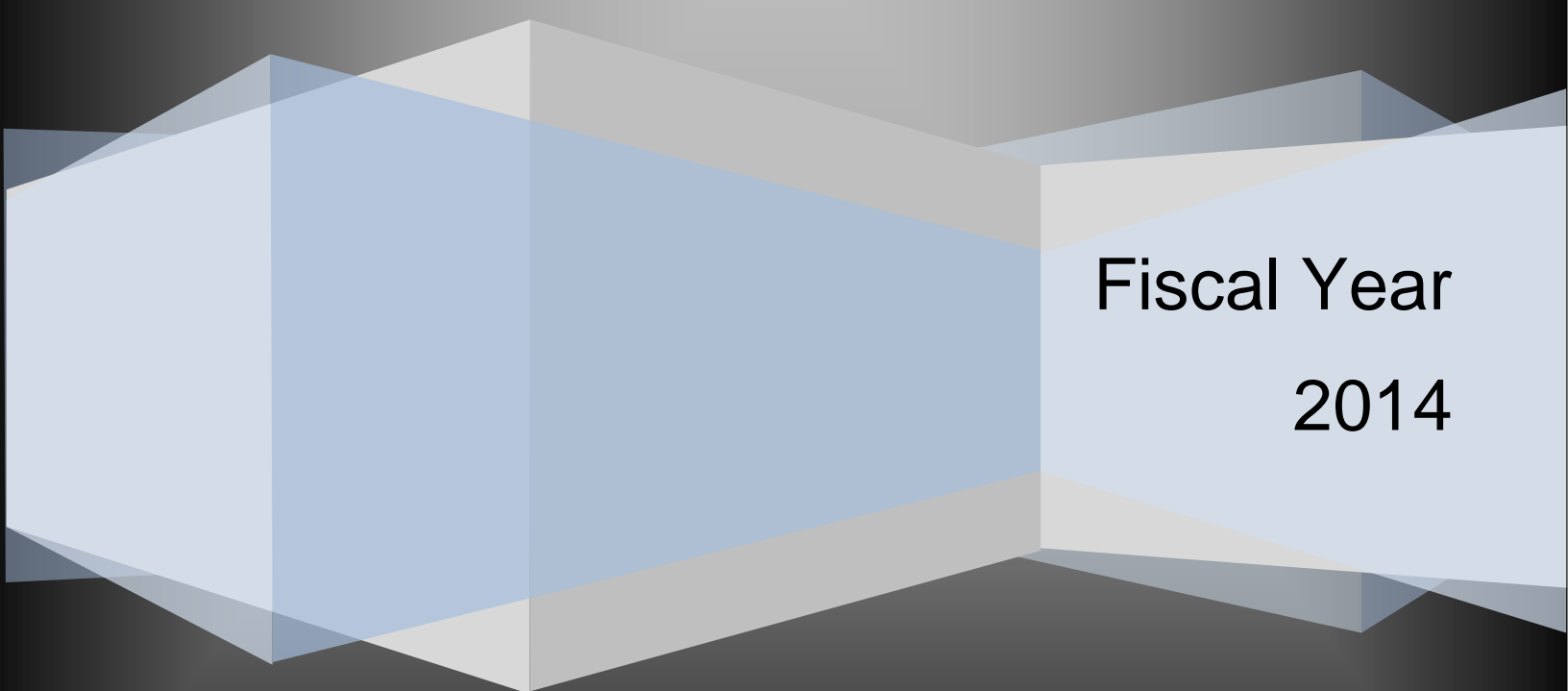




NEW MEXICO
DEPARTMENT OF
INFORMATION TECHNOLOGY

Agencies IT Plans Report Analysis

March 11, 2013

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Table of Contents

SECTION I - Executive Summary	3
SECTION II - FY14 Agency IT Plan Process	4
A. About This Document	4
B. IT Plan Restructure	4
C. IT Plan Process	4
D. Agencies that Submitted an Annual IT Plan	5
SECTION III - FY14 Agency IT Plan Purpose	7
A. Legislative Background for the Agency IT Plan	7
B. Stakeholders of the Agency IT Plan	7
C. Purpose of the Annual Agency IT Plan Analysis	7
SECTION IV - FY14 Agency IT Plan Strategic Initiatives	9
A. Prudent Allocation of IT Resources	9
1. Specific Business Related Applications	9
2. Video Conferencing/Surveillance	10
3. Equipment Replacement	10
4. IT Infrastructure Library (ITIL)	11
5. Security	11
6. Improvements in Revenue	12
B. Reduction of Data, Hardware and Software Redundancy	12
1. Enterprise Solutions	12
2. Virtualization	13
3. Virtual Desktop	13
C. Improvement of System Interoperability and Data Accessibility among Agencies	14
1. Geospatial	14

- 2. Telecommunication..... 14
- 3. Network - Active Directory..... 15
- 4. Paperless - Electronic Documents 15
- 5. Mobile Device Apps 16
- 6. Infrastructure..... 16
- 7. Website Work 17
- 8. Innovations 18
- SECTION V - FY14 Agency IT Plan Strategic Goals..... 19**
- A. Agency IT Strategic Goals 19
 - 1. IT Goals - Specific..... 19
 - 2. IT Goals - Measurable 21
 - 3. IT Goals - Attainable 21
 - 4. IT Goals - Relevant..... 22
 - 5. IT Goals – Time-based..... 22
- SECTION VI - FY14 Agency IT Plans Alignment with State Strategic Plan 23**
- A. Agency Context for IT Infrastructure and Operations 23
- B. Plans for Legacy and New Agency Applications 24
- C. IT Human Resource Management 24
- D. Improvements in Business Alignment and IT Management Areas 25
- E. Adjustments to Current Projects 25
- F. New Business Requirements or Government Program Initiatives 27
- G. Planned Facility Improvements or Upgrades..... 28
- SECTION VII - FY15 Agency IT Plan Observations and Recommendations 29**

SECTION I

Executive Summary

The executive agencies within the State of New Mexico recognize the need for strategic technology planning. Forty-four FY14 IT Plans were submitted from executive agencies, commissions and boards; to include the Administrative Office of the Courts.

Prior to the submission of the IT Plans the Department of Information Technology (DoIT) conducted in-depth interviews and a statewide Agency IT Planning Forum with NM Chief Information Officers and IT Leads. These efforts provided collaboration for planning between DoIT and the agencies. The FY14 IT Plan layout was assessed and sections that were considered reporting other than planning were removed.

The FY14 IT Plans outline the agencies business drivers, history of the agency, statement of purpose and IT strategic goals. The alignment of the IT agencies goals to their agency goals and the State Strategic IT Plan goals is par for the course. Agencies have done this for many years and do it well. The alignment to the Enterprise Architecture Framework has not yet been incorporated into the plans and cannot be established as part of the planning process until the update and enhancement of the Enterprise Architecture Framework is complete.

In the assessment of the IT Plans the strategic initiatives were reviewed regarding: prudent allocation of IT resources; reduction of data, hardware and software redundancy; and improvement of system interoperability and data accessibility among agencies in compliance with the Department of Information Technology Act. In defining "prudent allocation of IT resources" IT Plans are to be reviewed for skill, good judgment, caution and risk in the planning of IT infrastructure, staff, applications, data and funding. This report groups agency planning material into like fields, providing an assessment of specific technical areas: business related applications; video conferencing; equipment replacement; IT Infrastructure Library (ITIL); security; enterprise solutions; virtualization; geospatial; telecommunications; active directory; paperless—electronic documents; mobile device applications; infrastructure; websites and innovations.

