Mental Health Services Act (MHSA)
Technological Needs Project Proposal
Three-Year Program and Expenditure Plan

Santa Barbara County
Department of Alcohol, Drug and Mental Health Services
300 N. San Antonio Road, Bldg 3
Santa Barbara, CA 93110
(805) 681-5220

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TABLE OF CONTENTS

Executive Summary	3
Exhibit 1 - Project Proposal Face Sheet	6
Exhibit 2 - Component Proposal Narrative/Technological Needs Assessment	8
County Technology Strategic Plan	10
Technological Needs Roadmap	16
County Personnel Analysis	22
Exhibit 3 - Technological Needs Project Proposal Description	23
Exhibit 4 - Budget Summary	43
Exhibit 5 - Stakeholder Participation	54
Appendix A - Project Risk Assessment	55

Executive Summary

In November 2004, California voters approved Proposition 63, the Mental Health Services Act (MHSA), intended to expand and enhance community mental health services throughout California. MHSA has six separate components: Community Services and Support (CSS), Housing, Prevention and Early Intervention (PEI), Innovations, Capital Facilities and Technology, and Workforce Education and Training (WET).

The Capital Facilities and Technology funds are to be used to support community-based integrated service experiences for clients and their family members, consistent with the county's CSS plan. The technology component may be used to develop county technology systems that are accessible, interoperable, comprehensive information networks that can facilitate the highest quality, cost-effective services and supports for consumer and family wellness, recovery and resiliency and can securely capture, exchange, and use information.

Community Planning Process

Santa Barbara County's public planning process for the Mental Health Services Act, Technology Needs Project has been ongoing since June of 2007. Following the principles outlined in the Act, planning extended out to the community in a significant effort to be inclusive and representative of mental health stakeholders.

In order to develop a plan that represented the desires and needs of the Santa Barbara community, a series of meetings at various locations throughout Santa Barbara County were held. The meetings informed stakeholders of the MHSA and Technology Guidelines and requested their feedback for the integrated information system plan. Santa Barbara County held over fifteen stakeholder meetings with the inclusion of community based organizations, consumers and family members, medical and mental health providers, the Latino Advisory Committee, the Consumer and Family Member Advisory Committee, County Chief Executive Office, and the Mental Health Commission in order to understand the technological needs of the stakeholders. Furthermore, a web based survey was conducted to gather additional information.

The planning process and the plan development included five main goals:

Goal 1: Provide consumers and providers of mental health services with secure, convenient, accessible and timely access to accurate information necessary to the delivery of mental health services in Santa Barbara County.

Goal 2: Provide information systems and applications that are user-friendly, electronic, accessible, comprehensive and integrated.

Goal 3: Ensure that information will be available for a wide variety of decision making to all interested stakeholders including consumers, families, providers and administrators.

Goal 4: Invest in information technology that results, where possible, in the reduction of cost, waste and duplication of efforts.

<u>Goal 5</u>: Ensure that MIS staff are provided with the resources, tools and training that enable them to work collaboratively to provide the Mental Health Department with the highest quality customer service and support.

MHSA Technology Projects

The following Technology Needs Projects are designed to enhance access to technology and empower for consumers in the community; modernize and transform current Electronic Health Record (EHR) capabilities in Santa Barbara County, and create a secure, confidential, and reliable system in which to house the thousands of Alcohol, Drug, and Mental Health Services (ADMHS) electronic health records.

Project 1 - Consumer Access to Computer Resources Project

The Consumer Access to Computer Resources Project will provide consumer focused training and access to technology in each of the three primary population centers in Santa Barbara County, Santa Barbara, Santa Maria, and Lompoc. Access is intended to promote wellness, recovery, and resiliency of consumers. In addition, video conferencing capabilities will increase access to meetings for individuals including consumers throughout the County.

Consumers will have access to computer resources and tools to gather information, research mental health conditions, gain knowledge to become a well-informed and active partner in their own treatment. Training resources will be made available to promote the well-being of consumers by enabling them to acquire skills that improve their opportunities for education and gainful employment. On-line surveys and program needs assessments will allow for timely feedback about mental health services and increased involvement by consumers.

The computers will be housed and maintained at regional computer resource sites, located either with ADMHS or contracted provider facilities, in the major population areas in the County. Computer training courses will be offered by qualified trainers who will assist consumers to move toward technological independence. There are currently no established computers training classes, access, or empowerment programs for consumers in the County.

In addition, videoconference capability will make participation in meetings by consumers, service providers, and staff more available in regional areas of the county. The ADMHS website will be enhanced to include useful consumer information and links to internet resources. Consumer interns will be employed and trained to provide technical assistance and training support at the computer resource sites. Technology will support multi-agency collaboration and conferencing with consumers.

Project 2 - Electronic Health Records Enhancement Project

The Electronic Health Records (EHR) Enhancement Project will expand and build on the currently operational Integrated Information System at Santa Barbara County ADMHS. The project will create system-wide access to clinical, administrative and financial information in digital format; staff will be trained to access and record accurate and timely data. The project will allow for the capture of digital information and eventual elimination of a paper-based system.

The EHR Project will enhance the current Integrated Information Systems Infrastructure; current imaging capacity will be expanded to meet increased demand. Additional digital capacity will include lab orders and results viewing, electronic forms and management, electronic signature capture, progress note and treatment plan maintenance and review, and medication management. The Psychiatric Health Facility, a paper-only records system, will be converted to a digital format allowing for immediate access and integration of client records into the entire system. The increased capacity will enable the Department and business partners across the service delivery system to have appropriate and secure access to client records. In addition, these enhancements will increase the gathering and reporting of outcomes data for improved program monitoring and outcomes tracking.

Project 3 - Consumer Security and Confidentiality Project

The Consumer Security and Confidentiality Project will expand and build on the security efforts currently in place at ADMHS. The security standards will match other Santa Barbara County Departments in their effort to meet the state-mandated requirements. The project will facilitate secure system-wide access to clinical and administrative information, ensure the security of data, and reduce the risk of potential identity theft. The project will provide access to the consumer health data system and improve continuity of care on a daily basis and in case of an emergency. This improved system will aid staff in performing consumer benefit and insurance related support and demographic information gathering, enhancing patient access to services to which they are entitled. Database and e-mail encryption technology will protect consumer records and increase the security of the entire computer system. In addition, it will guarantee access to state supplied Protected Health Information (which will be eliminated if the current system is not brought to state-mandated compliance levels). Hardware and software licenses will be purchased in order to bring the Department up to the required standards.

Distribution of Funds

Project 1: Consumer Access to Computer Resources Project $704,600
Project 2: EHR Enhancement Project $1,947,200
Project 3: Consumer Security and Confidentiality Project $1,765,468
Administrative costs associated with all three projects $616,332

Approval Process

MHSA staff developed the Technology Needs Plan and submitted the document for the internal review process. The proposal was forwarded to stakeholders and posted for community review during the thirty-day public comment period (Dec 14, 2009 – Jan 13, 2010). A copy of the draft proposal was posted on the Santa Barbara County MHSA website and available by mail at no-charge upon request. Feedback was gathered, summarized, and included in the plan submitted for approval to the Mental Health Commission.

Summary

Through an extensive stakeholder process and technology needs assessment, Santa Barbara County identified the needs of consumers, family members, mental health providers, and incorporated state and federal mandates. Three main projects were developed to provide access and training to computers at local and consumer-accessible sites; convert all client records into a secure electronic format ensuring accuracy and access at all times; and to enhance and secure the current mental health records management systems.

Component Exhibit 1

Capital Facilities and Technological Needs Face Sheet

MENTAL HEALTH SERVICES ACT (MHSA)
THREE-YEAR PROGRAM and EXPENDITURE PLAN
CAPITAL FACILITIES and TECHNOLOGICAL NEEDS COMPONENT
PROPOSAL

County: Santa Barbara Date: Dec 11, 2009

County Mental Health Director:

Printed Name: Ann Detrick, PhD.

Signature:

Date:

Mailing Address: 300 N. San Antonio Rd.,
Building 3

City Santa Barbara State California Zip code: 93110

Phone Number: +1 (805) 681-5220 Fax: +1 (805) 681-5262

Email: adetrick@co.santa-barbara.ca.us

Contact Person: Dana Fahey

Phone: +1 (805) 681-5227 Fax: +1 (805) 681-5222

Email: dfahey@co.santa-barbara.ca.us

Component Exhibit 1 (continued)

COUNTY CERTIFICATION

I hereby certify that I am the official responsible for the administration of Community Mental Health Services in and for Santa Barbara County and that the following are true and correct:

This Component Proposal is consistent with the Mental Health Services Act.

This Capital Facilities and Technological Needs Component Proposal is consistent with and supportive of the standards set forth in Title 9, California Code of Regulations (CCR) Section 3320.

The County certifies that if proposing technological needs project(s), the Technological Needs Assessment, including the Roadmap for moving toward an Integrated Information Systems Infrastructure, will be submitted with the first Technological Needs Project Proposal.

This Component Proposal has been developed with the participation of stakeholders, in accordance with Title 9, CCR Sections 3300, 3310, and 3315, and with the participation of the public and our contract service providers. The draft local Capital Facilities and Technological Needs Component Proposal was circulated for 30 days to stakeholders for review and comment and a public hearing was held by the local mental health board. All input has been considered, with adjustments made, as appropriate.

Mental Health Services Act funds are and will be used in compliance with Title 9, CCR Section 3410, Non-Supplant.

All documents in the attached Component Proposal for Capital Facilities and Technological Needs are true and correct.

Date: _____

Local Mental Health Director's Signature: _____

Executed at: _____

Component Exhibit 2

COMPONENT PROPOSAL NARRATIVE

County Santa Barbara

1. Framework and Goal Support

Briefly describe: 1) how the County plans to use Capital Facilities and/or Technological Needs Component funds to support the programs, services and goals implemented through the MHSA, and 2) how you derived the proposed distribution of funds below.

Proposed distribution of funds:

Capital Facilities	$ 0	or	0	%
Technological Needs	$ 5,033,000	or	100	%

1) The Technology Needs Component funds are designed to create additional access to technology and empowerment for consumers in the community; modernize and transform current Electronic Health Record (EHR) capabilities in Santa Barbara County, and create a secure, confidential, and reliable system in which to house the thousands of ADMHS electronic health records.

2) Santa Barbara County ADMHS determined the proposed distributions of funds by assessing the needs of consumers and stakeholders in the county. The department then determined how best those needs would be met and what would provide the best ongoing operational return for the funds expended.

2. Stakeholder Involvement

Provide a description of stakeholder involvement in identification of the County's Capital Facilities and/or Technological Needs Component priorities along with a short summary of the Community Program Planning Process and any substantive recommendations and/or changes as a result of the stakeholder process.

Santa Barbara County's public planning process for the Mental Health Services Act, Technology Needs Project started in June of 2007 and has continued throughout the planning process. Following the principles outlined in the Act, planning extended out to the community in a significant effort to be inclusive and representative of mental health stakeholders.

In order to develop a plan that represented the desires and needs of the Santa Barbara community, a series of meetings at various locations throughout Santa Barbara County were held. The meetings informed stakeholders of the MHSA and Technology Guidelines and requested their feedback for the integrated information system plan. Santa Barbara County held over fifteen stakeholder meetings with the inclusion of community based organizations, consumers and family members, medical and mental health providers, the Latino Advisory Committee, the Consumer and Family Advisory Committee, Chief Executive Office, and the Mental Health Commission in order to understand the technological needs of the stakeholders. Furthermore, a web based survey was conducted to gather additional information.

