

**Technological Needs Project Proposal
Level One Evaluation Form**

Date Received: _____ Review Date: _____ Reviewer: _____

Proposal #: _____ Project #: _____ Project Title: _____

LE #: _____ LE Name: _____

LE Max. Allocation: \$_____ Request: \$_____ Request ≥ Allocation: Yes No

Financially Viable: Yes No Unknown

Review Findings: Pass L1 Fail L1

List of Projects Proposed: **Check types of TNPs proposed per face sheet*

➤ **Electronic Health Record (EHR) System Projects**

- | | |
|--|--|
| <input type="checkbox"/> Infrastructure, Security, Privacy | <input type="checkbox"/> Practice Management |
| <input type="checkbox"/> Clinical Data Management | <input type="checkbox"/> Computerized Provider Order Entry |
| <input type="checkbox"/> Full Electronic Health Record (EHR) | <input type="checkbox"/> Electronic Data Interchange (EDI) |

➤ **Client and Family Empowerment Projects**

- Client/Family Access PHR Systems Projects Online Information Resources

➤ **Other Technological needs Projects/Initiatives That Support MHP Operations**

- | | |
|---|--|
| <input type="checkbox"/> Telemedicine etc. | <input type="checkbox"/> Pilot Projects to monitor programs/outcomes |
| <input type="checkbox"/> Data Warehousing/ Decision Support | <input type="checkbox"/> Imaging / Paper Conversion Projects |
| <input type="checkbox"/> Other | |
| <input type="checkbox"/> Treatment Planning Library | <input type="checkbox"/> Automation of Eligibility Verification |
| <input type="checkbox"/> Forms Translation | <input type="checkbox"/> e-Signature |
| <input type="checkbox"/> Legal Services | <input type="checkbox"/> Technical Writing Services |
| <input type="checkbox"/> Contracted Training Services | <input type="checkbox"/> Contracted Technical Support |
| <input type="checkbox"/> Community-based Treatment QI | <input type="checkbox"/> Electronic Clinical Assessment |

Are any Projects or Initiatives included in the Contractor Proposal not identified above?

Yes No

If yes, what additional Projects/Initiatives are included? _____

Exhibit 3 Face Page

Face Page included

- All Contractor Data completed
- At least one project description checked
- At least one project approach checked
- Consortium field completed
- At least one project type checked
- If COTS, etc. – Vendor or “TBD” indicated

Face page Comments: _____

Exhibit 3 Project Narrative

1.1 Project Overview (Narrative)

NA Y N

- 1.1.a) **Project Purpose** is clearly stated and consistent with MHPA IT Guidelines?
- 1.1.b) **Background** includes clear and sufficient description of agency, including services provided, staffing, and number of service locations?
- Client base** is clearly and sufficiently described in Background section and indicates whether non-DMH clients are served?
- If non-DMH clients are served, proposal indicates whether the proposed system will be used exclusively for DMH clients or used to support non-DMH clients?
- If non-DMH clients will be served by this project, percentage or proportion of DMH and non-DMH clients is described?
- Current IT environment** is clearly and sufficiently described, including number of IT staff, description of roles, project management and implementation experience, and identifying both employed and contract staff?
- IT resources** that will support project are described, including both internal and contractual staff, amount (or percentage) of time that will be applied to project, and duration of time on project?
- 1.1.c) **Project Goals and Objectives** are clearly stated and appear reasonable?
- 1.1.d) **Project Scope** is clearly and sufficiently described, and appears reasonable?
- 1.1.e) **Project Justification** is clear and sufficient?
- 1.1.f) **Project Approach** is described? (See Section 1.3)
- 1.1.g) **Replacement and supplantation:** If project includes replacement of any existing application or system functionality that was in place prior to November 2, 2004, proposal includes a description of the reason for the replacement and how the proposed replacement does not constitute supplantation?

Section 1.1 Comments: _____

1.2 Results, Benefits and Critical Success Factors

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

- 1.2.a) **Tangible results or benefits expected** are clearly described and quantified?
- 1.2.b) **Intangible results or benefits expected** are clearly described?
- 1.2.c) **Critical Success Factors** are clearly described?

