

PM Express



A Quick Reference Guide

Orientation to the DoIT EPMO & State of New Mexico's Project Management processes and methodologies for managing your way to successful technology projects

Enterprise Project Management Office (EPMO)

EPMO Mission: Enabling successful IT initiatives and supporting business objectives

New Mexico (NM) must **develop and maintain a business-driven technology strategy** to achieve value through continuous innovation and best practices. NM must **link Information Technology (IT) strategy directly with business objectives** to deliver value that today's leaders require.

Oversight of IT initiatives and operations **provides holistic, results oriented, preparation and guidance** that develops a right-sized enterprise conscious approach to overarching success. Initiatives are iteratively steered to outcomes by monitoring and guiding five perspectives:

1. **Strategic Alignment**
2. **Executive Sponsorship and Governance**
3. **Business Oriented Solutions**
4. **Project Management and Organization Change Management**
5. **Collaborative Project Oversight & Guidance**

EPMO Journey Map

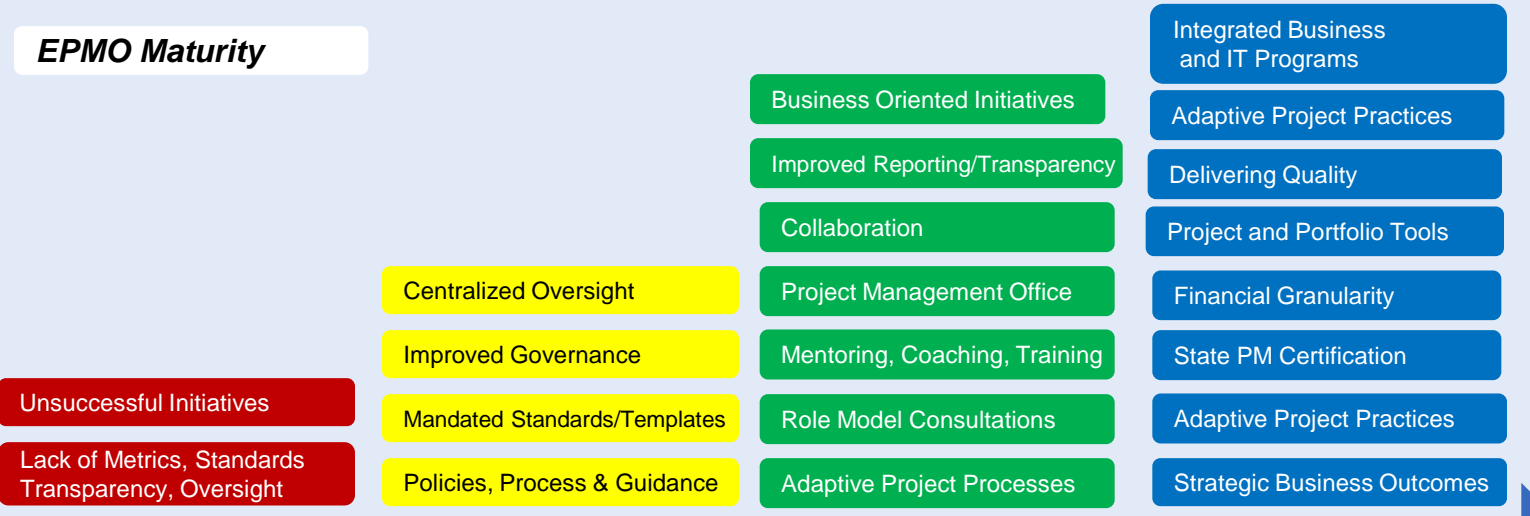


Mission: Enabling successful IT Initiatives and supporting strategic business objectives

EPMO Maturity

EPMO Maturity

Evolution



Disconnected
2002-2007

Lack of standard process, structure, tracking, reporting on IT initiatives

Directive
2007-2011

Directed oversight, standards – focus on mandates and compliance

Adaptive
2011-2015

EPMO provides holistic, non-threatening, mentoring and coaching guidance

Optimizing
2015 +

Optimizing

- Failed projects...
- Scathing Legislative Finance Committee (LFC) audit report
- Disconnected governance
- Separation of IT and business

- DoIT Act – Project Certification Committee (PCC), Project Oversight & Compliance Division
- Directed standards & structured oversight
- Procurement oversight
- Introduced IV&V and QA
- C2 Process, IT Lifecycle Model
- ITC & STTC
- Legislative & policy analysis
- Fragmented bureaus
- Budget slashed

- Gartner assessment
- Consolidated EPMO
- Standard metrics
- Business strategic goals
- Executive sponsorship in governance and decision-making
- Adaptive project management & project assistance, training
- Agency & PM guidance
- Organizational change management & BPA
- Statewide Initiatives- Broadband, HIT, Education, Public Safety...