The analysis of the FY14 IT Plans lend to observations and recommendations for improvement on the planning process for FY15. The guidelines for the upcoming year will be released earlier. The ability to measure appropriate progress towards the goals is not evident. To improve on this the strategic goals will include objectives, strategies and initiatives. This will elevate the IT Plan from a tactical report to a forward thinking strategic planning tool. Within the IT Plan, security will be brought to the forefront and agencies will include IT security as an intricate part of their planning process; the IT Plan will include strategic initiatives to improve the security posture. Finally, a clear distinction between projects and initiatives will be defined.

Overall the IT Plans have a strong focus on agency business specific IT systems. As business needs drive the agencies technology requirements the agencies have planned accordingly.

SECTION II

FY14 Agency IT Plan Process

A. About This Document

Within the FY14 planning process the Department of Information Technology (DoIT) in compliance with the New Mexico IT Strategic Plan FY2014 – FY2016¹ (State Strategic Plan) provides guidance to New Mexico Executive Agencies i.e. agencies and outlining strategic directions to be incorporated into the FY14 Annual Agency IT Plans (IT Plans). The IT Plans first undergo a review process. The following phase of the review process is the analysis documented in this report.

This report is structured into seven sections. Section II provides information about the IT planning process. Section III is the purpose of the IT Plan. Section IV documents the IT Plans strategic initiatives grouped into like fields within three areas of planning:

1. Prudent Allocation of IT Resources;
2. Reduction of Data, Hardware and Software Redundancy and
3. Improvement of System Interoperability and Data Accessibility among Agencies.

Section V of this report evaluates the IT Plans Strategic Goals. Section VI is the alignment of the IT Plans with the State Strategic Plan; this section is grouped by IT Plan Inputs² from the State Strategic Plan. The final section of the plan, Section VII, provides recommendations for the FY15 IT planning process.

B. IT Plan Restructure

DoIT recognized the need to enhance the end-user participation in the New Mexico (NM) Information Technology (IT) annual planning process to strengthen the connection of IT Plans to the State Strategic Plan. Prior to the release of the FY14 Agency IT Plan Guidebook the Department conducted in-depth interviews and a statewide Agency IT Planning Forum with NM Chief Information Officer (CIO)s and IT Leads. These efforts provided collaboration for planning between DoIT and the agencies. The outcome was agencies did not want the IT Plan structure to change, however they welcomed any deletions. The IT Plan layout was assessed and sections that were deemed to be reporting other than planning were removed. The sections that were removed from the plan remain to have purpose and will be handled through another venue. For the FY15 IT planning process agencies have requested the guidebook be released earlier.

C. IT Plan Process

The FY14 Agency IT Plan Guidebook was release June 8, 2012. The agencies submitted their IT Plans September 4, 2012 to the Legislative Finance Committee (LFC), Department of Financial Administration (DFA), and DoIT. The agencies provided an electronic and hard copy of their plans. Highlights from each IT Plan were extracted into a one to two page document; which was the first

¹ GOAL 1: INFORMATION TECHNOLOGY MUST DRIVE EFFICIENT DELIVERY OF HIGH QUALITY GOVERNMENT SERVICES THAT WILL BENEFIT CONSTITUENTS AND SUPPORT ECONOMIC DEVELOPMENT

² INITIATIVES: 2.1. SUPPORT AGENCY IT PLANNING THROUGH THE AGENCY IT PLAN PROCESS

phase of the review process. The agencies reviewed the highlights and made any necessary modifications prior to posting on the DoIT website³. The second phase of the review process is the analysis of the IT Plans. The Strategic Planning Office is responsible for the analysis work and the development of the report. The report is submitted for executive review and a final review by the DoIT Secretary. Additional reviews of the IT Plans are completed by the Oversight and Compliance Consultants.

D. Agencies that Submitted an Annual IT Plan

Forty-four IT Plans were submitted from State of New Mexico executive agencies, commissions and boards. The plans vary in size and detail; nonetheless the agencies followed the structure provided in the IT Plan Guidebook.

218	AOC	- Administrative Office of the Courts
308	OSA	- Office of the State Auditor
333	TRD	- Taxation and Revenue
337	SIC	- State Investment Council
341	DFA	- New Mexico Department of Finance
343	RHCA	- New Mexico Retiree Health Care Authority
350	GSD	- General Services Department
352	ERB	- New Mexico Educational Retirement Board
355	PDD	- New Mexico Public Defender Department
361	DoIT	- Department of Information Technology
366	PERA	- Public Employees Retirement Association of New Mexico
369	SRC	- State Record Center and Archives
370	SOS	- New Mexico Secretary of State's Office
378	SPO	- State Personnel Office
394	STO	- Office of the State Treasure
418	NMTD	- New Mexico Tourism Department
419	EDD	- New Mexico Economic Development Department
420	RLD	- New Mexico Regulation and Licensing Department
430	PRC	- Public Regulation Commission
449	BON	- New Mexico Board of Nursing
460	NMSF	- New Mexico State Fair
465	GCB	- New Mexico Gaming Control Board
505	DCA	- New Mexico Department of Cultural Affairs
508	NMLB	- New Mexico Live Stock Board
516	NMDGF	- New Mexico Game and Fish
521	EMNRD	- Energy, Minerals and Natural Resources Department
539	SLO	- State Land Office
550	OSE/ISC	- New Mexico Office of the State Engineer – Interstate Stream Commission
624	ALTSD	- New Mexico Aging and Long-Term Services
630	HSD	- Human Services Department
631	DWS	- New Mexico Department of Workforce Solutions
632	WCA	- Workers' Compensation Administration
644	DVR	- Division of Vocational Rehabilitation
662	MCMC	- Miners' Colfax Medical Center
665	DOH	- New Mexico Department of Health
667	NMED	- New Mexico Environment Department
690	CYFD	- Children Youth and Family Department
705	DMA	- Department of Military Affairs

³ http://www.doit.state.nm.us/agency_it_plan_highlights.html

- 770 NMCD - New Mexico Corrections Department
- 790 DPS - New Mexico Department of Public Safety
- 795 DHSEM - Department of Homeland Security and Emergency Management
- 805 DOT - New Mexico Department of Transportation
- 950 NMHED - New Mexico Higher Education Department
- 952 PED - New Mexico Public Education Department

SECTION III

FY14 Agency IT Plan Purpose

A. Legislative Background for the Agency IT Plan

The Department of Information Technology Act⁴, establishes the following basis for the Agency IT Plans:

1. Each Executive Agency shall submit an Agency IT plan to the secretary in the form and detail required by the Secretary.
2. As the State CIO, the Secretary shall:
 - a. Review executive agency plans regarding prudent allocation of IT resources; reduction of data, hardware and software redundancy; and improvement of system interoperability and data accessibility among agencies;
 - b. Monitor executive agency compliance with its agency plan, the State IT Strategic Plan and State Information Architecture and report to the governor, executive agency management and the legislative finance committee on noncompliance; and
 - c. Provide technical support to executive agencies in the development of their agency plans.

B. Stakeholders of the Agency IT Plan

IT planning is an imperative part of an agency's business planning process. Agency CIOs and IT Leads worked closely with their stakeholders; executive and program management staff to ensure that their IT plan supports and aligns with the agency's business and strategic plan. Additional stakeholders include DoIT, DFA, and LFC.