The planning process and the plan development included five main goals:

1. To provide consumer and mental health providers secure, convenient, accessible, and timely access to accurate information.
2. All elements of the information systems and applications are user-friendly, electronic, accessible, comprehensive, and integrated.

3. Appropriate collected information will be available for a wide variety of decision making.
4. Information technology investments result, where possible, in the reduction of cost, waste and duplication of efforts.
5. Ensure that MIS staff are provided with the resources, tools and training that enable them to work collaboratively to provide the Mental Health Department with the highest quality customer service and support.

EXHIBIT 2 - TECHNOLOGICAL NEEDS ASSESSMENT

1. County Technology Strategic Plan Template – Current Technology Assessment:

1.1) Systems overview:

List the hardware and software inventory to support current systems:

- Clinicians Gateway Electronic Health Record (EHR) which currently includes clinician progress notes, assessments and treatment plans. Linked via HL7 to RxNT.
- RxNT electronic prescribing – Web based solution linked via HL7 to Clinicians Gateway.
- ShareCare – practice management system providing billing and Consumer and Service Information (CSI) reporting.

1.2) Hardware:

Server function	How many ?	Hardware	Average Age of Servers	Operating System
Web Servers	4	Proliant DL380	3 years +	Windows 2003R2
Database Servers	4	Proliant DL380	3 years +	Windows 2003R2
Application Servers	2	Proliant DL380	3 years +	Windows 2003R2
Virtual Servers	1	Proliant DL380	1 year	ESX VMWare
Other	2	Proliant DL380	3 years +	Windows 2003R2

1.3) **Software**:

Software product	Initial Cost	Approx. Maintenance Cost
Echo – ShareCare	$492,000	$150,000
SPSS	$15,000	$1,050
Backup Exec	$3,000	$1,500
Clinicians Gateway	$350,000	$ 88,000
AccuCare	N/A	$15,000
Dameware	N/A	$80
TrackIt	$1,000	$1,000
MS Office Suite.	N/A	$95,000

1.4) Support (i.e. maintenance and/or technical support agreements):

All software products are maintained by ADMHS.

- Support for ShareCare is provided by ECHO Management Group, Inc.
- Support for RxNT is provided by RxNT, Inc.
- Support for Clinicians Gateway is provided by Krassons, Inc.

All network, hardware and telecommunications equipment is maintained by Santa Barbara County Information Technology Division (ITD).

- All support for desktop hardware is provided by ADMHS staff.
- ShareCare servers are supported by ADMHS and ECHO staff.

1.5) Plan to achieve an Integrated Information Systems Infrastructure (IISI) to support MHSA Services:

Describe how your Technological Needs Project associated with the Integrated Information System Infrastructure will accomplish the goals of the County MHSA Three-year Plan:

As described in Exhibit 3, Technological Needs Project Proposal Description, Santa Barbara County will improve coordination of care and the delivery of mental health services in a manner consistent with the principles of MHSA. This will include providing increased funding, personnel and other resources to support necessary Information Systems (IS) infrastructure, technology and training.

The Technological Needs Projects, described in Exhibit 3, are designed to create additional access to technology and empowerment for the consumers ADMHS serves, modernize and transform current EHR capabilities and create a secure, confidential and reliable system in which to house thousands of ADMHS electronic health records.

Consumer Empowerment

ADMHS strives to empower consumers through improved opportunities for access to and training on evolving technology. Providing increased access and training to consumers is a priority of the Technology Plan. Features in the new Technology Plan will provide access to computer resources to consumers. The Plan also provides for additional consumer training opportunities to promote accessibility and skill building.

Enhanced Electronic Health Record

ADMHS currently has a hybrid medical record system. Much of the health information is collected electronically but also stored in paper charts at various facilities. Over the past five years, ADMHS has struggled to move all health records from paper charts into a safe, secure and confidential electronic platform.

Several steps remain to achieve a fully electronic health record. ADMHS must commit to moving all information that is currently collected using handwritten paper forms to an electronic format. This data will be stored in secure, encrypted and protected servers hosted by ADMHS. As an integral component of our mental health system, ADMHS' Psychiatric Health Facility (PHF) must also move toward electronic media for the storage of consumer information.

A fully electronic health record will have many benefits. For example, an individual's medical records will be available throughout the County for access by authorized mental health care providers. Electronic lab orders and results, combined with existing electronic prescribing capabilities, will reduce clinical errors and provide better data for medical decision-making in real time.

Improving ADMHS' capability to capture data will enhance the reporting of outcomes data that assists in monitoring the effectiveness of MHSA and other County programs. An improved electronic system will also promote ready access to service data, the analysis of which will further enhance quality improvement and service to consumers.

Security and Confidentiality

The Technology Plan provides security and system infrastructure resources enhancing the County's existing security efforts. These security enhancements will allow the County to continue to meet ever-changing and complex security and confidentiality mandates. The additional security will provide continued access to State information resources and allow the County to continue to meet consumers' service needs. These electronic standards will help ensure the security of thousands of electronic health records maintained by Santa Barbara County ADMHS and its partner organizations.

1.6) Describe the new technology system(s) required to achieve an Integrated Information System Infrastructure:

The current systems listed in the inventory under Section 1.1 will continue to operate. To meet State and Federal security requirements, new security hardware and software components will be implemented. Included among these technologies are ADMHS employee encrypted e-mail, desktops and laptops as well as increased security for data backups and securing thousands of electronic health records. All technology strategies in this security initiative will be derived from strategies implemented by the Social Services Department in Santa Barbara County, in response to State and federal mandates.

1.7) Note the Implementation Resources currently available:

Oversight Committee:	Yes_X_	No___
Project Manager:	Yes___	No_X_
Budget:	Yes___	No_X_
Implementation Staff in place:	Yes___	No_X_
Project Priorities determined:	Yes_X_	No_ _

1.8) Describe plan to complete resources marked no above:

ADMHS will employ an experienced Project Manager to oversee the project budgets and assist with selecting and supervising implementation staff. The Project Manager will have significant IT program experience, be detail oriented and have exceptional leadership and organizational abilities.

ADMHS' Finance Division will participate in the establishment of a Technology Plan budget. The budget will provide line item accounts for consumer computer access and training, security technology and data for program monitoring and quality assurance. Where appropriate, competitive bids will be solicited to assure the best possible value is purchased with MHSA funding.

Once a Project Manager and a budget are established, implementation staff will be selected to ensure their commitment to providing support to consumers and competencies to support the Integrated Information Systems programs.

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1.9) Describe the Technological Needs Project priorities and their relationship to supporting the MHSA Programs in the County:

Santa Barbara County's Technological Needs Plan includes the following three projects:

1) Consumer Access to Computer Resources Project
2) EHR Enhancement Project
3) Consumer Security and Confidentiality

MHSA programs have been integrated when appropriate into County-funded service delivery efforts. MHSA funding of the Technological Needs Projects will seamlessly provide support to consumers receiving services within the mental health system of care.

The Technological Needs Projects presented in this enclosure represent three main goals:

1) Consumer-focused technology access project which will aid in the technological empowerment of consumers.
2) Modernization and transformation of the EHR into an integrated information system.
3) Accessibility, reliability, confidentiality and security throughout appropriate system components.

Priorities to accomplish these goals are reflected in the three Project descriptions contained in Exhibit 3. These Projects also further the MHSA goals to provide an integrated technology solution for ADMHS.

Project 1

The Consumer Access To Computer Resources Project will support the goals of Santa Barbara County's MHSA Three Year plan in the following ways:

- Provide consumers with access to computer resources and tools that can be used to foster more informed interactions with their providers.
- Provide consumers with access to information that will promote wellness, recovery and resiliency.
- Promote opportunities for consumers to gather information and gain knowledge in order to be a more well-informed and active partner in their own treatment and recovery activities.
- Facilitate the use of on-line consumer satisfaction surveys and program needs assessments to obtain more timely and accurate feedback on MHSA and other program initiatives.
- Facilitate access to online training resources that promote the well-being of consumers by enabling them to acquire skills to improve their opportunities for education and gainful employment.

Project 2

The EHR Enhancement Project will support the goals of Santa Barbara County's MHSA Three Year plan in the following ways:

- Facilitate appropriate system-wide access to clinical, administrative and financial information in digital format.
- Enable the capture of digital information as close to the source as possible, moving away from a paper-based system.
- Enable appropriate, standards-based and secure information sharing with business partners across the service-delivery system, including other County Departments, contracted providers and the State.

- Improve the capture and reporting of outcomes data for monitoring the effectiveness of MHSA and other services.
- Improve continuity of care through making medical records more immediately available to authorized users throughout the County.

Project 3

The Consumer Security and Confidentiality Project will support the goals of Santa Barbara County's MHSA Three Year plan in the following ways:

- Facilitate appropriate, secure, system-wide access to clinical and administrative information.
- Ensure the security of data retained in the EHR system and ensure that the movement of that data is secure.
- Reduce the risk of potential identity theft.
- Provide reliable access to the consumer health data system in the event of an emergency or in times of distress.
- Allow for continued secure access to Protected Health Information provided by the State and Medi-Cal eligibility information systems.

2. Technological Needs Roadmap Template. Complete a proposed implementation timeline with the following major milestones.

2.1) List integrated Information Systems Infrastructure Implementation Plan and schedule or attach a current Roadmap:

Roadmap

Schedule

	Task Name	Duration	Start	Finish	Predecessors	Reso
1	**Consumer Access to Computer Resources Project**	**785 days?**	**Mon 3/1/10**	**Fri 3/1/13**		
2	Select vendor for Consumer Support Centers	785 days?	Mon 3/1/10	Fri 3/1/13		
3	Approve Plan for purchase of training computers	764 days?	Tue 3/30/10	Fri 3/1/13		
4	Approve consumer training plan	741 days?	Fri 4/30/10	Fri 3/1/13		
5	Hire consumer interns (consumers that work part time helping the trainer help other consumers	720 days?	Mon 5/31/10	Fri 3/1/13		
6	Establish videoconferening vendor list	110 days?	Thu 7/1/10	Wed 12/1/10		
7	Viceo Conference set up and install	88 days?	Mon 3/1/10	Wed 6/30/10		
8	Video Conference training	197 days?	Thu 7/1/10	Fri 4/1/11		
9	**Website Enhancement**	**197 days?**	**Thu 7/1/10**	**Fri 4/1/11**		
10	Establish list of contractors	45 days?	Thu 7/1/10	Wed 9/1/10		
11	Develop website plan	44 days?	Fri 10/1/10	Wed 12/1/10		
12	Develop new website features	45 days?	Wed 12/1/10	Tue 2/1/11		
13	Roll out new website features	44 days?	Tue 2/1/11	Fri 4/1/11		

