5.  Completed Form(s) C2 (if any)
6.  Completed Capital, Special, Supplemental Form(s) (if any)
7.  Completed and Full Business Case(s) (if any)
  - I. Executive Summary
  - II. Business Problems and Opportunity
  - III. Proposed Project Objectives/Performance Metrics
  - IV. Business Risks
  - V. Alternative Solution
  - VI. Cost Benefit Analysis
  - VII. Recommendation
8.  Assemble all required documents into a single electronic file and email to DoIT and the agency DFA and LFC budget analysts. When e-mailing DoIT, use the following e-mail address: [doit.itplans@state.nm.us](mailto:doit.itplans@state.nm.us). When e-mailing LFC, use the following e-mail address: [lfc.itplans@nmlegis.gov](mailto:lfc.itplans@nmlegis.gov). When e-mailing DFA, use the following e-mail address: [Cyndi.montoya@state.nm.us](mailto:Cyndi.montoya@state.nm.us).
9.  Prepare 5 hard copies of the assembled document with two going to DoIT, two to DFA and one to LFC.

***Final IT Plans and Funding Requests must be submitted by September 2, 2008.***

***Late submissions will not be accepted and no additional information will be requested. If the information is not contained in the final document, the request will be deemed insufficient for funding considerations.***

## Appendix B

### Section I.

#### *Proposed FY10 Projects Summary List*

HPC-IT does not intend to request funding for projects > \$100,000.

<b>Project Name</b>	<b>Project Purpose</b>	<b>Stakeholders</b>	<b>Funding Amount</b> (Include proposed source: Base, CSEF, Spec., Supp., Grant, etc. AND GF,FF, or OSF)

### Section II.

#### *IT Staff Summary List*

<b>Position Category</b> (e.g. Mgr., DBA, Developer, PM, etc.)	<b>Position Count</b>	<b>Staff Category</b> (e.g. FTE, Temp, Term, Contract or Other)	<b>Infrastructure or Non-Infrastructure</b>
DBA	3	FTE	Non-Infrastructure
Generalist II	1	FTE	Non-Infrastructure

**Section III.**

***IT Budget Performance Data***

The following spreadsheet is proposed to go into effect for quarterly reporting in January of 2009. Therefore the Sep-08 actuals reflect the actual costs for the period January 1, 2009 through the closed books of July 31, 2008.

***HPC-IT costs by category:***

Agency				ACTUALS				
Code	Name	Fiscal Period	FY 09 Budget	Sep-08 Actual	Jan-09 Actual	Apr-09 Actual	Jul-09 Actual	Total Actual
669	Health Policy Commission	Sep-08						
<b>Category 200 - P &amp; E</b>								
	<b>Salaries</b>	-						
-	Exempt Perm Positions F/T		0	0	0	0	0	0
2011	Classified Perm Positions F/T		229,222	14,740	0	0	0	14,740
2051	Temp Positions P/F		0	0	0	0	0	0
20XX	Other Salaries		0	0	0	0	0	0
			0	0	0	0	0	0
	<b>Subtotal Salaries</b>		<b>229,222</b>	<b>14,740</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>14,740</b>
	<b>Benefits</b>	-						
21XX	Total Benefits		82,520	4,521	0	0	0	4,521
	<b>Total Category 200</b>		<b>311,742</b>	<b>19,261</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>19,261</b>
<b>Category 300 - Contractual Services</b>								
3522	Professional Services		5,400	0	0	0	0	0
3532	Other Contractual Svcs		297	0	0	0	0	0
3542	Audit		1,566	0	0	0	0	0
3562	IT Services		5,000	0	0	0	0	0

								0
	<b>Total Category 300</b>		<b>12,263</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Category 400 - Other</b>							
<b>42XX</b>	Travel and Transportation		2,673	0	0	0	0	0
<b>4382</b>	Maintenance		540	0	0	0	0	0
<b>44XX</b>	IT Supplies		8,218	0	0	0	0	0
<b>45XX</b>	Other Op Costs		3,726	0	0	0	0	0
<b>46XX</b>	Other Op Costs		46,980	8,548	0	0	0	8,548
<b>47XX</b>	Other Costs		100	15	0	0	0	15
<b>48XX</b>	Capital Outlay		0	0	0	0	0	0
<b>49XX</b>	O/S Travel		0	0	0	0	0	0
								0
	<b>Total Category 400</b>		<b>62,237</b>	<b>8,562</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>8,562</b>
	<b>Category 500 - Other Financing Uses</b>							
<b>5511</b>	Operating Transfers		<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
	<b>Agency Grand Total</b>		<b>386,242</b>	<b>27,823</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>27,823</b>

## Appendix C

### IT Project History and Inventory

#### List FY08 IT Projects > \$100,000

No IT projects were undertaken > \$100,000 for either FY08.