C. Purpose of the Annual Agency IT Plan Analysis

DoIT is required to review the agencies IT Plans regarding prudent allocation of IT resources; reduction of data, hardware and software redundancy; and improvement of system interoperability and data accessibility among agencies⁵. The review process encompasses various levels. The second phase of the review process is the IT Plan Analysis which is performed by the Strategic Planning Office. The purpose is to provide:

1. A framework for agencies to use in assessing their IT planning process; determining their compliance to the State IT Strategic Plan and their use of IT to advance and meet agency business and program objectives;
2. A foundation for staff members of the agencies, DoIT, DFA, and LFC to evaluate and assess how well an agency is selecting and managing its IT resources; and

⁴ [Chapter 9, Article 27, NMSA 1978](#)

⁵ Chapter 9, Article 27, NMSA 1978 Section C. As the chief information officer, the secretary shall:

(1) review executive agency plans regarding prudent allocation of information technology resources; reduction of duplicate or redundant data, hardware and software; and improvement of system interoperability and data accessibility among agencies;

3. An assessment of the quality and depth of the use of Information technology across all reporting state agencies.

The following section is the assessment of the IT Plans strategic initiatives regarding: prudent allocation of IT resources; reduction of data, hardware and software redundancy; and improvement of system interoperability and data accessibility among agencies.

SECTION IV

FY14 Agency IT Plan Strategic Initiatives

A. Prudent Allocation of IT Resources

To proceed with the review of the IT Plans the meaning of “Prudent Allocation” and “IT Resource” must be defined. Per the ITIL Service Strategy, an IT Resource is a generic term that includes IT infrastructure, people, money or anything else that might help to deliver an IT service. Resources are considered to be assets of an organization. Prudence is defined as: the ability to govern and discipline oneself by the use of reason; skill and good judgment in the use of resources; and caution or circumspection as to danger or risk. Therefore the IT Plans will be reviewed for skill, good judgment, caution and risk in the planning of IT infrastructure, IT staff, IT applications, IT data and IT funding.

1. Specific Business Related Applications

In the review of the IT Plans it is evident that agencies have a strong focus on their business specific IT systems. Agencies have addressed these systems in their executive summaries of their IT plans as quoted below:

- ALTAD Enhance a state-of-the-art, web-based service architecture for the Department’s Aging and Disability Resource Center.
- AOC Most important is the multi-year implementation of the Odyssey court case management system.
- CYFD The current FACTS application is still the mainstay of the agency and will continue to be until EPICS is fully functional.
- DoIT In the past fiscal year DoIT has successfully upgraded the State’s email system from Microsoft Exchange 2003 to Microsoft Exchange. DoIT also completed the implementation of a new Service Desk system.
- ERB The FY 2013-2014 Information Systems Plan contains the continuation of one major project for the agency; Integrated Retirement Information System (IRIS).
- GCB The centerpiece is the implementation and operation of the Jurisdictional Control System otherwise known as AEGIS (Advanced Entertainment Gaming & Information System).
- HSD HSD is in the process of replacing the Income Support Delivery 2 (ISD2) system, the Child Support Enforcement System (CSES), as well as the Medicaid Management Information System (MMIS).
- NMCD The mission critical IT system is the Criminal Management Information System (CMIS).
- NMSF Although the New Mexico State Fair (NMSF) has consistently held one of the most successful fairs in the nation, as an agency, it has not kept current with technological changes.
- PED PED has begun the process of establishing a Data Quality Program to document data collection processes, bureau program lead(s), data elements collected, purpose/use of data, and reduce district reporting burden to the PED.
- RLD Developed and implemented a technology solution to give Construction Industry Division (CID) the ability to receive commercial and residential building plan via email and subsequently perform plan reviews electronically.

- RLD Issue an RFP for the services of an IT vendor to design, develop and deploy a recycled metals management system. Initiate and plan the Construction Industry's compliance activities using the agency's existing Case Management System application.
- SLO The main focus during FY12 was on planning the Land Information Management System (LIMS).
- SOS Add needed functionality to the Campaign Finance Information System (CFIS). Complete a business requirements analysis for replacing the legacy Secretary of State Knowledgebase (SOSKB) system.
- SPO Implemented NEOGOV, an applicant tracking system that is used by over 800 public sector entities.
- STO Replacement of STO's Investment Accounting System (QED) which is the official "Book of Record" for the State Treasures' Office.

2. Video Conferencing/Surveillance

Video conferencing and video surveillance projects are still an ongoing initiative for the agencies. The plans did not provide any efforts in agency collaboration.

- AOC AOC requests C2 funding assistance with statewide video, appellate case management and BCMC case management.
- NMCD ITD continues to work with the facilities and Probation and Parole to ensure that video surveillance systems are being migrated from old analog CCTV technology to the new IP based digital/megapixel technology
- NMED Providing additional offices with web and video conferencing capabilities.

3. Equipment Replacement

Agencies continually struggle with finding the means to fund equipment replacement and build equipment refresh into their budgets. Agencies request equipment enhancement funding or rely on year-end monies. However, when an enterprises approach is adopted then the equipment refresh can be built into the service. The FY14 IT Plans appear to reference the replacement servers, personnel computer and laptops more so than network equipment. These types of equipment are good contenders for economies of scale and could evolve into an enterprise service.

- DFA Replacement of old and obsolete servers, pc, laptops and printers. Purchase Power Connect Gig switches.
- DPS Replace a 10 year old Computer Aided Dispatch System to continue providing service to state police, motor transportation police and other local law enforcement agencies officers in the field; Implement an integrated RMS strategy that will improve information processing across all aspects of the DPS mission.
- OSA In FY2013 OSA will replace some antiquated computers and a server that is a domain controller and critical to our information systems infrastructure. OSA critical servers will need to be replaced to accommodate data growth.

PERA - In FY14 the Public Employees Retirement Association of New Mexico (PERA) is requesting \$2.8 million to replacement all servers and the upgrade the Retirement Information Online (RIO) mission critical system which is a pension administration system.

RLD In FY12 RLD replaced outdated servers in the SIMMS data center with a new blade solution.

4. IT Infrastructure Library (ITIL)

ITIL is an approach for IT Service Management. ITIL provides a practical framework for identifying, planning, delivering and supporting IT services. DoIT has adopted the ITIL model for the enterprise services that DoIT offers⁶. Additionally agencies have begun to adopt ITIL as well.

DOH - DOH is strongly committed to using best practice models and process improvement methodology and proposes to do this through seeking talented consultation of infrastructure and training on such methodologies as Information technology Infrastructure Library (ITIL).

GSD - *By adopting ITIL GSD will realize the following benefits: improved IT services; reduced costs; improved customer satisfaction through a more professional approach to service delivery; improved productivity; improved use of skills and experience; and improved delivery of third party service.*

5. Security

The State IT Strategic Plan, Goal 7⁷, is the strategic direction for IT security. Agency security assessments and security policy development assures compliance with this goal. However, the planning of IT security is not evident as a strong focus in the IT Plans. In the FY15.

DFA DFA plan an E911 Program NG-911Security Policy development project in FY14.

EMNRD Each year the Information Technology Office (ITO) contracts to have an independent, in-depth security assessment performed that included networks, applications, web sites, processes, procedures, documentation, and employee security awareness. ITO has been pleased with the positive evaluations from these assessments, but will continue to make improvements in our security posture whenever possible.

RLD In June 2012 the New Mexico Regulation and Licensing Department (RLD) created a Chief Security Officer to develop and enforce the agency's cyber security policy.