15	**Electronic Health Records Enhancement Project**	**785 days?**	**Mon 3/1/10**	**Fri 3/1/13**
16	Purchase technology for annual technology refresh	741 days?	Fri 4/30/10	Fri 3/1/13
17	Hire 2 systems analysts	720 days?	Mon 5/31/10	Fri 3/1/13
18	Hire 2 systems infrastructure operators	741 days?	Fri 4/30/10	Fri 3/1/13
19	Hire systems trainer	698 days?	Wed 6/30/10	Fri 3/1/13
20	Establish training plan	676 days?	Fri 7/30/10	Fri 3/1/13
21	Purchase workstations for enhanced document imaging	676 days?	Fri 7/30/10	Fri 3/1/13
22	Install enhanced document imaging	655 days?	Mon 8/30/10	Fri 3/1/13
23	Establish plan for development of e-forms library	676 days?	Fri 7/30/10	Fri 3/1/13
24	Establish plan for electronic signature pads	720 days?	Mon 5/31/10	Fri 3/1/13
25	Establish plan for development of medication monitoring	110 days?	Thu 7/1/10	Wed 12/1/10
26	Develop Medication Management features	88 days?	Wed 12/1/10	Fri 4/1/11
27	Install Medication Management Module	87 days?	Fri 4/1/11	Mon 8/1/11
28	Develop reports	154 days?	Tue 3/1/11	Sat 10/1/11
29	Train users	284 days?	Mon 11/1/10	Thu 12/1/11
30	Select lab results software	676 days?	Fri 7/30/10	Fri 3/1/13
31	Purchase lab results software	655 days?	Mon 8/30/10	Fri 3/1/13
32	Install/Train on lab results software	632 days?	Thu 9/30/10	Fri 3/1/13
33	**E-Prescribing Enhancement**	**262 days?**	**Wed 12/1/10**	**Thu 12/1/11**
34	Develop new Application features	45 days?	Wed 12/1/10	Tue 2/1/11
35	Test new Application features	44 days?	Tue 2/1/11	Fri 4/1/11
36	Pilot new Application features	44 days?	Fri 4/1/11	Wed 6/1/11
37	Develop county-wide roll out plan for full featured application	22 days?	Mon 1/3/11	Tue 2/1/11
38	Training and roll out	175 days?	Fri 4/1/11	Thu 12/1/11

40	**Consumer Security and Confidentiality Project**	**785 days?**	**Mon 3/1/10**	**Fri 3/1/13**
41	Hire security officer	785 days?	Mon 3/1/10	Fri 3/1/13
42	Develop Security roll out plan	762 days?	Thu 4/1/10	Fri 3/1/13
43	Purchase security module - hardware/software	752 days?	Thu 4/15/10	Fri 3/1/13
44	Train Benefit Specialist	698 days?	Wed 6/30/10	Fri 3/1/13

1) The Consumer Access to Computer Resources Project is a consumer focused project which will aid in the technological empowerment of consumers. This Project will provide access to training resources for consumers throughout the County. Project implementation will begin within 30 days of notification of funding award, with training activities targeted to begin within three months of the hiring of the Project Manager.

2) The EHR Enhancement Project will enhance Santa Barbara's Integrated Information Systems Infrastructure. The EHR Enhancement Project will expand the EHR capabilities to include lab orders and enable efficient viewing of lab results. Electronic prescribing is in pilot phase, but will be expanded and enhanced to improve consumer care and usability. While ADMHS currently has document

imaging in place, this function will be expanded and improved to meet increasing demand. The PHF, which is currently entirely paper-based, will profoundly improve the Integrated Information Systems Infrastructure by moving to an electronic format. Work will begin within 30 days of notification of funding award with electronic clinical operations set to occur within six months.

3) The Consumer Security and Confidentiality Project will build accessibility, reliability, confidentiality and security. The Project will enable substantial compliance with State and Federal mandates by June 30, 2010.

2.2) Training and schedule

This Plan proposes to expand on ADMHS' existing integrated Information System and infrastructure. Therefore, ADMHS plans to incorporate training on new or expanded elements such as the proposed lab orders module, electronic prescribing, EHR for PHF and electronic forms into existing monthly training opportunities. Schedules for these training events are not available at this time.

The full time Project Manager position in the EHR Enhancement project will be responsible for developing the schedule and expanding training opportunities. This expanded schedule will be established within the EHR Enhancement Project and made available on ADMHS' training web page.

2.3) Describe your communication approach to the Integrated Information Infrastructure with Stakeholders (i.e. Clients and Family Members, Clinicians and Contract Providers):

ADMHS hosted a series of meetings with clients and family members, clinicians and contracted providers. The purpose of the meetings was to seek feedback on a proposed Integrated Infrastructure plan. Dana Fahey, Information System Manager, has also surveyed clinicians and contracted providers. In addition, a series of meetings at locations throughout the County have been held to help inform stakeholders and obtain feedback about the integrated information system (IIS). Additionally, ADMHS has presented information regarding the ISS infrastructure to the MHSA consumer forum. ADMHS plans to continue to solicit feedback from stakeholders throughout the County. The meetings which have occurred to date are described below.

The draft IT Plan was posted to www.admhs.org on December 14, 2009. Approximately 700 stakeholders were notified of the posting by e-mail. Not relying exclusively on email communications, at the meeting of the Mental Health Commission on November 20, 2009, attendees without Internet access were invited to contact ADMHS staff to request that hard copies of the proposal be mailed to them. Similar announcements were made at the Consumer and Family Member Advisory Committee and the Latino Advisory Committee.

2.4) Inventory of Current Systems: (may include system overview provided in County Technology Strategic Plan)

ADMHS uses primarily Microsoft products for day-to-day operations. For the core of the ADMHS EHR, ADMHS implemented the Clinicians Gateway product, a commercial off-the-shelf system that incorporated many of ADMHS' systems requirements into its design. For State billing purposes, Santa Barbara County uses Echo's ShareCare product. E-mail and other networking services are provided by Santa Barbara County ITD.

Software product	Initial cost	Approx. Maintenance Cost
Echo – ShareCare	$492,000	$150,000
SPSS	$15,000	$1,050
Backup Exec	$3,000	$1,500
Clinicians Gateway	$350,000	$ 88,000
AccuCare	N/A	$15,000
Dameware	N/A	$80
TrackIt	$1,000	$1,000
MS Office Suite	N/A	$95,000

2.5) Please attach your Work Flow Assessment Plan and provide schedule and list of staff and consultants identified (may complete during the implementation of the Project or RFP):

The ADMHS EHR is currently operational and no workflow assessment planning is contemplated for the enhancements proposed in this Plan. As described in this Plan, training for additional system enhancements will be provided at ADMHS' regularly scheduled monthly training events held throughout the County.

2.6) Proposed EHR component purchases: (may include information on Project Proposal(s)):

The EHR Enhancement Project includes the purchase of a lab order-entry module from the current electronic prescribing or other suitable vendor. The features associated with the lab order module will be incorporated into the selected electronic prescribing product. A version of an electronic prescribing product, RxNT, is currently being piloted in Santa Barbara County.

ADMHS will purchase a forms module from the Clinicians Gateway vendor that will allow the Department to digitize the collection of data that is currently gathered using existing paper forms. Along with this forms module, the Department will deploy a digital signature capture application which will reduce paperwork throughout the County. A version of this product is being piloted in Santa Barbara County.

A scheduling module will be implemented that interfaces with the Clinicians Gateway product allowing each clinician to link the scheduling function with progress notes. This will allow the clinicians to be more efficient in the services they provide to consumers.

2.7) Vendor selection criteria: (such as Request for Proposal)

During FY 2005-06, ADMHS conducted a lengthy selection process which resulted in the Department choosing to continue to use the legacy billing and accounting product.

2.8) Cost estimates associated with achieving the Integrated Information Systems Infrastructure:

1) The Consumer Access to Computer Resources Project will begin within 30 days of notification of funding award, with training activities targeted to begin within three to six months of the hiring of the Project Manager. The estimated cost of completing this project in the allotted three year timeframe is approximately $390,000 the first year and $157,300 annually in staffing and licensing fees. The three year cost will be $704,600.

2) The EHR Enhancement Project will begin within 30 days of notification of funding award with new electronic operations set to occur within six months. The estimated cost of completing this project in the allotted three year timeframe is approximately $722,400 the first year, $612,400 the second year and $612,400 the third year in staffing and technical costs. The three year cost will be $1,947,200.

3) The Consumer Security and Confidentiality Project will begin within 30 days of notification of funding award and will be substantially in compliance with State and Federal mandates by June 30, 2010. The estimated cost of completing this project in the allotted three year

timeframe is approximately $775,500 the first year and $495,000 annually thereafter in staffing and licensing fees. The three year cost will be approximately $1,765,500.

Funded Consumer Security and Confidentiality items will include, but are not limited to the following:

Item	Approximate Cost
Credant CMG Disk Encryption	$41,618.44
Disk Erasure	$3,365.00
KVM switch for Blancco kit	$276.03
VM servers (2) HP Proliant	$22,098.43
TriGeo SIEM	$96,834.00
Axway Tumbleweed SecureTransport	$36,310.54
Cisco Ironport Email Encryption	$23,138.24
Cisco GB switch for MEDS equipment network access	$5,053.50
Data Archival and off-site storage	$10,000.00
Network Consultant	$25,000.00
ITD(Santa Barbara County infrastructure)	$40,000.00
Project Lead Staff	$36,000.00
McAfee Malware and IPS modules	$14,773.82

3. County Personnel Analysis (Management and Staffing)

Key Information Technology Positions	Estimated #FTE Authorized*	Position hard to fill? 1=Yes; 0=No	#FTE Estimated to meet need in addition to #FTE authorized**
A. Information Technology Staff (direct service):			
Chief Technology/Information Officer			
Hardware Specialist	1	0	1
Software Specialist	2	0	
Other Technology Staff	2	0	
Sub-total A	5		1
B. Project Managerial and Supervisory:			
CEO or manager above direct supervisor			
Supervising Project Manager	1	1	1
Project Coordinator			
Other Project Leads (Security Officer)		1	1
Sub-total B	1	2	2
C. Technology Support Staff:			
Analysts, tech support, quality assurance	3	1	2
Education and Training			
Clerical, secretary, administrative assistants	1		
Other support staff (non-direct services)		0	4
Sub-total C	4	1	6
TOTAL COUNTY TECHNOLOGY WORKFORCE (A+B+C)	10	3	9

*Existing staff
**Proposed staff additions

EXHIBIT 3 - TECHNOLOGICAL NEEDS PROJECT PROPOSAL DESCRIPTION

Project 1 - The Consumer Access to Computer Resources Project

Date: 12/14/2009 County: Santa Barbara

- ***Please check at least one box from each group that describes this MHSA Technological Needs Project***

☐ New system
☑ Extend the number of users of an existing system
☑ Extend the functionality of an existing system
☑ Supports goal of modernization/transformation
☑ Supports goal of consumer and family empowerment

- ***Please indicate the type of MHSA Technological Needs Project***

Electronic Health Record (EHR) System Projects (check all that apply)

☐ Infrastructure, Security, Privacy
☐ Practice Management
☐ Clinical Data Management
☐ Computerized Provider Order Entry
☐ Full Electronic Health Record (EHR) with Interoperability Components (for example, standard data exchanges with other counties, contract providers, labs, pharmacies)

Client and Family Empowerment Projects

☑ Client/Family Access to Computing Resources Projects
☑ Online Information Resource Projects (Expansion / Leveraging information sharing services)

Other Technological Needs Projects That Support MHSA Operations

☐ Pilot Projects to monitor new programs and service outcome improvement
☐ Data Warehousing Projects / Decision Support
☐ Imaging / Paper Conversion Projects
☐ Other

- ***Please Indicate the Technological Needs Project Implementation Approach***

☐ Custom Application
Name of Consultant or Vendor (if applicable) _____
☑ Commercial Off-The-Shelf (COTS) System
Name of Vendors: Microsoft, Hewlett-Packard
☑ Product Installation
Name of Consultant and/or Vendor (if applicable): HP- PC compatible computers, video conferencing
☑ Software Installation
Name of Vendor : Microsoft or other operating systems and business software

Project Description and Evaluation Criteria – Detailed Instructions

Complete each section listed below. Small counties (under 200,000 in population) have the option of submitting a reduced Project Proposal; however, they must describe how these criteria will be addressed during the implementation of the Project. A completed Technological Needs Assessment is required in addition to the Technological Needs Project Proposal. Technological Needs Project Proposals that are for planning or preparation of technology are not required to include hardware, software, interagency, training, or security considerations. These items are indicated with a "".*

Project Management Overview
Counties must provide a Project Management Overview based on the risk of the proposed Project. The Project must be assessed for risk level using the worksheet in Appendix A. For Projects with medium to high risk, the County shall provide information in the following Project management areas.