Section 1.2 Comments: _____

1.3 Project Approach

Y	N
<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>

- 1.3.a) **Project approach** (how work will be done) is clearly and sufficiently described?
- 1.3.b) **Factors** that may influence the approach and/or schedule have been adequately described?

Section 1.3 Comments: _____

1.4 Project Risks ***See next page.*

1.5 MHA Goals and Objectives

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

- Proposal includes adequate description of how the proposed project meets one or both overarching MHA Information Technology goals:
- (a) Increase Consumer/Family Empowerment, and/or
 - (b) Modernization and Transformation of Clinical and Administrative Systems?

Section 1.5 Comments: _____

Appendix A: Project Risk Assessment

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

- Appendix A included?
- Each Sub-section scored (no section scored “zero”)?
- Final Score is accurate?
- Scores provided appear consistent with Exhibit 3 description?
- Project is High Risk?

Appendix A Comments: _____

High Risk Projects ONLY
(Appendix A and Sections 1.4, 2.1, 2.2, and 2.3)

1.4 High-Risk Projects Risks and Mitigation Strategies

NA	Y	N
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 1.4.a) Risks are identified, and are clearly and sufficiently described?
- 1.4.b) Mitigation strategies are identified, described, and appropriate?

Section 1.4 Comments: _____

Narrative Section 2. High-Risk Project Management

NA	Y	N
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.1 **Scope Management:** Proposal includes a sufficient description of the approach to monitor project, including Change Management?
- 2.2 **Time Management:** Proposal includes a sufficient description of the approach to monitor the project, schedule in order to complete the project on time?
- 2.3 **Cost Management:** Proposal includes a sufficient description of the approach to monitor project costs?

Section 2 Comments: _____

3.1 Cost Justification *(Please reference Exhibit 4 – Budget Summary.)*

NA Y N

- 3.1.a) **Personnel costs** appear appropriate, adequately justified, and consistent with line items on Exhibit 4?
- 3.1.b) **Hardware costs** appear appropriate, adequately justified, and consistent with line items on Exhibit 4?
- 3.1.c) **Software costs** appear appropriate, adequately justified, and consistent with line items on Exhibit 4?
- COTS customization or custom software development** costs appear appropriate and are adequately justified?
- 3.1.d) **Contract Services** includes all types of contracted services, e.g., consulting fees, ASP subscription fees, storage or back-up fees, annual support fees, etc.
- 3.1.e) **Other Expenses** appear appropriate, adequately justified, and are consistent with line items on Exhibit 4?
- 3.1.f) **Start-up funds** have been requested and amount is indicated, use of funds is described and appears appropriate, and costs are included on appropriate lines of Start-up Funds column of Exhibit 4?
** Yes, start-up funds have been requested and meet requirements above.*
** No, incomplete information provided to support start-up funds request.*
** Not applicable. No start-up funds requested.*
- 3.1.g) **Non-MHSA funding**, if applicable, is described clearly and sufficiently as means of support for project costs that are not eligible for reimbursement by MHSA funds, and these costs are included on Exhibit 4, line “Total Costs B”?
- 3.1.h) **Costs incurred in excess of MHSA IT funding allocation**, if applicable, are described clearly and sufficiently regarding source(s), and are included on Exhibit 4, line “Total Costs B”?
- 3.1.i) **Project Budget overall** appears reasonable and consistent with objectives, scope, approach, and description of project costs, with no apparent omissions?
- 3.1.j) All cost narrative sections are consistent with line items on Exhibit 4?
- 3.1.k) All cost narrative sections include complete and accurate computations, including if applicable, percentage allocation if non-DMH clients will be served by the project, and (b) if non-MHSA funds will be used to support project.

Section 3.1 Comments: _____

3.2 Ongoing Sustainability of System

Y N

Proposal includes a sufficient description of the ongoing costs of this project and describes a reasonable approach to maintaining the system after MHPA funds have been exhausted?

Section 3.2 Comments: _____

Hardware Considerations

NA Y N

4.1 Hardware Maintenance: Proposal includes a sufficient description of the approach for establishing maintenance and/or service agreements (i.e., extended warranties) for hardware and equipment purchased using MHPA funds?

4.2 Backup Processing Capability: Proposal includes a sufficient description of the approach for evaluating business needs and determining the appropriate backup processing capabilities of any system(s) purchased using MHPA funds?