STO During FY12, the Office of the State Treasure (STO) contracted with Caanes LLC to provide an IT Security Assessment of STO current environment including the STO DMZ and application hosting.

In previous years agencies submitted an IT Security Plan with their Annual IT Plan. The security plans provided the agencies current security structure and processes. Since security was handled in a separate document, security within the IT Plan became a check list. In FY14 the security checklist was removed, when the reporting sections were eliminated from the IT Plan.

Agencies must include IT Security as an intricate part of their planning process; a recommendation for FY15 is to bring security back into the IT Plan. The IT Plan will include the agencies objectives and initiatives to improve security posture; to include plans for security assessments.

⁶ <http://www.doit.state.nm.us/services.html>

⁷ GOAL 7: EFFECTIVELY SECURE IT ASSETS, DATA, AND SYSTEMS AND MITIGATE SYSTEMIC INFRASTRUCTURE RISKS.

6. Improvements in Revenue

The IT Plans provide insight to improvements in revenue for the State specified by AOC and TRD. Increase revenues should carry on to improvements for IT Planning.

AOC State budget predictions for FY2014 indicate that the State will slowly increase its revenues and will soon be able to resume investment in essential information technology services.

TRD In FY12, the price of oil and gas resources was higher than in the prior fiscal year and combined (tax and royalty) amounts rose 26% to \$1.72 billion.

B. Reduction of Data, Hardware and Software Redundancy

1. Enterprise Solutions

Within the IT Plans there are efforts to plan towards enterprise solutions through implementing new modules within the PeopleSoft SHARE system, multiagency initiatives and consortiums with partnering states as listed below:

CYFD CYFD has made significant progress towards a web-based enterprise system, the EPICS Master Project.

DOT Continued partnership with DoIT on multiple state level initiatives involving HR and Financial System upgrades and telecommunications initiatives are in process.

DPS Western Identification Network (WIN) for Automated Fingerprint Identification System (AFIS) as a service, seeks to help states identify individuals by providing a network where states can search and share fingerprints over a secure, reliable connection.

A Traffic Records Repository will eliminate duplication of work of other governmental agencies by developing interface control standards for distribution of traffic information to any agency that needs the information.

The N-DEX will facilitate information sharing between law enforcement agencies nationwide, improving officer safety.

MCMC The goals for MCMC are: interface completely with the State of New Mexico's SHARE system and be able to produce reports from both the SHARE system and the Centriq system; increase utilization of the software; go totally electronic with the EHR; and increase both patient safety and satisfaction.

NMHED NMSA 22-1-11 mandates the creation of P-20 longitudinal data warehouse and reporting system. The NMHED, with its partners, are in the early stages of building this data system. NMHED's intention is to include the Department of Workforce Solutions in a collaborative effort to produce a genuine P-20W school to career longitudinal data report system.

PED P20/W Statewide Longitudinal Data System (SLDS) – PED has partnered with the High Education Department on the P-20/W SLDS as required by HB70 to report on the 17 data points it poses as requisite information with which to enact more meaningful education reform.

PED has partnered with Michael & Susan Foundation on the development of the Education Data Dashboard (EDD).

SLO Supports the tri-agency technology plan of the ONGARD Service Center (OSC) and the specific program initiatives to stabilize and modernization ONGARD.

STO Configure and implement the PeopleSoft SHARE Treasury Management modules.

2. Virtualization

Virtualization within the State is an overall trend in enterprise IT within the agencies. Agencies continue to consolidate their systems into virtual environments as noted below:

CYFD The CYFD data center is targeted to complete virtualization in FY13. CYFD plans virtualization for the disaster recovery site in FY14.

DCA - VMWARE was implemented across the department in FY13 as a means of consolidating resources and improving management

DFA Continue the efforts towards virtualization and maintaining current service by upgrading and replacing old and obsolete equipment such as Equal Logic Drive Array, Power Connect Gig Switches, and Power Edge ESX host

GSD Invested in virtualization, network re-design, security improvements and enhancing software applications to support better business processes.

NMLD The NMLD back-end is a VMWare environment with Microsoft Windows servers, and the databases are Filemaker and MS SQL. NMLD anticipate increasing their server capacity modestly during FY 2014, with particular emphasis on ESX host capacity

SOS Awarded \$500,000 in emergency capital outlay funding in December 2011 to install a new high availability virtual server environment and to bring the network and software maintenance into compliance.

STO Implemented a clustered Hyper-V host environment and focused on server virtualization for both the STO site and hot-site locations.

3. Virtual Desktop

The State has begun initiatives towards desktop virtualization. The delivery of on-demand desktop for agencies users can provide continuity of operations for the agencies. However, this is new to the state and may be adopted by more agencies in years to come.

DCA In FY14 DCA will be looking at integrating virtual desktop infrastructure (VDI)

GSD *Conducting a study to identify how costs can be reduced through centralized virtual desktop services and printing services*

STO All desktops have been refreshed to Windows 7, 64 bit with automated deployments. Future desktop environment will be through a Virtual Desktop Infrastructure (VDI) environment

C. Improvement of System Interoperability and Data Accessibility among Agencies

1. Geospatial Information Technologies (GIT)

As listed below EMNRD, NMDGF, SLO and NMED have included geospatial in their plans. This demonstrates the State is working towards identifying and providing information produced by multiple sources in common interoperable data standards.

EMNRD Continued development and expansion of geospatial capabilities including both internal and external web maps.

NMDGF NMDGF will undertake Geo-Spatial Information System (GIS) development.

NMED Increasing the use of GIS maps to access data on the web.

SLO Implemented and designed a user editable Rights-of-Way geospatial database and workflow management system as a proof-of-concept to capture survey parcel location and metadata in GIS.

Implemented an ArcGIS for Mobile project on Trimble Yuma devices, allowing the agencies district resource management staff to work remotely in the field and automate data capture and synchronization with the agency's enterprise GIS servers.

Even though only a few agencies reference GIS in their IT Plans, many agencies are using GIT in various degrees to solve land based issues. At least six large agencies have established 'enterprise' systems, five agencies use in house resources to meet project demands and approximately eight agencies rely on contract services to support their business needs. The "GAC Membership List" shows who is participating; located at:

http://www.gac.state.nm.us/docs/gac_membership.pdf

2. Telecommunication

The State continues to improve telecommunications through different technologies. The states network engineers continue to transition from the ATM technology to MPLS. Other efforts include wireless networks and VOIP telephones. Yet, there are still agencies that have difficulty with their data connections.

NMLD NMLD systems for data exchange over the less-than-stable broadband available in rural New Mexico are both robust and mission critical. NMLD accomplish this through database synchronization when data connections are available.

NMSF Install a wireless wide area network throughout the Fair grounds.

Phase I of the installation of the AVAYA VOIP telephone is in place. New hardware, software and training have been implemented in several divisions.

PDD PDD anticipates to be fully transitioned over to the new MOE/MPLS DoIT network by mid-FY13.

3. Network - Active Directory

The State's network today includes both Macs and Window PCs; however the prevalent directory service environment within the State is Active Directory (AD). There still remain some agencies that have Novell environments; PDD plans to upgrade in FY13. Conversely, agencies with AD continue to upgrade their ADs and move forward with enhancing their networks.

GSD GSD will review the use of an Administrative Rights System to manage the provisioning of network logon accounts in Active Directory.

PDD FY13 PDD will transitioning from a Novell Netware platform to a Windows Server platform.

4. Paperless - Electronic Documents

Technology has come a long way and it is becoming easier to create electronic forms. The following agencies have addressed paperless initiatives in their IT Plans.