- *Independent Project Oversight*
- *Integration Management*
- *Scope Management*
- *Time Management*
- *Cost Management*
- *Quality Management*
- *Human Resource Management (Consultants, Vendor, In-House Staff)*
- *Communications Management*
- *Procurement Management*

For low risk Projects, as determined by the worksheet in Appendix A, the above Project management reporting is not required. Instead, the County shall provide a Project Management Overview that describes the steps from concept to completion in sufficient detail to assure the DMH Technological Needs Project evaluators that the proposed solution can be successfully accomplished. For some Technological Needs Projects, the overview may be developed in conjunction with the vendor and may be provided after vendor selection.

Project 1 Summary – The Consumer Access to Computer Resources Project

The Consumer Access to Computer Resources Project will provide consumers access to technological resources and consumer-focused training in each of the three primary population centers in Santa Barbara County, located either with ADMHS or contracted provider facilities. Consumer interns will be employed and trained to provide technical assistance and training support at the training centers. Computers purchased for the new programs will be built to the County standard and remain County property throughout the life of the project, irrespective of the project locations. Courses will be offered by qualified trainers who will assist consumers to move toward technological independence. Due to funding limitations, ADMHS has not been able to provide organized computer training classes or computer access for consumers to date. The technological aspects of this project will be managed by Dana Fahey, ADMHS Information Systems Manager.

Project Objectives and Initiatives
The following project objectives and initiatives are consistent with the long term goals of the Countywide IT Strategic Plan developed by Santa Barbara County.

Departmental goals include:

<u>Goal 1</u>: Provide consumers and providers of mental health services with secure, convenient, accessible and timely access to accurate information necessary to the delivery of mental health services in Santa Barbara County.

<u>Goal 2</u>: Ensure that information systems and applications are user-friendly, electronic, accessible, comprehensive and integrated.

<u>Goal 3</u>: Make appropriate information available for a wide variety of decision making to all interested stakeholders including consumers, families, providers and administrators.

Objective 1: Regional Computer Resource Sites
Computers will be placed in regional resource sites in the major population areas in the County. Where possible, programs will be consumer operated and focus on consumer and family empowerment, training, education and information accessibility. The computer resource sites will:

Initiative 1.1 - Provide additional computers and/or upgrade existing workstations and make computers available in accessible regional locations in the County.

Initiative 1.2 - Expand the number of existing software and licenses to provide for areas of particular interest to consumers.

Initiative 1.3 - Offer consumer and ADMHS led instruction on basic computer education - Curriculum to be defined by consumer technology advisory group.

Initiative 1.4 – Facilitate increased awareness of and better access to consumer empowerment resources and specialized training.

Initiative 1.5 - Offer a limited number of "loaner" laptops or web books to consumers who may require additional internet access to perform duties in existing ADMHS committees and workgroups.

Initiative 1.6 - Develop training materials and provide staff to train consumers in basic computer skills, such as, internet access, effective searches for employment, developing resumes, housing resources, financial activities, bill paying and use of Microsoft Office software.

Objective 2: Videoconference and Collaboration
Videoconference capability will be made available to consumer and stakeholder groups as well as clinicians, staff members and support persons. Technology to support multi-agency collaboration and conferencing with consumers and families will be selected. Videoconferencing will support communication between groups and individuals and reduce the impact of geographic distance.

Initiative 2.1 – Hardware: Appropriate hardware and telecommunications support will be provided to allow for staff consultation services at selected hub locations.

Objective 3: Departmental Website Enhancement
The website will be enhanced to include a new look and feel and include useful consumer information and links to internet resources.

> **Initiative 3.1 –** Develop site to make materials available in Spanish whenever possible and provide information in a format that is intuitive and easy to navigate.

IT Project Cost

Technological Needs Projects will be reviewed in terms of their cost justification. The appropriate use of resources and the sustainability of the system on an ongoing basis should be highlighted. Costs should be forecasted on a quarterly basis for the life of the Project. Costs on a yearly and total basis will also be required for input on Exhibit 3 – Budget Summary.

Project 1 – The Consumer Access to Computer Resources Project will provide computers and technology resources to regional Computer Resource Sites. These computers will be purchased and supported by ADMHS to ensure the system will provide maximum reliable access to technology to consumers in those regions. Costs below indicate a rapid set up and deployment period in Quarters 1 and 2 of Year 1, with training continuing throughout the life of the project.

Project 1 Costs: Three Year Plan				
	Year 1	**Year 2**	**Year 3**	**Total**
Quarter 1	180,000	40,000	40,000	**260,000**
Quarter 2	105,000	40,000	40,000	**185,000**
Quarter 3	55,000	40,000	40,000	**135,000**
Quarter 4	50,000	37,300	37,300	**124,600**
Total	**390,000**	**157,300**	**157,300**	**704,600**

Nature of the Project
Describe:

- *The extent to which the Project is critical to the accomplishment of the County, MHSA and DMH goals and objectives*

Each of the initiatives in this proposal is consistent with County, MHSA and DMH goals and objectives.

- *The degree of centralization or decentralization required for this activity*

ADMHS will provide oversight for the project; in the event the project is sited at non-ADMHS locations, contracted providers will be required to comply with County standards.

- *The data communication requirements associated with the activity*

The data communications system required for all activities in this project will be established and monitored by ADMHS in conjunction with Santa Barbara County ITD.

- *The characteristics of the data to be collected and processed, i.e., source, volume, volatility, distribution and security or confidentiality*

Data to be collected and processed include all trainings and participants along with objectives of each training effort. Consumer feedback will be sought to assist with the provision of ongoing technology access and training.

- The *degree to which the technology can be integrated with other parts of a system in achieving the Integrated Information Systems Infrastructure*

ADMHS is committed to the standards of interoperability. For example, the RxNT and Clinicians Gateway interface uses HL7. Each vendor involved in the Integrated Information System is similarly committed to compliance with interoperability standards as prescribed by DMH and Federal regulations.

Hardware Considerations *(as applicable)
Describe:
- *Compatibility with existing hardware, including telecommunications equipment*
- *Physical space requirements necessary for proper operation of the equipment*
- *Hardware maintenance*
- *Backup processing capability*
- *Existing capacity, immediate required capacity and future capacity*

All consumer training hardware and networking equipment will be located at three regional centers. ADMHS staff will provide installation and maintenance of all hardware and, as appropriate, ADMHS will provide contractual oversight should the project be located at non-ADMHS sites. ADMHS does not anticipate the need for nightly data backups because this project is a training and access initiative. Each night, up-to-date security patches and updates will be delivered and all hardware will be cleared.

Software Considerations * (as applicable)
Describe:
- *Compatibility of computer languages with existing and planned activities*
- *Maintenance of the proposed software, e.g. vendor-supplied*
- *Availability of complete documentation of software capabilities*
- *Availability of necessary security features as defined in DMH standards noted in Appendix B*
- *Ability of the software to meet current technology standards or be modified to meet them in the future*

All current Integrated Information System vendors and contracted providers comply with standards as required by HIPAA. Each vendor and contracted provider has signed Santa Barbara County's standard Business Associate Agreement in accordance with HIPAA requirements.

Interagency Considerations* (as applicable)
Describe the County's interfaces with contract service providers and state and local agencies. Consideration must be given to compatibility of communications and sharing of data. The information technology needs of contract service providers must be considered in the local planning process.

Three regional hubs will offer consumers computer access as part of this project. ADMHS will select appropriate locations for the centers and provide oversight of setup and implementation should they be located at contracted provider sites. As reiterated through feedback from consumer organizations, ADMHS recognizes the importance of ensuring computers are

secure, reliable and operational.

Training and Implementation * (as applicable)
Describe the current status of workflow and the proposed process for assessment, implementation and training of new technology being considered.

ADMHS or its contracted service providers will offer consumers technical training and will employ consumers who will be trained to provide technical assistance and training support. ADMHS will ensure training standards are established and ensure adequate consumer training is provided throughout the County.

Security Strategy * (as applicable)
Describe the County's policies and procedures related to Privacy and Security for the Project as they may differ from general Privacy and Security processes. Please address specifics related to:

- *Protecting data security and privacy*
- *Operational Recovery Planning*
- *Business Continuity Planning*
- *Emergency Response Planning*
- *HIPAA Compliance*
- *State and Federal laws and regulations*

The ADMHS Security strategy is addressed in Project 3 - The Consumer Security and Confidentiality Project.

Project 2 – The EHR Enhancement Project

Date: 12/11/2009 County: Santa Barbara

- ***Please check at least one box from each group that describes this MHSA Technological Needs Project***

☐ New system
☑ Extend the number of users of an existing system
☑ Extend the functionality of an existing system
☑ Supports goal of modernization/transformation
☑ Supports goal of consumer and family empowerment

- ***Please indicate the type of MHSA Technological Needs Project***

Electronic Health Record (EHR) System Projects (check all that apply)
☑ Infrastructure, Security, Privacy
☑ Practice Management
☑ Clinical Data Management
☑ Computerized Provider Order Entry
☑ Full Electronic Health Record (EHR) with Interoperability Components (for example, standard data exchanges with other counties, contract providers, labs, pharmacies)

Client and Family Empowerment Projects
☑ Client/Family Access to Computing Resources Projects
☑ Online Information Resource Projects (Expansion / Leveraging information sharing services)

Other Technological Needs Projects That Support MHSA Operations
☑ Pilot Projects to monitor new programs and service outcome improvement
☑ Data Warehousing Projects / Decision Support
☑ Imaging / Paper Conversion Projects
☐ Other

- ***Please Indicate the Technological Needs Project Implementation Approach***

☐ Custom Application
Name of Consultant or Vendor (if applicable) _____

☑ Commercial Off-The-Shelf (COTS) System
Name of Vendors: Echo Management Group (Sharecare); Krassons (Clinicians Gateway); RxNT (Electronic prescribing and Lab Order Entry) – All products except for Lab Order entry are installed. All are Commercial Off-The-Shelf (COTS) products.