#### A: Active / Open Projects

Project Name	Appropriation History (\$/Source)	Current Certification Phase	Amount expended as of 7/1/08

#### B: Closed Projects

Project Name	Appropriation History (\$/Source)	Current Certification Phase	Amount expended as of 7/1/08

#### List FY09 IT Projects > \$100,000

No IT projects will be undertaken > \$100,000 for FY09.

Project Name	Appropriation History (\$/Source)	Current Certification Phase	Amount expended as of 7/1/08

## Appendix D

### Business Continuity Plan

See Business Continuity and Contingency section of the main body for a description of the plan.

#	Executive Business Continuity Plan (BCP) Scorecard	Yes	No	Unknown
1.	Do you have a written business continuity of operation plan (COOP)?	√		
2.	If so, have you fully tested it? (Add date of test) <b>Test by 1/1/09</b>		√	
3.	If tested, did you pass your test? ( <i>Pass the test would be that you were able to continue all mission critical functions of your business.</i> )		N/A	
4.	Have you quantified and ranked the business and financial risk of outages to all vital functions?	√		
5.	Are you prepared to address liabilities and fiduciary responsibilities in case of a disaster?	√		
6.	Are business continuity plans kept current and updated for business changes?	√		
7.	Do you perform back-ups faithfully and include every server and hard drive?	√		
8.	Do you regularly send your back-ups to a safe, off-site archive?	√		
9.	Have you standardized back-up solution on a proven media?	√		
10.	Does business continuity and disaster recovery readiness have support of top management in your organization?	√		
11.	Is your agency BC/DR plan dependent on DoIT? If so what is DoIT's role in your plan?	√		

Comments: *The HPC website has been moved to DoIT. DoIT houses the server for the website and the HPC maintains its software contents.*

## Appendix E

### Compliance Spreadsheet

The following compliance spreadsheet is mandatory for all **current and proposed** IT projects >\$100K.

Each active project listed in the IT Project History and Inventory and each proposed FY10 project, regardless of funding source, **must** have an accompanying completed Compliance Spreadsheet.

All items on the spreadsheet must be checked off for a new project to receive consideration. If unable to check a box and serious steps are in process to satisfy the requirement, attach a written explanation.

**Please note:** if all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted.

**CIO's and IT leads must be prepared to support the responses on this spreadsheet with the applicable data, procedures, processes, records, etc. if and when project oversight requires.**

**Compliance Spreadsheet: Agency and Project Identification**

Lead Agency Name: Health Policy Commission Agency Code: 669

Project Name(s)<sup>1</sup>: All Projects Contact Person: Terry Reusser

Contract Person: \_\_\_\_\_ Contact Phone Number: (505) 827-6214

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input checked="" type="checkbox"/>	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input checked="" type="checkbox"/>	Project is or will actively address security and data integrity issues.
<input checked="" type="checkbox"/>	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input checked="" type="checkbox"/>	Project is or will actively address disaster recovery and business continuance issues and records retention
<input checked="" type="checkbox"/>	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input checked="" type="checkbox"/>	Project is or will actively address privacy issues.
<input checked="" type="checkbox"/>	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input checked="" type="checkbox"/>	Project is or will actively address regulatory compliance issues.
<input checked="" type="checkbox"/>	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input checked="" type="checkbox"/>	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input checked="" type="checkbox"/>	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input checked="" type="checkbox"/>	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input checked="" type="checkbox"/>	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input checked="" type="checkbox"/>	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>1</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use “All Projects” for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input checked="" type="checkbox"/>	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input checked="" type="checkbox"/>	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input checked="" type="checkbox"/>	This project “uses” or will use existing common IT functions from other agencies.	<input checked="" type="checkbox"/>	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input checked="" type="checkbox"/>	This project could benefit from common IT functions usable across multiple agencies.	<input checked="" type="checkbox"/>	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input checked="" type="checkbox"/>	Project has or will identify common (shareable) business functions and data.	<input checked="" type="checkbox"/>	Project is or will assess risks and engineering security into every layer of project implementation.
<input checked="" type="checkbox"/>	Project is or will use middleware, where appropriate, to enhance access to all data.	<input checked="" type="checkbox"/>	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input checked="" type="checkbox"/>	Any common services to be “provided” by this project to other agencies or external parties are provided at competitive rates.	<input checked="" type="checkbox"/>	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input checked="" type="checkbox"/>	Project is or will actively address security and data integrity issues.	<input checked="" type="checkbox"/>	Project owners are or will take responsibility for initiating analysis and review.
<input checked="" type="checkbox"/>	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input checked="" type="checkbox"/>	Project has or will consider application of COTS (commercial off-the-shelf).
<input checked="" type="checkbox"/>	Project has or will give thorough and appropriate consideration to open source components.	<input checked="" type="checkbox"/>	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input checked="" type="checkbox"/>	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input checked="" type="checkbox"/>	Project is or will actively address system management issues.
<input checked="" type="checkbox"/>	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input checked="" type="checkbox"/>	Project is or will actively address privacy issues.
<input checked="" type="checkbox"/>	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input checked="" type="checkbox"/>	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