DFA The Board of Finance transitioned to electronic board meeting in 2008 and as a result allows the State and local bodies to save on printing, supplies, and mailing costs, while Board Members conveniently receive board documents electronically.

Purchase one Ultra Density Optical (UDO) Plasmon needed for DFA's Document Imaging Repository and Retrieval System.

EMNRD Redesigning and converting the OCD imaging processes to utilize industry standard PDF images.

GSD Through the implementation of an Electronic Document Management System for the Risk Management, GSD has made significant strides toward achieving its paperless environment.

GSD An area that GSD will focus on in FY14 is electronic credentialing systems.

MCMC The future plans are to add the Centriq Clinic, Emergency Department, and Long Term Care modules. These modules, along with all of the present modules, will move MCMC to a total electronic chart and being totally paperless.

The Miners' Colfax Medical Center Information Technology Group and the Clinical Information Systems Group just recently registered the Electronic Health Record (EHR) with the Center for Medicare and Medicaid Services (CMS) and attested and passed all of the Stage-1 Meaningful Use Guidelines. The federal government legislated that healthcare facilities have an EHR by the year 2011.

NMCD ITD is currently working with the Adult Prisons Division to identify a vendor who can provide inmate e-services such as inmate banking, commissary, secure email, MP3 music and video visitation for the offenders and their families

OSA In FY2012 OSA purchased a network based paperless audit software.

OSA The digital storage of all audit reports for the past five years and data storage associated with the paperless audit software the OSA implemented in FY2012 has become overwhelming for our current backup system.

PDD Collaboration with the District Attorney's (AODA), and the Courts (AOC) will help facilitate the process for a "paperless" law office. The PDD Case Defendant Management System (CDMS) database application has recently been modified, to lay the framework, for automated data sharing and modeling with other entities.

RLD During FY13 and FY14 RLD plans to expand the use of wireless inspections to other boards, such as Pharmacy and Funeral Services.

SRCA The top priority for the State Record Center and Archives (SRCA) in FYs 2013 and 2014 is the implementation of Phases II of the Centralized Electronic Records Repository (CERR), if fully funded. The CERR project is a multi-phase, multi-year project.

5. Mobile Device Apps

State government services are becoming increasingly portable as mobile devices and application become more readily available. In the IT Plans agencies are beginning to address these needs.

GSD GSD anticipates investing in more mobile devices and mobile apps to support our workers in the field as well as future investments in business intelligence, desktop virtualization and security.

GSD will be reviewing new, secure ways of allowing users to manage their own mobile devices, apps and desktops without giving up control of its systems and desktop standard configurations.

EMNRD Investigation of solutions for remote and mobile access for employees and system administrators to support laptops and other mobile devices including Android and Apple phones and tablets.

NMLB In the current planning period, NMLD foresees a shift from ToughBooks to tablets, and is outfitting their infrastructure accordingly. An iPad with a rugged case is approximately ¼ the cost of the current ToughBook client, so even with a potentially shorter lifecycle in their rugged end user environment, NMLD expects significant savings as they move in that direction.

6. Infrastructure

In alignment with Goal 3 of the State Strategic Plan⁸ agencies continue to address infrastructure to meet their business needs. As DoIT develops Infrastructure as a Service; a foundation will be built for developing Platform as a Service and Software as a Service. However, the agencies have only begun to appreciate DoIT as the department that has been designated as the enterprise infrastructure provider responsible for building and strengthening the enterprise infrastructure and related services.

DOH The current DOH infrastructure is in need of a strong gap analysis, as in many respects; it is at its end of life in both technology and architecture. DOH will invest in a deep assessment and needs analysis to create a plan for its infrastructure architecture over the next several years.

EMNRD Enhancements to Microsoft System Center Configuration Manager (SCCM) to provide improved systems management.

GCB The ITD maintains a gaming test lab to ensure that all gaming hardware and software submissions are in compliance with rules and statutes prior to being introduced to the field.

⁸ GOAL 3: IMPLEMENT AND MAINTAIN A HIGH QUALITY TECHNOLOGY INFRASTRUCTURE TO SERVE RESIDENT AND GOVERNMENT CLIENTS

- NMLB With approximately 60 inspectors in the field, all equipped with ToughBooks, printers, GPS readers and digital cameras, and another 20 employees in the office interacting throughout the day with our various databases and productivity tools.
- PDD Working closely with DoIT and the New Mexico Public Defender Department (PDD) is in the middle of several enterprise-level IT infrastructure upgrades.
- SOS Implanting further improvements to the network infrastructure including completing an independent security assessment.

7. Website Work

Today providing government services via the web has become a normal operation. The State is charged with providing better content and data. The State must keep up with changes in technology and build systems for interoperability. These continued efforts are reflected in the IT Plans listed below:

- DCA Other significant efforts will include streamlining collections management systems and improving web based access to online collections; improving web presence to reflect a department-wide re-branding and marketing plan; exploring mobile development and expanding wi-fi access for varied audiences;
- EMNRD Providing a new EMNRD web presence with the modernization of our public website and re-skinning of our public web applications;
- NMDGF NMDGF will undertake the following major IT activities: Web-based sales for all NMDGF license vendors; Dynamic content management for the public facing web portal
- NMED Providing access to more data through the web, particularly permitting data;
- NMTD In FY12 and continuing into FY13 NMTD completely redesigned the primary web site – Newmexico.org. NMMagazine.com will be redesigned in FY13. NMTD added a new web site NMIndustrypartners.org in FY12.
- PDD The PDD website will be enhanced to support the framework for a unification of business resources, to include: the department website, NMPDD Document Library, newly developed intranet, help desk portal, additional legal links and resources.
- RLD RLD created the underlying structure to house the RLD intranet site, utilizing Microsoft SharePoint 2010. In FY12 RLD created project websites on the intranet to serve as project repositories, storing in a central location all documents, schedules and announcements related to a given project.
- RLD will roll out in January 2013 a new web based Construction Tracking System (CTS) to streamline the business of issuing permits, performing inspections and conducting plan reviews.
- WCA The Management Information System (MIS) staff has successfully added many more new application programs in the .NET programming language. The newest finished project is the Electronic Mediation Calendar (EMC) which allows related parties (attorney, law staff, schedulers and adjustors) to reschedule mediations on-line through the WCA website.

8. Innovations

The information provided by the IT Plans is diverse and speaks to many facets of IT. Below are two agencies that have presented a new technology and an improved method of utilizing existing technology. For the future planning of IT a second forum should be scheduled for the continued efforts in collaboration of IT Leads and CIOs to meet as IT visionaries and plan and embrace IT innovations.

NMDCA Experimenting with new technologies through an innovative partnership with New Mexico Highlands University Media Arts Department, which has recently created a “museum classroom” at the New Mexico Museum of Natural & Science.

STO An ethnographic study was conducted by Wells Fargo Bank (state fiscal agent) that supported and expanded the use of dual monitor workstations and SharePoint services.

SECTION V

FY14 Agency IT Plan Strategic Goals

A. Agency IT Strategic Goals

In the review of the Agency IT Plans the table that was used for reporting the IT goals does not include components that are important to defining goals. The table layout does not include a place to provide objectives, strategies or initiatives for the goals. The table also requires budget and funding source to be listed. Agencies have difficulty provisioning budget to a specific goal.

In order to evaluate the agencies IT strategic goals, there are specific qualities that a goal should have which can be addressed with a common practice using the acronym SMART:

Specific: A business goal must be clear and unambiguous, and describe exactly what you are trying to achieve.