☐ Product Installation
Name of Consultant and/or Vendor (if applicable)

☐ Software Installation
Name of Vendor :

Project Description and Evaluation Criteria – Detailed Instructions

Complete each section listed below. Small counties (under 200,000 in population) have the option of submitting a reduced Project Proposal; however, they must describe how these criteria will be addressed during the implementation of the Project. A completed Technological Needs Assessment is required in addition to the Technological Needs Project Proposal. Technological Needs Project Proposals that are for planning or preparation of technology are not required to include hardware, software, interagency, training, or security considerations. These items are indicated with a "".*

Project Management Overview
Counties must provide a Project Management Overview based on the risk of the proposed Project. The Project must be assessed for risk level using the worksheet in Appendix A. For Projects with medium to high risk, the County shall provide information in the following Project management areas.

- *Independent Project Oversight*
- *Integration Management*
- *Scope Management*
- *Time Management*
- *Cost Management*
- *Quality Management*
- *Human Resource Management (Consultants, Vendor, In-House Staff)*
- *Communications Management*
- *Procurement Management*

For low risk Projects, as determined by the worksheet in Appendix A, the above Project management reporting is not required. *Instead, the County shall provide a Project Management Overview that describes the steps from concept to completion in sufficient detail to assure the DMH Technological Needs Project evaluators that the proposed solution can be successfully accomplished. For some Technological Needs Projects, the overview may be developed in conjunction with the vendor and may be provided after vendor selection.*

Project 2 Summary – The EHR Enhancement Project

The EHR Enhancement Project will be managed by a Project Manager, under the direction of Dana Fahey, ADMHS Information Systems Manager. The project will expand and build on ADMHS' current integrated information system. This system has three key integrated components:

1) Practice management and State reporting functionality from a COTS system;
2) EHR (progress notes, treatment plans, assessments) from Clinicians Gateway;
3) Electronic prescribing from RxNT.

ADMHS' existing consumer demographic/billing system and Clinicians Gateway are integrated to permit the flow of progress note information to the consumer demographic/billing engine. RxNT is linked to Clinicians Gateway via an HL7 interface which dynamically exchanges information between the systems. The Plan proposes to enhance the IIS through the addition of the following elements: electronic documentation at PHF, laboratory orders and results, signature capture pads, medication monitoring and a new electronic assessment form.

Project Objectives and Initiatives

The following project objectives and initiatives are consistent with the long term Goals of the Countywide IT Strategic Plan developed by Santa Barbara County. Departmental goals include:

Goal 1: Provide consumers and providers of mental health services with secure, convenient, accessible and timely access to accurate information necessary to the delivery of mental health services in Santa Barbara County.

Goal 2: Provide information systems and applications that are user-friendly, electronic, accessible, comprehensive and integrated.

Goal 3: Ensure that information will be available for a wide variety of decision making to all interested stakeholders including consumers, families, providers and administrators.

Goal 4: Invest in information technology that results, where possible, in the reduction of cost, waste and duplication of efforts.

Goal 5: Ensure that MIS staff are provided with the resources, tools and training that enable them to work collaboratively to provide the Mental Health Department with the highest quality customer service and support.

Objective 1: Staffing

Initiative 1.1 - Project Manager: The Plan includes a Project Manager to lead the development and deployment of the EHR component systems. The Project Manager will be the first person hired and is required for ADMHS to maintain existing operations while adding significant functionality to their systems. The Project Manager will also have oversight into other aspects of the integrated information system including the Consumer Empowerment and Security Projects.

Initiative 1.2 - **Operations Staffing**: Two (2) Data Analysts, including one supervisor level, will be hired and trained to support and operate all functions of the Billing/Consumer Demographic System. Expanded MHSA program operations have generated the need for additional analytical staff to provide reporting that supports clinical, financial and administrative functions for ADMHS. The Data Analysts will provide data reports and analysis that will ensure ADMHS' daily business practices are supported by its data systems. The key to any data reporting effort is timeliness and the Data Analysts will ensure data are produced in a timely manner to increase and enhance usefulness to decision-makers. This will also result in improvements in reporting to the State, claiming activity and quality of care information.

Objective 2: Maintain and Operate Clinical Data System - Provide well-trained staff to support provider user training and operate the Clinicians Gateway clinical data system which supports the following key functions toward the development of the HER for a paperless environment including:

- Digital signature capture
- Electronic Forms and From Management
- Progress Notes
- Treatment Plans

- Assessments
- Imaging

Initiative 2.1 - One (1) Computer System Specialist will be hired to provide needed support for the mental health practitioners and physicians who enter data into the EHR. The technology needed to support a fully electronic health record becomes more and more complicated as State mandates and system requirements expand to meet the ongoing operational and regulatory needs.

Additional staff are required to support among a number of activities: Electronic prescribing, electronic lab orders and results, medication management, electronic signature pads, voice-recognition dictation and document scanning efforts. All of these efforts require personnel for set up, maintenance and to replace or repair the components when necessary.

Initiative 2.2 - Medication Management: Clinicians Gateway will be integrated with the electronic prescribing function that will allow the maintenance and analysis of a database of all prescriptions. This database and associated reports will be used to help provide high quality and cost effective use of medications. ADMHS will develop workflow improvements to create improved efficiency in the management of authorizations for consumer prescriptions. The workflow analysis and management of this initiative will be coordinated by the Project Manager.

Initiative 2.3 - Electronic Prescribing/Progress Note Interface: Clinicians Gateway will generate a pending progress note associated with electronic prescribing activity and sort it into a designated section of Clinicians Gateway (similar to the way treatment plans are currently sorted). This will provide a pending progress note that is easily accessible for review, update and electronic signature by the prescribing psychiatrist. This enhancement will improve and simplify the current clinical workflow while capturing prescribing information and associated activity time in Clinicians Gateway. The workflow analysis and management of this initiative will be coordinated by the Project Manager. This initiative will expand the function of the existing electronic prescribing solution.

Initiative 2.4 - Lab Orders/Results: The existing electronic prescribing vendor (RxNT) or other suitable vendor will provide new electronic lab order and lab results functionality to interface with the existing RxNT solution. The addition of lab orders and results will advance the functionality of the EHR component of the Integrated Information System. The workflow analysis and management of this initiative will be coordinated by the Project Manager.

Initiative 2.5 - Library of Objectives and Interventions: The treatment planning module will be enhanced to draw from a menu of specified objectives and associated interventions based on current evidence based practices and best clinical judgments. The Project Manager will coordinate this initiative with the ADMHS Medical Director. A group of California counties is forming to pursue this initiative and ADMHS anticipates that Santa Barbara County will participate.

Initiative 2.6 - Access to Electronic Forms and Electronic Signature Capture: To assist in the migration toward a paperless environment, electronic forms will provide a more consistent and secure method of collecting and storing consumer data and increasing the availability of this data electronically. The electronic nature of the

enhanced medical record will mean charts will be available immediately to anyone with appropriate access rights, anywhere in the County. Continuity of care will be improved and the problem of geographically unavailable charts will be eliminated. Further, electronic forms and signature capture will also allow the County to reduce related costs for supplies and storage.

Objective 3: Technology Viability and Access: By its very nature, technology is continuously changing. All of the aspects of an overall technology infrastructure (hardware, software and networking) are interrelated and co-dependant. In order to continuously modernize and transform the integrated information system, a technology refresh process is essential.

Initiative 3.1 - Desktop Technology: On a three year cycle, basic desktop functionality such as word processing, appointment calendaring and presentation software as well as electronic communications tools such as e-mail functionality will be evaluated for upgrade or replacement as required.

IT Project Cost

Technological Needs Projects will be reviewed in terms of their cost justification. The appropriate use of resources and the sustainability of the system on an ongoing basis should be highlighted. Costs should be forecasted on a quarterly basis for the life of the Project. Costs on a yearly and total basis will also be required for input on Exhibit 3 – Budget Summary.

Project 2 – The EHR Enhancement Project will provide staffing for and expansion of the existing electronic health record. Replacement computers will be purchased by ADMHS to ensure the departmental data system will serve clinicians and consumers with reliable health information for years to come. Costs below indicate a consistent deployment of staffing and equipment throughout the three years. Quarter 4 of Year 1 indicates the approximate timing of payments for the completion of electronic health record enhancements.

Project 2: Three Year Costs				
	Year 1	**Year 2**	**Year 3**	**total**
Quarter 1	182,400	150,000	150,000	**482,400**
Quarter 2	150,000	150,000	150,000	**450,000**
Quarter 3	150,000	150,000	150,000	**450,000**
Quarter 4	240,000	162,400	162,400	**564,800**
Total	**722,400**	**612,400**	**612,400**	**1,947,200**

Nature of the Project

Describe:

- *The extent to which the Project is critical to the accomplishment of the County, MHSA and DMH goals and objectives.*

  Each of the initiatives in this proposal is consistent with County, MHSA and DMH goals and objectives.

- *The degree of centralization or decentralization required for this activity.*

  The project will be managed centrally by the Project Manager. However implementation of the system is Countywide.

.

- *The data communication requirements associated with the activity.*

  The data communications system required for all activities in this project are currently in place and monitored by Santa Barbara County ITD.

- *The characteristics of the data to be collected and processed, i.e., source, volume, volatility, distribution and security or confidentiality*

  Data to be collected and processed includes all data elements collected and reported to DMH as part of Medi-Cal as well as the CSI system required by the State. All telecommunications are monitored by the Santa Barbara County ITD Security Officer and comply with all current regulations to ensure the security of the system.

- *The degree to which the technology can be integrated with other parts of a system in achieving the Integrated Information Systems Infrastructure*

  ADMHS is committed to the standards of interoperability. For example, the RxNT and Clinicians Gateway interface uses HL7. Each vendor involved in the Integrated Information System is similarly committed to compliance to interoperability standards as prescribed by DMH and Federal regulations.

Hardware Considerations (*as applicable)
Describe:
- *Compatibility with existing hardware, including telecommunications equipment*
- *Physical space requirements necessary for proper operation of the equipment*
- *Hardware maintenance*
- *Backup processing capability*
- *Existing capacity, immediate required capacity and future capacity*

The security and confidentiality aspects of the project will be accomplished using techniques approved by the State for Santa Barbara County Department of Social Services and deployed using prescribed County standards. The County anticipates no physical space or capacity issues associated with this project.

This project has limited additional hardware considerations. As noted under the Technology Refresh objective (Objective No. 3 above), only replacement and upgrades of current hardware are planned for the consumer demographic and clinical systems. Hardware maintenance will continue as part of the current maintenance structure which should remain adequate for this project.

Software Considerations * (as applicable)
Describe:
- *Compatibility of computer languages with existing and planned activities*
- *Maintenance of the proposed software, e.g. vendor-supplied*
- *Availability of complete documentation of software capabilities*
- *Availability of necessary security features as defined in DMH standards noted in Appendix B*
- *Ability of the software to meet current technology standards or be modified to meet them in the future*

New software needs are described in this proposal under Initiative 2.2: Medication

Management; Initiative 2.3: Electronic Prescribing; Initiative 2.4: Lab Orders/Results. The electronic prescribing software is hosted by RxNT and thus will be maintained by the vendor with 24/7 availability. The system will meet the same standards of security as is required by the existing electronic prescribing system which is in use nationally. ADMHS will require that all necessary security features be established as defined by DMH.

The final software need is in the document imaging and control area. The existing software is embedded with the Clinicians Gateway clinical module and needs to be reworked and upgraded to provide uninterrupted accessibility throughout the County.