## Appendix F

### C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
<b>Agency Name:</b>	NM Health Policy Commission			Agency Code:	669
<b>Appropriation Funding Type:</b>	<u>Base Request</u> <u>Operational Support of IT</u>  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY010 Request	FY11 Estimate
<b>General Fund</b>	413.9	413.9	386.2	440.1	466.5
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	<b>413.9</b>	<b>413.9</b>	<b>386.2</b>	<b>440.1</b>	<b>466.5</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>	227.9	284.8	311.7	310.5	327.0
<b>Contractual Services</b>	0	0	0	0	0
<b>Professional Services</b>	7.0	2.9	5.4	2.0	2.0
<b>IT Services</b>	0	0	5.0	2.0	2.0
<b>Other</b>	0	7.6	1.9	0	0
<b>Travel</b>	1.7	3.3	2.8	6.0	7.0
<b>Maintenance</b>	3.0	4.6	.5	3.0	3.5
<b>Supplies/Inv. Exempt</b>	55.9	26.6	8.2	41.0	45.0
<b>Operating Costs</b>	53.1	49.2	50.7	75.6	80.0
<b>Capital Outlay</b>	0	0	0	0	0
<b>Other Financing Uses</b>	0	0	0	0	0
<b>Total</b>	<b>348.6</b>	<b>379.0</b>	<b>386.2</b>	<b>440.1</b>	<b>466.5</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Elizabeth Stefanics		Terry Reusser		Peggy Schummers
<b>Signature</b>					
<b>Phone</b>	827-6264		827-6214		827-6209
<b>Date</b>					

**HPC – SFY10 IT Plan**

**Appendix K**

**DoIT Plan Checklist**

This summary checklist will be used by DoIT to evaluate FY10 IT Plans for initial requirement compliance. It is provided as an additional means for agencies to confirm plan requirements are met.

**AGENCY NAME:**

<b>No.</b>	<b>Checklist Description</b>	<b>(Y/N)</b>
<b>A</b>	<b>General Requirements:</b>	
A1	Has Agency management, responsible for the information submitted in the plan and for the business success of the projects listed, approved the plan?	
A2	Have all personnel who prepared and approved the plan provided their names and signatures?	
A3	Is the prescribed format followed and all mandatory sections completed?	
A4	Is the plan concise, complete and clearly tied to agency business goals?	
<b>B</b>	<b>IT Plan Past and Upcoming Fiscal Years</b>	
<b>B1</b>	Does the agency IT plan comply with and support:	
	A. State IT Plan?	
	B. State Architecture?	
	C. State Standards?	
<b>B2</b>	Are the IT proposals and spending plans linked to the maintenance and improvement of service delivery to the residents of New Mexico? E.g. Focus on direct delivery of services through IT such as internet based information and transactions?	
<b>B3</b>	Did the agency provide an executive summary of the agency’s IT goals, appropriations and expenditures from prior fiscal years?	
<b>B4</b>	Did agency describe the progress made in advancing the objectives identified in the State IT Strategic Plan and any Governor’s initiatives relevant to the agency?	
<b>B5</b>	Has the agency submitted a clear description of Environment and Infrastructure , additionally, any collaboration involving other agencies and any in the planning stage?	
<b>B6</b>	Was the Executive Business Continuity Plan (BCP) Scorecard filled out?	
<b>C</b>	<b>Inventory Information:</b>	
<b>C1</b>	Applications Inventory Completed?	
<b>C2</b>	Data Center Inventory Completed?	

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<b>No.</b>	<b>Checklist Description</b>	<b>(Y/N)</b>
<b>C3</b>	Network Inventory Completed?	
<b>C4</b>	Server Inventory Completed?	
<b>C5</b>	Desktop Hardware Completed?	
<b>C6</b>	Desktop Software Completed?	
<b>D</b>	<b>Agency Detailed Business Cases</b>	
<b>D1</b>	Is the Base Budget IT Project Form submitted as prescribed?	
<b>D2</b>	Is the Compliance Spreadsheet submitted for all current and proposed IT projects?	
<b>D3</b>	Do all multi-agency projects (i.e. projects which are functionally integrated across agencies) use the same project name and description? within the Business Case Descriptions; identify the collaborating agencies as well as the lead agency for the project; and include specific support and funding requirements for your agency?	
<b>D4</b>	Do IT project proposals demonstrate agency commitment to intra and interagency coordination and infrastructure improvement?	
<b>D5</b>	Has a detailed business case been completed for all operating budget IT projects costing more than \$100K next fiscal year or \$1M total over more than one fiscal year and for all special appropriation requests?	