Section 4 Comments: _____

Software Considerations

NA Y N

5.1 Software security features and approach are clearly and sufficiently described, meeting at minimum, all security standards set forth in State DMH Appendix B – Capital Facilities and Technological Needs Guidelines (Enclosure 3, pgs 37-41)?

5.2 Ability of the software to meet current technology standards and be modified to meet them in the future is described, including affirmative language of assurance?

Section 5 Comments: _____

Implementation and Training

NA Y N

6.1 Process for implementing the technology is clearly and sufficiently described as to approach, and approach appears reasonable?

6.2 Process for training is clearly and sufficiently described as to approach, and approach appears reasonable?

Section 6 Comments: _____

Security Planning

7. Security Planning

NA	Y	N
<input type="checkbox"/>		<input type="checkbox"/>

PHI Security: Project is an EDI/EHR project or other project where security of PHI is an issue? *If "Yes", continue below. If "No", skip to Exhibit 4 – Budget Summary.*

Note: For Sections 7.2 and 7.3 below, proposers may indicate that approaches to Security Planning will be determined and submitted within 30 days of implementation ("go live") date. If project is in implementation or ongoing, approaches must be submitted within 30 days of contract execution date.

7.1 Protecting Data Security and Privacy

NA	Y	N
	<input type="checkbox"/>	<input type="checkbox"/>

7.1.a) Proposal includes a description of the approach for developing and maintaining effective security and privacy policies and procedures and the approach appears reasonable?

7.1.b) Proposal includes a description of the approach for ensuring compliance with local, State, and Federal security and privacy laws and regulations and the approach appears reasonable?

	<input type="checkbox"/>	<input type="checkbox"/>
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7.2 Operational Recovery Planning is clearly and sufficiently described as to approach, and approach appears reasonable?

	<input type="checkbox"/>	<input type="checkbox"/>
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7.3 Business Continuity Planning is clearly and sufficiently described as to approach, and approach appears reasonable?

	<input type="checkbox"/>	<input type="checkbox"/>
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7.4 State and Federal Laws and Regulations are clearly and sufficiently described as to approach for ensuring that any technology solution implemented using MHPA Technological funds will be compliant with all applicable federal, state, and local laws, ordinances, rules, regulations, manuals, guidelines and directives including ADA, CCHIT, and MHPA Capital Facilities and Technological Needs Guidelines and Regulations **OR** proposer affirmatively states intent to ensure compliance with all applicable State and Federal Laws and Regulations referenced above?

	<input type="checkbox"/>	<input type="checkbox"/>
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Section 7 Comments: _____

Exhibit 4: Budget Summary [Please reference Section 3.1 Cost Justification]

NA	Y	N
	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>

- E4.a) Exhibit 4 – Budget Summary included?
- E4.b) All Budget Header data (Title, Consortium, Agency, LE#)?
- E4.c) Fiscal Years Identified in column headers with dates (e.g., 2009-2010)?
- E4.d) Row totals (line items) are accurate and consistent with Section 3.1 narrative?
- E4.e) Column totals are accurate and consistent with Section 3.1 narrative?
- E4.f) Category totals are accurate and consistent with Section 3.1 narrative?
- E4.g) “Total Costs (B)” is accurate and consistent with Section 3.1 narrative, if applicable?
- E4.h) Project start-up costs ≤ 20% of total MHSA funding request?
- E4.i) Overall budget appears reasonable and consistent with the project objectives, scope, approach, and description of project costs, with no apparent omissions?

Exhibit 4 Comments: _____

Appendix C and C-1: Project Schedules

NA	Y	N
	<input type="checkbox"/>	<input type="checkbox"/>

- Appendix C** Project Summary Schedule included
- Appendix C-1** Project Detail Schedule included
- AC.a) Milestones & Tasks appear consistent with project as described in Exhibit 3?
- AC.b) All Milestones & Tasks that would generally be expected of a project of this type and scope are identified?
- AC.c) Project schedule appears to be realistic (all Milestone/Task start and end dates appear to be reasonable)?

Appendix C and C-1 Comments: _____

General Considerations

Y	N
<input type="checkbox"/>	<input type="checkbox"/>

The proposed project appears to be technically sound?

General Comments/Notes: _____

(End of L1 Evaluation Form. Attach additional comments pages, if required.)