All current integrated information system vendors comply with standards as required by HIPAA. Each vendor doing business with ADMHS is required to sign the Santa Barbara County standard Business Associate Agreement in accordance with HIPAA requirements.

Interagency Considerations* (as applicable)

Describe the County's interfaces with contract service providers and state and local agencies. Consideration must be given to compatibility of communications and sharing of data. The information technology needs of contract service providers must be considered in the local planning process.

The proposed project introduces minimal requirements for contracted service providers. The system will remain compliant with current State requirements. ADMHS' Information System Manager, Dana Fahey, provides updates to contracted service providers through monthly and quarterly status meetings.

Training and Implementation * (as applicable)

Describe the current status of workflow and the proposed process for assessment, implementation and training of new technology being considered.

The Integrated Information System Enhancement Project is in the post-implementation training phase. Training was completed for hundreds of staff during the implementation of the existing system. The EHR Enhancement Project is intended to expand existing training to incorporate elements of the new integrated system's functionality. Such training will be available for County and contracted provider staff.

Security Strategy * (as applicable)

Describe the County's policies and procedures related to Privacy and Security for the Project as they may differ from general Privacy and Security processes. Please address specifics related to:

- *Protecting data security and privacy*
- *Operational Recovery Planning*
- *Business Continuity Planning*
- *Emergency Response Planning*
- *HIPAA Compliance*
- *State and Federal laws and regulations*

As noted in Project 3, Initiative 1.1, a new staff position (Security Officer) is proposed to address and implement each of the key security issues. The new Security Officer will be responsible to conduct a review of all current practices and to assist in the development of a strategy to deploy the adopted security measures. In addition, the Security Officer will work

with the County ITD Security Officer to ensure that an adequate plan for business continuity is in place for emergency response.

Project 3 - The Consumer Security and Confidentiality Project

Date: 12/11/2009 County: Santa Barbara

- ***Please check at least one box from each group that describes this MHSA Technological Needs Project***

☑ New system
☑ Extend the number of users of an existing system
☑ Extend the functionality of an existing system
☑ Supports goal of modernization/transformation
☑ Supports goal of consumer and family empowerment

- ***Please indicate the type of MHSA Technological Needs Project***

Electronic Health Record (EHR) System Projects (check all that apply)
☑ Infrastructure, Security, Privacy
☐ Practice Management
☐ Clinical Data Management
☐ Computerized Provider Order Entry
☐ Full Electronic Health Record (EHR) with Interoperability Components (for example, standard data exchanges with other counties, contract providers, labs, pharmacies)

Client and Family Empowerment Projects
☐ Client/Family Access to Computing Resources Projects
☐ Online Information Resource Projects (Expansion / Leveraging information sharing services)

Other Technological Needs Projects That Support MHSA Operations
☐ Pilot Projects to monitor new programs and service outcome improvement
☐ Data Warehousing Projects / Decision Support
☐ Imaging / Paper Conversion Projects
☐ Other

- ***Please Indicate the Technological Needs Project Implementation Approach***

☐ Custom Application
Name of Consultant or Vendor (if applicable) _____

☑ Commercial Off-The-Shelf (COTS) System
Name of Vendors: Echo Management Group (Sharecare); Krassons (Clinicians Gateway); RxNT (Electronic prescribing and Lab Order Entry) – All products except for Lab Order entry are installed. All are Commercial Off-The-Shelf (COTS) products..

☑ Product Installation
Name of Consultant and/or Vendor (if applicable) Credant CMG, KVM, TriGeo Axway, Cisco *are security project vendors. All are commercially available off-the-shelf.*

☐ Software Installation
Name of Vendor: Cisco Ironport

Project Description and Evaluation Criteria – Detailed Instructions

Complete each section listed below. Small counties (under 200,000 in population) have the option of submitting a reduced Project Proposal; however, they must describe how these criteria will be addressed during the implementation of the Project. A completed Technological Needs Assessment is required in addition to the Technological Needs Project Proposal. Technological Needs Project Proposals that are for planning or preparation of technology are not required to include hardware, software, interagency, training, or security considerations. These items are indicated with a "".*

Project Management Overview
Counties must provide a Project Management Overview based on the risk of the proposed Project. The Project must be assessed for risk level using the worksheet in Appendix A. For Projects with medium to high risk, the County shall provide information in the following Project management areas.

- *Independent Project Oversight*
- *Integration Management*
- *Scope Management*
- *Time Management*
- *Cost Management*
- *Quality Management*
- *Human Resource Management (Consultants, Vendor, In-House Staff)*
- *Communications Management*
- *Procurement Management*

For low risk Projects, as determined by the worksheet in Appendix A, the above Project management reporting is not required. *Instead, the County shall provide a Project Management Overview that describes the steps from concept to completion in sufficient detail to assure the DMH Technological Needs Project evaluators that the proposed solution can be successfully accomplished. For some Technological Needs Projects, the overview may be developed in conjunction with the vendor and may be provided after vendor selection.*

Project 3 Summary – The Consumer Security and Confidentiality Project

The Consumer Security and Confidentiality Project will be managed by a specialized Project Manager. The project will expand and build on ADMHS' existing security efforts. ADMHS' existing operational system has three key integrated components: data encryption; data access; and physical security. Further, the planned security standards will match other Santa Barbara County Departments in their approach to meeting the State-mandated Medi-Cal Eligibility Database System (MEDS) requirements.

Project Objectives and Initiatives

The following project objectives and initiatives are consistent with the long term Goals of the Countywide IT Strategic Plan developed by Santa Barbara County. Departmental goals include:

Goal 1: Provide consumers and providers of mental health services with secure, convenient, accessible and timely access to accurate information necessary to the delivery of mental health services in Santa Barbara County.

<u>Goal 2</u>: Ensure that information systems and applications are user-friendly, electronic, accessible, comprehensive and integrated.

<u>Goal 3</u>: Ensure that information will be available for a wide variety of decision making to all interested stakeholders including consumers, families, providers and administrators.

<u>Goal 4</u>: Provide MIS staff with the resources, tools and training that enable them to work collaboratively to provide the Mental Health Department with the highest quality customer service and support.

Objective 1: Staffing

Initiative 1.1 – **Security staff**: A Supervising Computer System Specialist, in the role of Security Officer and Security Project Lead, will be hired to review all current operations for compliance with current security standards as defined by State and Federal requirements and assure the completion of the security implementation. Upon completion of the project, the Security Officer will continue to maintain and update the enhanced infrastructure. The selected person, in their supervisory role, will also provide leadership and guidance to ADMHS IT staff on security procedures.

Initiative 1.2 – **Benefit Specialist**: Four (4) Benefit Specialists are proposed to provide consumer benefit and insurance-related support and to validate demographic information. Benefit Specialists will potentially expand the services offered to consumers by ensuring each consumer receives services to which they are entitled and ensuring the County receives revenue associated with those services to enable the County to draw down on the appropriate funding streams.

Objective 2: **Hardware and Software**

Initiative 2.1 – Database/Email Encryption Technology: To meet State consumer privacy standards, ADMHS is required to deploy a new security module featuring data encryption technology. These improved security measures will be applied, as required, to the ADMHS servers and PC's for data at rest and data in motion. The new technology protects consumer confidentiality and provides added security features to the system as a whole.

Initiative 2.2 - Purchase Hardware and Software Licenses: The anticipated hardware and software needs are as follows:

Item	Approximate Cost
Credant CMG Disk Encryption	$41,618.44
Disk Erasure	$3,365.00
KVM switch for Blancco kit	$276.03
VM servers (2) HP Proliant	$22,098.43
TriGeo SIEM	$96,834.00
Axway Tumbleweed SecureTransport	$36,310.54
Cisco Ironport Email Encryption	$23,138.24
Cisco GB switch for MEDS equipment network access	$5,053.50
Data Archival and off-site storage	$10,000.00

Network Consultant	$25,000.00
ITD(Santa Barbara County infrastructure)	$40,000.00
McAfee Malware and IPS modules	$14,773.82

The system security measures proposed in this project will ensure ADMHS compliance with requirements for the security of Patient Health Information. This project will also enable ADMHS' continued access to consumer Medi-Cal eligibility information.

Initiative 2.3- Set up and Configure Security Equipment: Once the hardware and software described under Objective 2 are procured, ADMHS will make it a priority to configure the security equipment to meet all applicable requirements.

Initiative 2.4- Develop Security Standards: Security standards will be developed to ensure consistent application. Procedures and configuration mappings of servers, routers and switches will be developed. In addition, ADMHS will ensure technical and operational staff receive training on the new security standards.

Initiative 2.5– Hardware and Network Technology: On a three year cycle, the server and network environment as well as the telecommunication infrastructure will be evaluated and enhanced or improved, as appropriate.

IT Project Cost

Technological Needs Projects will be reviewed in terms of their cost justification. The appropriate use of resources and the sustainability of the system on an ongoing basis should be highlighted. Costs should be forecasted on a quarterly basis for the life of the Project. Costs on a yearly and total basis will also be required for input on Exhibit 3 – Budget Summary.

Project 3 – The Consumer Security and Confidentiality Project will provide staffing for and expansion of the department's consumer data security system. Additional staffing needs are met consistently throughout the project. Quarter 1 of Year 1 indicates the purchase and installment of security system components.

Project 3: Three Year Costs				
	Year 1	Year 2	Year 3	total
Quarter 1	411,718	131,250	131,250	**674,218**
Quarter 2	121,250	121,250	121,250	**363,750**
Quarter 3	121,250	121,250	121,250	**363,750**
Quarter 4	121,250	121,250	121,250	**363,750**
Total	**775,468**	**495,000**	**495,000**	**1,765,468**

Nature of the Project

Describe:

- *The extent to which the Project is critical to the accomplishment of the County, MHSA and DMH goals and objectives*

Each of the initiatives in this proposal is consistent with County, MHSA and DMH goals and objectives.

- *The degree of centralization or decentralization required for this activity*

The project will be managed centrally. However implementation of the system is Countywide.

- *The data communication requirements associated with the activity*

The data communications system required for all activities in this project are currently in place and monitored by Santa Barbara County ITD.

- *The characteristics of the data to be collected and processed, i.e., source, volume, volatility, distribution and security or confidentiality*

Data to be collected and processed include all data elements collected and reported to DMH as part of Medi-Cal as well as the CSI system required by the State. All telecommunications are monitored by Santa Barbara County's ITD Security Officer and comply with all current regulations to insure the privacy of the system.

- *The degree to which the technology can be integrated with other parts of a system in achieving the Integrated Information Systems Infrastructure*

Santa Barbara ADMHS is committed to the standards of interoperability. For example, the RxNT and Clinicians Gateway interface uses HL7. Each vendor involved in the Integrated Information System is similarly committed to compliance to interoperability standards as prescribed by DMH and Federal regulations.

Hardware Considerations *(as applicable)
Describe:
- *Compatibility with existing hardware, including telecommunications equipment*
- *Physical space requirements necessary for proper operation of the equipment*
- *Hardware maintenance*
- *Backup processing capability*
- *Existing capacity, immediate required capacity and future capacity*

The security and confidentiality aspects of the project will be accomplished using techniques approved by the State for Santa Barbara County Department of Social Services and deployed using prescribed County standards. The County anticipates no physical space or capacity issues associated with this project.