Measurable: The business goal has a specific outcome.

Attainable: The goal can be somewhat of a "stretch" goal, but it must be a goal that can be achieved.

Relevant: The goal must be consistent with the Agency Mission and Vision

Time-based: The goal must have a specific end date.

A recommendation for FY15 is to review the table, update to include objectives strategies, and initiatives. Additionally, build the SMART mnemonic into the guidelines.

1. IT Goals - Specific

At most all agencies IT goals are clear and describe exactly what the agency plans to achieve. The majority of the agencies have one to two goals. Below are the agencies number-one listed goals:

ALTSD	Improve client access to services by integrated IT system(s) development and distribution of publicity materials
AOC	Rollout of the Odyssey Case Management Application, Statewide
BON	Initial Licensure Online; MyLicense eGov is a browser-based online licensing application that is currently being used to offer online renewals for BON
CYFD	Implement an enterprise web-based system to consolidate services, streamline CYFD business and improve delivery of services to clients
DFA	Purchase a replacement EqualLogic Drive Array for DFA's Virtual Server Network Environment
DHSEM	Improve Network and Computer Security
DMA	Assist with the consolidation and virtualization of file and data servers and the continued implementation of a storage area network (SAN)
DOH	Build a reliable information technology infrastructure that supports current and future requirements such as electronic medical/health records and health information exchange

DoIT	Efficient Delivery of High Quality Government Services That Will Benefit Constituents And Support Economic Development
DOT	Project Planning/Contract Review - All projects will be planned with a clear scope and deliverables as well as cost and deadlines prior to entering into contractual agreements
DPS	Provide accurate, complete and timely information to New Mexico law enforcement and criminal justice agencies to assist them in providing justice services to the citizens of New Mexico
DVR	Improve direct service delivery to people with disabilities - Improve Case Management / Service Delivery to clients
EDD	Leverage existing IT resources by consolidating and/or refreshing equipment and partnering with the Department of Information Technology, where appropriate, to improve IT service delivery to EDD
EMNRD	To streamline operations and to increase staff productivity by refining EMNRD business processes and technical infrastructure through continuous process improvement
ERB	Upgrade IRIS Application from PowerBuilder to JAVA
GCB	Maximize effectiveness of agency personnel
GSD	Sustainable Practice – GSD will strive to incorporate principles of sustainability into each of its business decisions
HSD	Improve ITD service, processes and relationships to increase customer satisfaction
NMCD	Create and maintain strong information technology tools and systems to support agency staff and promote agency efficiency and accountability and to provide and promote public safety to the citizens of New Mexico
NMDGF	The NMDGF IT operations will meet DoIT approved IT Plan performance metrics through 2018
NMDWS	Expand and refine reemployment services for New Mexico constituents and businesses
NMED	Consolidate IT runtime platforms and services
NMHED	Support for NMSA 22-1-11 establishing and maintaining a longitudinal database system to track student and institutional performance into the workforce
NMLB	Provide an integrated set of workflow automation, data capture and reporting tools for all aspects of the inspector job function, including livestock inspection, law enforcement and animal welfare functions
NMRHCA	Meeting the HIPAA new 5010 requirement
NMSF	Infrastructure Upgrade
NMTD	Enhance the networking and computing infrastructure within the Tourism Department to maximize the reliability and efficiency of internal processing
MCMC	Complete Phase I of the Electronic Health Record Project
OSA	Upgrade network infrastructure and hardware

OSE/ISC	Innovate to Make Agency Operations More Efficient and Deliver Better Services to Constituents
PDD	Implement an E-Discovery paperless system to exchange discovery with DA's
PED	Provide an appropriate infrastructure to sustain current business operations, address new business initiatives, and advanced the PED strategic issues
PERA	Replace board and financial documents imaging system servers
PRC	Provide the Corporations Bureau with a web based solution for electronic Data Capture of Documents in order to improve constituent services and to enhance the Corporations Bureau processing methodology
RLD	Increase the percentage of online license renewals and streamline licensing processes through the use of information technology
SIC	Provide a reliable and strong foundation for IT security, reliability, network performance, support, and manageability
SLO	Surface Leasing and Land Information Management System
SRCA	Manage, preserve and provide access to records and information
SOS	Replace and/or consolidate existing end of life and legacy IT resources to improve It service delivery to SOS and constituents
SPO	Develop and implement a system to store employee personnel files in digital format
STO	Strategically align STOs' accounting processes and controls with DFA and integrate directly into SHARE while reducing the life cycle cost of the accounting system and processes to increase reporting capabilities
TRD	Improve the perception and the service to people in need of motor vehicle services
WCA	Ensure the IT organization and technology are aligned with the Agency's goals and objectives throughout the entire cycle of innovation, planning and delivery

2. IT Goals - Measurable

The outcomes that were tied to the agencies IT goals are the core of the planning document. The outcomes list specific tasks the agencies plan to complete within the next few years. An agency can go directly to their goal's outcomes within their IT Plans and follow the list of what they proposed to buy, build, or improve in IT. However, there is limited information that is included in the outcome. How the agency plans to achieve that outcome is not reflected. A recommendation for the FY15 IT Plans is; review the outcomes portion of the goals table and provide a place for the agencies to provide more information on how they plan to complete the outcome. The IT Plans provide the WHAT, yet the HOW is missing.

3. IT Goals - Attainable

The structure of the IT Plans does not provide a place for the agency to demonstrate how they can achieve their goals. With recommended modifications to add goal objectives and strategies to the FY15 Agency IT Plan, agencies will be able to provide in what manner they plan to achieve their goals.

4. IT Goals - Relevant

The provision of relevance of an agency IT goal is accomplished by the requirement to align the FY14 Agency IT Plans goals with the Agency Strategic Goals and the State Strategic Goals. All agencies did well in meeting this requirement.

5. IT Goals – Time-based

The FY14 structure of the goals within the IT Plans did not require a specific end date. The only reference to a date was that agencies entered budget for FY13 and FY14. An IT goal should have a specific date in which an agency plans to meet or complete a goal. While there are continuous goals, the time specific goals should include a date. The recommendation for FY15 is to add dates to the goals.

SECTION VI

FY14 Agency IT Plans Alignment with State Strategic Plan

In alignment with Goal 2 of the NM IT Strategic Plan FY2014-FY2016⁹ the Agency IT Plans were structured with a common framework for a statewide enterprise approach for IT Planning. The first initiative of Goal 2 contains a list of Agency Planning Inputs. In the review of the IT Plans the analysis of the inputs is detailed in this section. The inputs are as follows:

- 1) Agency Context for IT Infrastructure and Operations
- 2) Plans for Legacy and New Agency Applications
- 3) Management of IT Assets including Refreshment Cycles
- 4) IT Human Resource Management
- 5) Improvements in Business Alignment and IT Management Areas
- 6) Adjustments to Current Projects
- 7) New Business Requirements or Government Program Initiatives
- 8) Planned Facility Improvements or Upgrades

A. Agency Context for IT Infrastructure and Operations

Per the State Strategic Plan the agency context includes: Agency mission; Agency business drivers; Agency strategic initiatives; Agency performance measures; and Agency description of IT services. Below are recommendations for the FY15 IT Plans for the performance measures and description of IT services.

1. FY14 Agency IT Plans – Performance Measures

Where agencies have developed specific IT performance measures to address their business drivers; the majority of the agencies have three repeated performance measures:

- 1) Percent of total scheduled time the network is available to department users.
- 2) Percent of total scheduled time mission critical servers are available to department users.
- 3) Percent of total scheduled time mission critical applications are available to department users.