This project has limited additional hardware considerations. As noted under the Technology Refresh objective (Project 2, Objective No. 3), only replacement and upgrades of current hardware are planned for the consumer demographic and clinical systems. Hardware maintenance will continue as part of the current maintenance structure which ADMHS anticipates will be adequate for this project.

Software Considerations * (as applicable)
Describe:
- *Compatibility of computer languages with existing and planned activities*
- *Maintenance of the proposed software, e.g. vendor-supplied*
- *Availability of complete documentation of software capabilities*
- *Availability of necessary security features as defined in DMH standards noted in Appendix B*
- *Ability of the software to meet current technology standards or be modified to meet them in the future*

There are three new software needs under consideration:

1) Lab Orders/Results (Project 2, Objective 2: Initiative 2.4). This software is operated by RxNT and thus will be maintained by the vendor and be available 24/7. The system will meet the same standards of security as is required by the current electronic prescribing system currently in use nationally. ADMHS will require that all necessary security features be established as defined by DMH.

2) Security and Privacy. The County will be using proven technology in use by another County Department which implemented a State mandated plan for security and privacy of data at rest and data in motion. Where possible, ADMHS will use the approaches and methodologies already in place to achieve any available economies of scale.

3) Document Imaging and Control Area. The current software is embedded with the Clinicians Gateway clinical module and needs to be reworked and upgraded to provide enhanced privacy and uninterrupted accessibility throughout the County.

All current IIS vendors comply with standards as required by HIPAA. Each vendor has signed the Santa Barbara County standard Business Associate Agreement in accordance with HIPAA requirements.

Interagency Considerations* (as applicable)

Describe the County's interfaces with contract service providers and State and local agencies. Consideration must be given to compatibility of communications and sharing of data. The information technology needs of contract service providers must be considered in the local planning process.

The proposed project does not introduce new requirements for contracted service providers. The system will remain compliant with current State requirements. ADMHS' Information System Manager, Dana Fahey, provides updates to contracted service providers through monthly and quarterly status meetings.

Training and Implementation * (as applicable)

Describe the current status of workflow and the proposed process for assessment, implementation and training of new technology being considered.

Training on the new technology standards will be provided by technology staff and accomplished during the regular system training intervals.

Security Strategy * (as applicable)

Describe the County's policies and procedures related to Privacy and Security for the Project as they may differ from general Privacy and Security processes. Please address specifics related to:

- *Protecting data security and privacy*
- *Operational Recovery Planning*
- *Business Continuity Planning*
- *Emergency Response Planning*

- *HIPAA Compliance*
- *State and Federal laws and regulations*

As noted in Initiative 1.1, the new ADMHS Security Officer will address and implement each of the key security issues. In addition, the new ADMHS Security Officer will review all current practices and assist in the development of a strategy to deploy the adopted security measures. In addition, the ADMHS Security Officer will work with the County ITD Security Officer to ensure that an adequate plan is place for emergency response as well as business continuity during any emergency situations. The ADMHS Security Officer will also work in coordination with the Departmental HIPAA compliance staff who also monitor compliance for State and Federal laws and regulations.

Project Sponsor(s) Commitments (Small Counties may elect to not complete this section)
Sponsor(s) Name(s) and Title(s)
Identify the Project Sponsor name and title. If multiple Sponsors, identify each separately.

Sponsors

Marianne Garrity, Deputy Director - Administration, ADMHS
Dana Fahey, Information System Manager

Commitment
Describe each Sponsor's commitment to the success of the Project, identifying resource and management commitment.

Marianne Garrity, Deputy Director, has overall responsibility for the Integrated Information System Enhancement Project. In addition, she has overall responsibility for all MHSA component planning activities. Ms. Garrity has participated in the planning of the project in cooperation with Dana Fahey, ADMHS' Information System Manager. Mr. Fahey will work closely with staff and Ms. Garrity to ensure that the project meets the goals of modernization and transformation.

As Information System Manager, Mr. Fahey will have project management and operational responsibility for the Integrated Information System Enhancement Project. Mr. Fahey has had primary responsibility for the development of the project and will continue to monitor the implementation of the project. Mr. Fahey will be responsible for the preparation of quarterly progress reports as specified in the current MHSA requirements.

Approvals/Contacts
Please include separate signoff sheet with the names, titles, phone, e-mail, signatures and dates:

- *Individual(s) responsible for preparation of this Exhibit, such as the Project Lead or Project Sponsor(s)*

Name	Title	Role	Phone	E-mail	Signature	Date
Marianne Garrity	**Deputy Director**	**Sponsor**	**805-681-5220**	**mgarrity@co.santa-barbara.ca.us**		
Dana Fahey	**IS Manager**		**805-681-5227**	**dfahey@co.santa-barbara.ca.us**		

EXHIBIT 4 – BUDGET SUMMARY
FOR TECHNOLOGICAL NEEDS PROJECT PROPOSAL

(List Dollars in Thousands)

County: Santa Barbara

Project 1: The Consumer Access To Computer Resources Project

Category	(1) 09/10	(2) 10/11	(3) Future Years	(4) Total One-Time Costs (1+2+3)	Estimated Annual Ongoing Costs*
Personnel					
Total Staff (Salaries & Benefits)	0	0	0	0	0
Consumer interns	35,000	29,000	29,000	93,000	29,000
Training Programs	130,000	72,500	72,500	275,000	75,000
Hardware					
Computers for Consumers					
Desktops	20,250	3,750	3,750	27,750	3,750
Monitors	6,750	250	250	7,250	250
Printers	1,200	0	0	1,200	0
Servers	18,000	6,000	6,000	30,000	6,000
Assorted wiring/switches/hubs/etc.	3,800			3,800	800
Video Conference Capability	70,000	20,000	20,000	110,000	5,000
Total Hardware	120,000	30,000	30,000	180,000	15,000
Software					
Software licenses (MS Office Suite)	10,800			10,800	
Total Software	10,800			10,800	
Contract Services (list services to be provided)					
Website Enhancement	30,000				
Total Contract Services	30,000				
Administrative Overhead					
Other Expenses					

Ergonomic computer furniture	18,000			18,000	
Ergonomic chairs	12,000			12,000	
Training curricula	21,000	15,900	15,900	52,800	
Projectors	3,000			3,000	
Supplies/replacements (bulbs, mice, etc.)	10,200	9,900	9,900	30,000	
Total Costs (A)	390,000	157,300	157,300	704,600	119,000
Total Offsetting Revenues (B) **					
MHSA Funding Requirements (A-B)					
NOTES:					

** Annual costs are the ongoing costs required to maintain the technology infrastructure after the one-time implementation.*
*** For Projects providing services to multiple program clients (e.g. Mental Health and Alcohol and Drug Program clients), attach a description of estimated benefits and Project costs allocated to each program.*

Project 2: Electronic Health Record Enhancement Project

Category	(1) 09/10	(2) 10/11	(3) Future Years	(4) Total One-Time Costs (1+2+3)	Estimated Annual Ongoing Costs*
Personnel					
Systems/Data Analysts (2)	270,000	270,000	270,000	810,000	270,000
Computer Systems Specialist (1)	120,000	120,000	120,000	360,000	120,000
Project Manager (1)	115,000	115,000	115,000	345,000	
Total Staff (Salaries & Benefits)	505,000	505,000	505,000	1,515,000	390,000
Hardware					
Desktops	59,500	59,500	59,500	178,500	59,500
Monitors	5,000	5,000	5,000	15,000	5,000
Laptops	6,400	6,400	6,400	19,200	6,400
Projectors	4,000	4,000	4,000	12,000	4,000
Total Hardware	74,900	74,900	74,900	224,700	74,900
Software					
Medication Management/Scheduling	60,000	10,000	10,000	80,000	10,000
Lab Result Software	45,000	10,000	10,000	65,000	10,000
Enhanced Document Imaging	35,000	10,000	10,000	55,000	10,000
Total Software	140,000	30,000	30,000	200,000	30,000
Contract Services (list services to be provided)					
Total Contract Services					
Administrative Overhead					
Other Expenses (Describe)					
ADMHS Staff Training	2,500	2,500	2,500	7,500	2,500
Total Costs (A)	722,400	612,400	612,400	1,947,200	497,400
Total Offsetting Revenues (B) **					
MHSA Funding Requirements (A-B)					
NOTES:					

** Annual costs are the ongoing costs required to maintain the technology infrastructure after the one-time implementation.*

*** For Projects providing services to multiple program clients (e.g. Mental Health and Alcohol and Drug Program clients), attach a description of estimated benefits and Project costs allocated to each program.*

Project 3: Consumer Security and Confidentiality Project

Category	(1) 09/10	(2) 10/11	(3) Future Years	(4) Total One-Time Costs (1+2+3)	Estimated Annual Ongoing Costs*
Personnel					
Supervising/Security Officer (1)	125,000	125,000	125,000	375,000	125,000
Benefit Specialists (4)	300,000	300,000	300,000	900,000	300,000
Network Consultant	25,000			25,000	-
ITD(Santa Barbara County infrastructure)	37,000			37,000	-
Project Lead Staff	35,000			35,000	-
Total Staff (Salaries & Benefits)	522,000	425,000	425,000	1,372,000	425,000
Hardware					
KVM switch for Blancco kit	276			276	
VM servers (2) HP Proliant	22,098			22,098	
Cisco GB switch for MEDS equipment network access	5,054			5,054	
Annual Maintenance		10,000	10,000	20,000	10,000
Total Hardware	27,428	10,000	10,000	47,428	10,000
Software					
Credant CMG Disk Encryption	41,618			41,618	
Disk Erasure	3,365			3,365	
TriGeo SIEM	96,834			96,834	
Axway Tumbleweed SecureTransport	36,311			36,311	
Cisco Ironport Email Encryption	23,138			23,138	
McAfee Malware and IPS modules	14,774			14,774	
Annual Maintenance		50,000	50,000	100,000	50,000
Total Software	216,040	50,000	50,000	316,040	50,000
Contract Services (list services to be provided)					

Data Archival and off-site storage	10,000	10,000	10,000	30,000	10,000
Total Contract Services	10,000	10,000	10,000	30,000	10,000
Administrative Overhead					
Other Expenses (Describe)					
Total Costs (A)	775,468	495,000	495,000	1,765,468	495,000
Total Offsetting Revenues (B) **					
MHSA Funding Requirements (A-B)					
NOTES:					

** Annual costs are the ongoing costs required to maintain the technology infrastructure after the one-time implementation.*
*** For Projects providing services to multiple program clients (e.g. Mental Health and Alcohol and Drug Program clients), attach a description of estimated benefits and Project costs allocated to each program.*

FY 2009/10 Mental Health Services Act
Capital Facilities and Technological Needs Funding Request

County: Santa Barbara Date: 12/9/2009

Capital Facilities and Technological Needs Work Plans				FY 09/10 Required MHSA Funding	Type of Project	
	No.	Name	New (N)/ Approved Existing (E)		Capital Facilities	Technological Needs
1.	1	Consumer Access To Computer Resources	N	$390,000		$390,000
2.	2	Electronic Health Record Enhancement	N	$722,400		$722,400
3.	3	Consumer Security and Confidentiality	N	$775,468		$775,468
4.						
5.						
6.						
7.						
8.						
9.						
10.						
11.						
12.						
13.						
14.						
15.						
16.						
17.						
18.						
19.						
20.						
21.						
22.						
23.						
24.						
25.						
26.	Subtotal: Work Plans			$1,887,868	$0	$1,887,868
27.	Plus County Administration			$283,180		
28.	Plus Optional 10% Operating Reserve					
29.	Total MHSA Funds Required for Capital Facilities and Technological Needs			$2,171,048		