It appears these measures were the initial performance measures for IT and for some agencies remain unchanged. The question is: do these performance measures provide a good representation of the true performance and progress of IT. A recommendation may be to DFA and LFC to consider agencies that only have the three performance measures noted above reassess their measures for FY15.

2. FY14 Agency IT Plans – Description of IT Services

The majority of the Agency IT Plans provide a common list of IT Services: network, application, database, server, desktop, web, training, and helpdesk support. However, IT security only appears on a few lists. A recommendation for the FY15 guidelines would be to bring IT security

⁹ GOAL 2: IMPROVE SUPPORT FOR ALL STATE AGENCY INFORMATION TECHNOLOGY PROGRAMS.

to the forefront and guide agencies to include IT Security as an intricate part of their planning process.

B. Plans for Legacy and New Agency Applications

Applications that provide state services continue to improve. There was a large movement within state agencies to update their Client Server Environments to Service Oriented Architectures. Some agencies continue to work through the process and have addressed this initiative through a phase approach. Having a web front end also provides ease of administration and deployment. Many agencies require multiple years to complete their upgrades and plan to continue the process into FY14.

DFA Convert existing BRSSs, BRS, PBB, and contracts MS access database programs to a .Net Program (Currently there is no funding request for this project)

GSD GSD is in the process of moving toward a practice of Agile software development. Agile methods are based on iterative and incremental development, where requirements and solutions evolve through collaboration between self-organizing and cross-functional teams.

NMCD To further ensure safety and reduce violence, NMCD will be implementing an enhanced inspection system. The new web-based system, referred to as GAR (Green, Amber, Red), allows for real-time automated tracking of inspections.

NMDGF Decommission legacy Oracle database and application servers.

NMHED NMHED has redesigned their Data Editing and Reporting System (DEAR), now named eDEAR. This data collection system is integral to the funding of New Mexico higher education institutions and a critical component for the P-20W longitudinal data system.

PED Student Teacher Accountability and Reporting System (STARS) and Online Budget Management System (OBMS) – OBMS is currently undergoing enhancements and IT Division plan to evaluate the feasibility of integrating data with STARS.

C. IT Human Resource Management

The majority of the FY14 IT Plans listed staffing gaps. The most common positions are:

Application Developer / Systems Analyst;
Business Analyst;
Cyber Security;
Database Administration – Oracle, DB2, and SQL Server;
Network Engineer;
Project Manager;
Share Point Administrator;
VMware Administrator;
Webmaster; and
Windows Server Administrator

D. Improvements in Business Alignment and IT Management Areas

Per the State Strategic Plan the alignments include: applications portfolio management; project portfolio management; vendor management; software development management; service management/operations support; and IT fiscal and budget management. The IT Plan that stands out in their efforts on improving IT Management is the Office of State Engineer with the work they are doing with Process Management and Performance Improvement.

- OSE - Goal-3 Enable Business Process Management and Performance Improvement using State of the Art Information Technology
- Outcome 1 - Key business processes identified and prioritized to target future implementation of business process management software and management techniques
 - Outcome 2 - Implemented enhancements to legacy business applications that support high priority business needs

E. Adjustments to Current Projects

The guidelines and template for the IT Plans included a place to report projects for the current and upcoming year and initiatives for the current and upcoming year. In the review of the IT Plans the agencies repeated the same information in the initiatives, in the project section. There also appeared to be an unclear definition of what an initiative is and what a project is. The recommendation for the FY15 IT Plans is to make it simple. Agencies should report: Accomplishments for the previous year FY13; Projects for the current year FY14; and Initiatives for the upcoming year FY15. Projects for FY14 may be multiyear projects that started in a prior year or extend to future years. A project will have an established funding source, schedule and defined scope. An initiative is a strategic direction and is in the first step of action. An initiative may develop into multiple projects. The guidelines for FY15 should make a clear distinction between projects and initiatives.

An additional observation of the IT Plans is agencies are mindful of the data they share however; there are limited multiagency initiatives and projects. In the upcoming years there may be opportunities for agencies to assess where their data is shared and consider enterprise solutions.

Per the State Strategic Plan the annual reviews of projects includes a current project inventory. The agency projects reported for FY13 and FY14 are listed below:

FY13 Projects:

- AOC Odyssey Rollout – Statewide Case Management application system renewal
- BON Update Network Environment; Microphones and Video Conferencing in Board Rooms; and Update Virtual Environment
- CYFD EPICS Phase 1 Provide Management and EPICS Phase 2 Client Management
- DCA Polaris Library System
- DHSEM MB3 Public Assistance Tracking System
- DOH NM Statewide Immunization Information - System (NMSIIS) Interoperability and Background Check
- DoIT SIRCITS BTOP Grant; SBI Grant; Trusted Network; SHARE DR/Re-Platform; SHARE Financial 9.2 Upgrade ; SHARE AR DoIT; SHARE AR CYFD; 2-way Radio Narrow Banding; Data Center Overhead Power; Core

Equipment Replacement; DoIT Billing System; Fixed Assets Tracking; IAAS Cloud Computing; States Second Data Center; Gap Analysis of Microwave Radio; and WAN circuits at DPS

DOT Autodesk CAD Upgrade

DWS Q1 Security Monitoring; Mirror Data Center; and SIDES

EDD Implement an Enterprise tape and disk backup system purchased in FY12; Implement a software based log file manager purchased in FY12; Precede with user hardware/software upgrades at a rate of 1/3 per year and evaluate the DoIT wireless program for the File Division

ERB IRIS Application Upgrade

GCB Maintain AEGIS

GSD e-Bid and Contract Management Systems

HSD ISD2 Replacement System (ASPEN); Health Insurance Exchange (HIX); CSES CA Gen Upgrade and MMIS Enhancements

MCMC Centriq Conversion; Omnicell Pharmacy Carts; and Centriq Clinic, ED and LTC

NMCD CMIS Upgrade

NMLB Law Enforcement Application

NMRHCA REBIS Upgrade and Enhancement Project

NMSF Wireless Project and Fiber Project

OSE Water Rights Business Process and Process Management System

PED Administrative Training Review; Direct Certification and K-3 Formative Assessment

PERA RIO Upgrade

PRC e-IDEAL Phase I

RLD Implement Microsoft SCCM; Complete DR Data Replication; Las Cruces 10 Mbps QMOE and Expand RLD Call Center

SLO Land Information Management Systems – Planning and Land Information Management Systems – Implementation

SOS SOSKB Business requirement Study; Infrastructure Enhancements and CFIS Enhancements

SRCA CERR

TRD DMS, GenTax Upgrade; DRIVE MVD and ONGARD Stabilization

WCA WCA will continue modifying the application program from character basis to an up-to-date .NET programs

FY14 Projects:

<u>BON</u>	Initial License Applications Online
<u>CYFD</u> <u>DOH</u>	EPICS Phase 2 Client Management and EPICS Phase 3 Service Management Network Infrastructure upgrade/remediation project
<u>DoIT</u>	SHARE HCM 9.2 Upgrade; SHARE Full Treasury and Deal Management; SHARE Budget Preparation; SIRCITS BTOP Grant; SBI Grant; State Geospatial Program; Tribal Liaison; Wireless System; Cost Center Replacement; Virtual Services; Data Center Overhead Power; Radio Replacement and Enterprise Wireless System
<u>DOT</u>	Records Micro Com Initiative and Records/Form Software
<u>DPS</u>	RMS-CAD; Western Identification Network – WIN (AFIS replacement); Satellite; CJIS (CCH); Traffic Records Repository; Court Integration (Planning Phase); Fast ID and N-DEx: Law Enforcement National Data Exchange
<u>DWS</u>	TOPS; WOTC; Apprenticeship and PWAT
<u>GCB</u>	Replacement of CMS and the IdPoint Licensing System
<u>GSD</u>	SHARE Benefits/COBRA; e-Procurement/Contracts Management; Risk Management Information System; AiM Mobile Workforce and McDAT Medical Claims Data Analysis
<u>HSD</u>	CA Gen Upgrade; MMIS Replacement Planning and CSES Replacement System
<u>MCMC</u>	Stage-3 Meaningful Use and ICD-10 Project
<u>PED</u>	STARS/OBMS Enhancements; SNB Direct Certification and K-3 Formative Assessment
<u>PRC</u>	e-IDEAL Phase II
<u>RLD</u>	CID Compliance System
<u>SIC</u>	Business Continuity Plan and work with DoIT Disaster Recovery Hot Site
<u>SLO</u>	ONGARD Modernization and Stabilization System
<u>SRCA</u>	CERR Phase II and Phase III
<u>STO</u>	Treasury Management System
<u>TRD</u>	DMS, GenTax Completed and DRIVE MVD

F. New Business Requirements or Government Program Initiatives

Among the sources of new requirements are: federal or State initiatives or regulatory compliance changes; statutory mandates; opportunities for productivity improvements or citizen service level performance enhancements; and collaboration opportunities with other state entities. Listed below are changes in federal and state requirements in the IT Plans.

<u>ALTSD</u>	Federal Health Care Reform and Elder Justice Act
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- BON SB14 Data Collection - Collect data regarding demographics, specialties, and professions in the state's health care work force
- DHSEM Narrow Banding Requirements for Public Safety Land Mobile Radio
- DoIT Recipient of a \$38M grant to complete the upgrade of 68 Digital Micro Wave (DMW) sites
- DOT MAP21, new FHWA Appropriations Legislation requires Asset Management
- DWS Unemployment Insurance (UI) Benefit Extensions, Benefit Rate Changes and State/Federal Contribution Ratios
- ERB HB628 – Temporary one year 1.75% swap of contributions from the employer to the employee
- HSD Internal Classification of Diseases, 10th Revision, Clinical Modification (ICD-10-CM) and Health Care Reform
- MCMC Health Insurance Portability and Accountability Act (HIPAA); American Recovery and Reinvestment Act of 2009 (ARRA); Certified Commission for Healthcare Information Technology (CCHIT)
- NMDGF Senate Bill 196 – Required numerous licensing, draw and fee structure changes
- NMED USEPA CROMERR Cross Media Electronic Reporting Regulation (CROMERR; Title 40 CRF Part 3) and USEPA CDX Central Data Exchange
- NMHED NMSA 22-1-11 – Statewide Longitudinal Data System (SLDS)
- NMRHCA HIPAA 5010 Compliance
- PED HB70, P20/W – Formally established the “Data System Council” chaired by the cabinet
- SOS Constitutional Amendment #3 Regulations of corporations will be moved from the Public Regulation Commission to the Secretary of State's Office

G. Planned Facility Improvements or Upgrades

In compliance with the State's IT Resource Optimization direction, the FY14 IT Plan Guidelines recommend agencies include data center upgrades in their IT Plans. Only a few IT Plans contained data center information. Where CYFD and DHSEAM had goals related to their data centers, DoIT had the only data center performance measure and other than DoIT, DWS had the only data center related projects for FY14. The premise may be that agencies are looking towards an enterprise solution for data center services.

- CYFD Goal 4: Improve data center environment and networking to support CYFD IT services
- DHSEM Goal 1, Outcome 5: Enhance HVAC capabilities within the NMASIC Secure data center
- DoIT Performance Measure: Number of enterprise data systems with established disaster recovery or business continuity presence at the secondary data center
Projects: Data Center Overhead Power and States Second Data Center
- DPS ITD oversee a 1,400 square foot data center housing mission critical servers as well as business applications
- DWS Project: Mirror Data Center

SECTION VII

FY15 Agency IT Plan Observations and Recommendations

The review and analysis of the IT Plans lend to observations and recommendations for improvement on the plans and process. These observations and recommendations listed below are mentioned throughout this report and are not in any particular order or priority.

1. Previously the guidelines were release in June. Agencies voiced that they require more time to prepare their plans. This change will provide the agencies an additional month for preparation.

Recommendation-1: DoIT release the guidelines for the FY15 Agency IT Plans by the end of April 2013.

2. The IT Plans goals table does not include all the components that are important to defining goals. The objectives, strategies, and initiatives related to the goals are not included. The table does not require a date for completion of the goal. The table also requires budget and funding source to be listed; this should not be the place for reporting funding. The agencies should provide how and by when they plan to achieve their goals. A table metric may not be the best method for defining goals.

Recommendation-2: DoIT review the goals table layout for the IT Plans and update the guidelines and template to include objectives, strategies and initiatives.

3. The outcomes that are tied to the agencies IT goals are the core of the planning document. The outcomes list specific tasks that the agencies plan to complete within the next few years. An agency can follow the list of outcomes and know what they proposed to buy, build, or improve in IT.

Recommendation-3: DoIT review the outcomes portion of the goals table and provide a place for the agencies to provide more information on how they plan to achieve the outcomes.

4. It appears three generic measures were the initial performance measures for IT and for some agencies remain unchanged. The question is: do these performance measures provide a good representation of the true performance and progress of IT.

Recommendation-4: DFA and LFC consider agencies revisit their performance measures that have the following three performance measures: 1) Percent of total scheduled time the network is available to department users; 2) Percent of total scheduled time mission critical servers are available to department users and 3) Percent of total scheduled time mission critical applications are available to department users. Agencies may then modify the measure or add new measures to address their business drivers.

5. The IT Plans provide a common list of IT Services: network, application, database, server, desktop, web, training, and helpdesk support. Though, IT security only appears on a few IT Plans as a service.

Recommendation-5: DoIT modified the FY15 guidelines to bring IT security to the forefront and direct agencies to include IT Security as an intricate part of their planning process; to include plans for Security Assessments.

6. In the review of the IT Plans the agencies repeated the same information for initiatives and for projects. There also appeared to be an unclear definition of what an initiative is and what a project is. For clarity the projects for FY14 may be multiyear projects that started in a prior year or extends to future years. A project will have an established funding source, schedule and defined scope. An initiative is in the preliminary phase of a project or could develop into multiple projects.

Recommendation-6: DoIT modify the FY15 guidelines to make a clear distinction between project and initiatives. The agencies will report:

- Accomplishments for the previous year FY13;
- Projects for the current year FY14; and
- Initiatives for the upcoming year FY15.

7. In order to evaluate the agencies IT strategic goals, there are specific qualities that a goal should have which can be addressed with a common practice using the acronym SMART.

Recommendation-7: A recommendation for FY15 is to build the SMART mnemonic into the guidelines:

Specific: A business goal must be clear and unambiguous, and describe exactly what you are trying to achieve.

Measurable: The business goal has a specific outcome.

Attainable: The goal can be somewhat of a “stretch” goal, but it must be a goal that can be achieved.

Relevant: The goal must be consistent with the Agency Mission and Vision

Time-based: The goal must have a specific end date.