FY 2009/10 Mental Health Services Act
Technological Needs Projected Revenue and Expenditure for New Work Plans

County: Santa Barbara

Fiscal Year: 2009/10

Work Plan # 1

Work Plan Name Consumer Access to Computer Resources

Months of Operation or Occupancy 4

	County Mental Health Department	Other Governmental Agencies	Community Mental Health Contract Providers	Total
A. Expenditures				
1. Personnel	$35,000		$130,000	$165,000
2. Hardware	$120,000			$120,000
3. Software	$10,800			$10,800
4. Contract Services	$30,000			$30,000
5. Administrative Overhead	$64,200			$64,200
6. Total Proposed Work Plan Expenditures	**$260,000**	**$0**	**$130,000**	**$390,000**
B. Revenues				
2. Additional Revenues				
a. (insert source of revenue)				$0
b. (insert source of revenue)				$0
c. (insert source of revenue)				$0
2. Total Revenues	$0	$0	$0	$0
C. Total Funding Requirements	**$260,000**	**$0**	**$130,000**	**$390,000**

Prepared by: Tor Hargens

Date 12/9/2009

Telephone Number: (805) 681-4781

FY 2009/10 Mental Health Services Act
Technological Needs Projected Revenue and Expenditure for New Work Plans

County: Santa Barbara

Fiscal Year: 2009/10

Work Plan # 2

Work Plan Name Electronic Health Record Enhancement

Months of Operation or Occupancy 4

	County Mental Health Department	Other Governmental Agencies	Community Mental Health Contract Providers	Total
A. Expenditures				
1. Personnel	$505,000			$505,000
2. Hardware	$74,900			$74,900
3. Software	$140,000			$140,000
4. Contract Services	$2,500			$2,500
5. Administrative Overhead	$0			$0
6. Total Proposed Work Plan Expenditures	**$722,400**	**$0**	**$0**	**$722,400**
B. Revenues				
2. Additional Revenues				
a. (insert source of revenue)				$0
b. (insert source of revenue)				$0
c. (insert source of revenue)				$0
2. Total Revenues	$0	$0	$0	$0
C. Total Funding Requirements	**$722,400**	**$0**	**$0**	**$722,400**

Prepared by: Tor Hargens

Date 12/9/2009

Telephone Number: (805) 681-4781

FY 2009/10 Mental Health Services Act
Technological Needs Projected Revenue and Expenditure for New Work Plans

County: Santa Barbara

Fiscal Year: 2009/10

Work Plan # 3

Work Plan Name Consumer Security and Confidentiality

Months of Operation or Occupancy 4

	County Mental Health Department	Other Governmental Agencies	Community Mental Health Contract Providers	Total
A. Expenditures				
1. Personnel	$522,000			$522,000
2. Hardware	$27,428			$27,428
3. Software	$216,040			$216,040
4. Contract Services	$10,000			$10,000
5. Administrative Overhead	$0			$0
6. Total Proposed Work Plan Expenditures	**$775,468**	**$0**	**$0**	**$775,468**
B. Revenues				
2. Additional Revenues				
a. (insert source of revenue)				$0
b. (insert source of revenue)				$0
c. (insert source of revenue)				$0
2. Total Revenues	$0	$0	$0	$0
C. Total Funding Requirements	**$775,468**	**$0**	**$0**	**$775,468**

Prepared by: Tor Hargens

Date 12/9/2009

Telephone Number: (805) 681-4781

FY 2009/10 Mental Health Services Act
Summary Funding Request

County: Santa Barbara Date: 12/9/2009

	MHSA Component				
	CSS	**CFTN**	**WET**	**PEI**	**Inn**
A. FY 2009/10 Planning Estimates					
1. Published Planning Estimate[a/]	$10,474,700	$0	$0	$0	$0
2. Transfers[b/]					
3. Adjusted Planning Estimates	$10,474,700	$0	$0	$0	$0
B. FY 2009/10 Funding Request					
1. Required Funding in FY 2009/10[c/]	$10,474,700	$2,171,048		$2,511,256	
2. Net Available Unspent Funds					
a. Unspent FY 2007/08 Funds[d/]	$651,196		$61,544		
b. Adjustment for FY 2008/09[e/]	$651,196		$61,544		
c. Total Net Available Unspent Funds	$0	$0	$0	$0	$0
3. Total FY 2009/10 Funding Request	**$10,474,700**	**$2,171,048**	**$0**	**$2,511,256**	**$0**
C. Funding					
1. Unapproved FY 06/07 Planning Estimates					
2. Unapproved FY 07/08 Planning Estimates		**$2,171,048**		**$1,306,800**	
3. Unapproved FY 08/09 Planning Estimates				**$1,204,456**	
4. Unapproved FY 09/10 Planning Estimates	**$10,474,700**				
5. Total Funding[f/]	**$10,474,700**	**$2,171,048**	**$0**	**$2,511,256**	**$0**

a/ Published in DMH Information Notices
b/ CSS funds may be transferred to CFTN, WET and Prudent Reserve up to the limits specified in WIC 5892b.
c/ From Total Required Funding line of Exhibit E for each component
d/ From FY 2007/08 MHSA Revenue and Expenditure Report
e/ Adjustments for FY 2008/09 additional expenditures and/or lower revenues than budgeted
f/ Must equal line B.3., Total FY 2009/10 Funding Request, for each component

EXHIBIT 5 - STAKEHOLDER PARTICIPATION FOR TECHNOLOGICAL NEEDS PROJECT PROPOSAL

Integrated Information System Enhancement Project

Counties are to provide a short summary of their Community Planning Process (for Projects), to include identifying stakeholder entities involved and the nature of the planning process; for example, description of the use of focus groups, planning meetings, teleconferences, electronic communication and/or the use of regional partnerships.

Stakeholder Type	Meeting Type	Meeting Date
e.g. (contract provider, client, family member, clinician)	e.g. public teleconference	
Internal Survey	Interactive Web Survey	6/30/2007
Meeting with Children's Contracted Providers	Public Meeting	7/24/2007
Meeting with Adult Contracted Providers	Public Meeting	7/26/2007
Meeting with MD's	Departmental Physicians Meeting	7/10/2007
Regional Clinic Meetings Santa Maria Lompoc Santa Barbara	Departmental Clinic Meetings	 12/18/2007 12/21/2007 12/19/2007
Meeting with County ITD	County CIO and Departmental Meetings	7/24/2008
Initial Introduction to ADMHS Executive Team Discussion meeting with ADMHS Executive Team	Departmental Execs	8/21/2008 9/11/2008 11/6/2008 12/4/2008
Meeting with Consumer Group	Public Meeting	8/21/2008
Meeting with Latino Advisory Committee	Public Meeting	12/8/2008
Meeting with MHSA Technology Volunteer	Open to all Technology Volunteers	11/3/2009
Meeting with MHSA Execs	ADMHS Planning Committee	11/4/2009
Mental Health Commission Meeting	Public Meeting	11/20/2009

Appendix A – Project Risk Assessment

Consumer Access to Computer Resources Project

Category		Factor	Rating	Score
Estimated Cost of Project		Over $5 million	6	
		Over $3 million	4	
		Over $500,000	2	2
		Under $500,000	1	
Project Manager Experience				
Like Projects completed in a "key staff" role		None	3	
		One	2	
		Two or More	1	1
Team Experience				
Like Projects completed by at least 75% of Key Staff		None	3	
		One	2	
		Two or More	1	1
Elements of Project Type				
Hardware	New Install	Local Desktop/Server	1	1
		Distributed/Enterprise Server	3	
	Update/Upgrade	Local Desktop/Server	1	
		Distributed/Enterprise Server	2	
	Infrastructure	Local Network/Cabling	1	1
		Distributed Network	2	
		Data Center/Network Operations Center	3	
Software	Custom Development		5	
	Application Service Provider		1	1
	COTS* Installation	"Off-the-Shelf"	1	
		Modified COTS	3	
	Number of Users	Over 1,000	5	2
		Over 100	3	
		Over 20	2	
		Under 20	1	
*Commercial Off-The-Shelf Software	Architecture	Browser/thin client based	1	1
		Two-Tier (client/server)	2	
		Multi-tier (client & web, database, application, etc. servers)	3	Total 10

Total Score	Project Risk Rating
23 – 31	High
16 – 24	Medium
8 – 15	Low

Electronic Health Record Enhancement Project

Category		Factor	Rating	Score
Estimated Cost of Project		Over $5 million	6	
		Over $3 million	4	
		Over $500,000	2	2
		Under $500,000	1	
Project Manager Experience				
Like Projects completed in a "key staff" role		None	3	
		One	2	
		Two or More	1	1
Team Experience				
Like Projects completed by at least 75% of Key Staff		None	3	
		One	2	
		Two or More	1	1
Elements of Project Type				
Hardware	New Install	Local Desktop/Server	1	1
		Distributed/Enterprise Server	3	
	Update/Upgrade	Local Desktop/Server	1	
		Distributed/Enterprise Server	2	
	Infrastructure	Local Network/Cabling	1	1
		Distributed Network	2	
		Data Center/Network Operations Center	3	
Software	Custom Development		5	
	Application Service Provider		1	1
	COTS* Installation	"Off-the-Shelf"	1	
		Modified COTS	3	
	Number of Users	Over 1,000	5	3
		Over 100	3	
		Over 20	2	
		Under 20	1	
*Commercial Off-The-Shelf Software	Architecture	Browser/thin client based	1	1
		Two-Tier (client/server)	2	
		Multi-tier (client & web, database, application, etc. servers)	3	Total 11

Total Score	Project Risk Rating
23 – 31	High
16 – 24	Medium
8 – 15	Low

Consumer Security and Confidentiality Project

Category		Factor	Rating	Score
Estimated Cost of Project		Over $5 million	6	
		Over $3 million	4	
		Over $500,000	2	2
		Under $500,000	1	
Project Manager Experience				
Like Projects completed in a "key staff" role		None	3	
		One	2	
		Two or More	1	1
Team Experience				
Like Projects completed by at least 75% of Key Staff		None	3	
		One	2	2
		Two or More	1	
Elements of Project Type				
Hardware	New Install	Local Desktop/Server	1	1
		Distributed/Enterprise Server	3	
	Update/Upgrade	Local Desktop/Server	1	
		Distributed/Enterprise Server	2	
	Infrastructure	Local Network/Cabling	1	1
		Distributed Network	2	
		Data Center/Network Operations Center	3	
Software	Custom Development		5	
	Application Service Provider		1	1
	COTS* Installation	"Off-the-Shelf"	1	
		Modified COTS	3	
	Number of Users	Over 1,000	5	3
		Over 100	3	
		Over 20	2	
		Under 20	1	
*Commercial Off-The-Shelf Software	Architecture	Browser/thin client based	1	2
		Two-Tier (client/server)	2	
		Multi-tier (client & web, database, application, etc. servers)	3	Total 12

Total Score	Project Risk Rating
23 – 31	High
16 – 24	Medium
8 – 15	Low