- Project maturity will continue to improve
- Integration of business and IT
- Sustainability
- Cross jurisdictional collaboration
- PM certification designed to align traditional PM to state business practices
- PM communities of practice
- PMO workgroup
- PPM Tools
- Portfolio data analytics, trends, strategic policy guidance

Vision:
All IT initiatives successfully delivered on **Scope, Schedule, Budget, and meeting Quality Business-Objectives.**, i.e. deliver SSQB

Strategy:
Monitor Key Project Indicators throughout lifecycle and ensure successful outcomes. Deliver Successful Business Outcomes: **Scope, Schedule, Budget, Quality.**

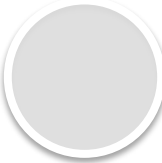
EPMO Functions



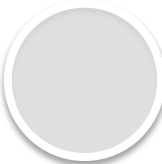
Provide **IT Management Lifecycle policies, methodologies and templates** for information technology (IT) initiatives to promote quality and success and report regularly to Executive, Legislative, and ITC on the status of the State's IT Project Portfolio



Provide support, guidance and **oversight on IT projects and procurements** to promote improved outcomes



Review executive agency IT plans for prudent allocation of IT resources and **monitor compliance** of projects with agency IT Plan and the state IT strategic plan



Review appropriation requests and legislation related to IT and make recommendations to the DFA and LFC for formal approval by the Legislature and the Governor, and



Provide senior **project management guidance** for enterprise projects.

EPMO Functions – Other Key Areas



Management Support

Communication

Mode, Quantity, Quality – Clarity, Diplomacy, Specificity

Information Technology Oversight

Agency

- Agency Analyses
- Regular Meetings
- IT Plan Reviews
- IT Appropriation Requests (“C2” process) Reviews & Analyses
- Cross-Agency Knowledge Sharing & Collaboration
- Monitoring for Compliance
- Standards, Templates, Policies and Procedures

Projects

- Project Comprehension
- PCC Prep & Guidance
- TARC Prep & Guidance
- Review Monthly Project Reports
- IV&V Reports
- Quarterly Project Reporting
- Monitoring for Compliance
- Quality
- Standards, Templates, Policies and Procedures
- Statewide Initiatives: Broadband, HIT, Education, Economic Development, Public Safety

Procurements

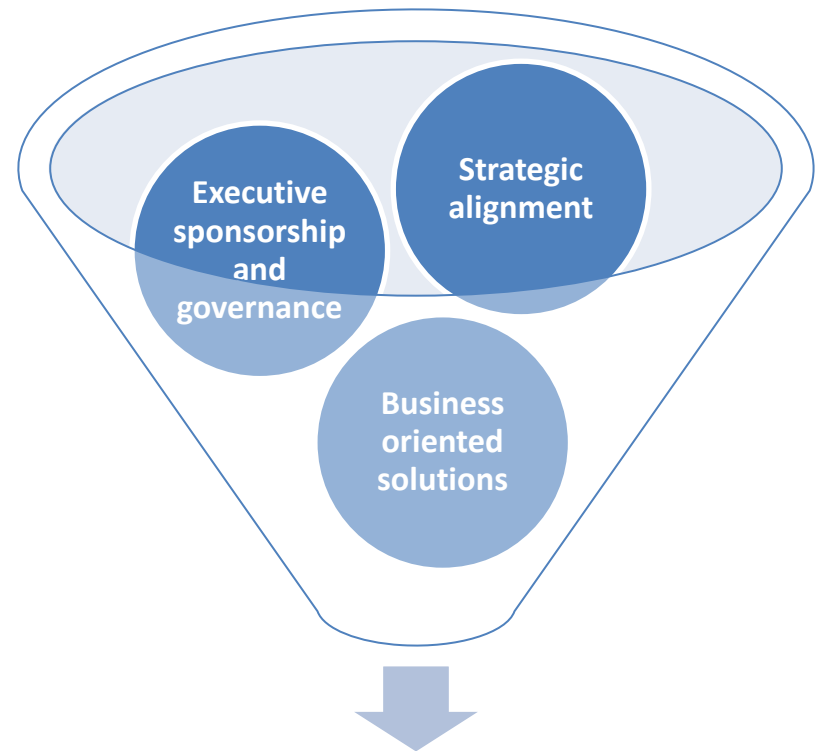
- Contract Reviews
- Amendment Reviews
- Request for Proposal (RFP) Reviews
- Invitation to Bid (ITB) Reviews
- Monitoring for Compliance
- Standards, Templates, Policies and Procedures

Consistency, Efficiency, Timeliness, Professional Dedication, Reliability, and Accountability

Project Management Methodology

PROJECT CERTIFICATION:

- All executive branch agency IT projects meeting one or more of the following criteria must follow the certification process in order for IT project funds to be released in a phased manner, regardless of the source of funds:
 - project is required to undergo phased certifications as a result of the appropriation or grant;
 - project is a subsequent or interrelated project to a previously certified project;
 - project cost is equal to or in excess of \$100,000;
 - project is one deemed appropriate by the DoIT Cabinet Secretary, who is also the State CIO.



Enabling Successful IT initiatives and Supporting Business Objectives

Project Management Methodology

PROJECT MANAGEMENT METHODOLOGY:

- All IT projects shall be managed:
 - using a qualified project manager;
 - using a formal project management methodology, process, and techniques identified in the project charter and approved by the DoIT; and
 - by analyzing and monitoring risk at regular intervals during the project management lifecycle, and mitigating risks before they negatively impact the project.
- During the project management lifecycle, agencies shall select and implement a phased product development/implementation lifecycle methodology approved by the DoIT.
- The project budget must be documented in the project management plan by phases and deliverables.



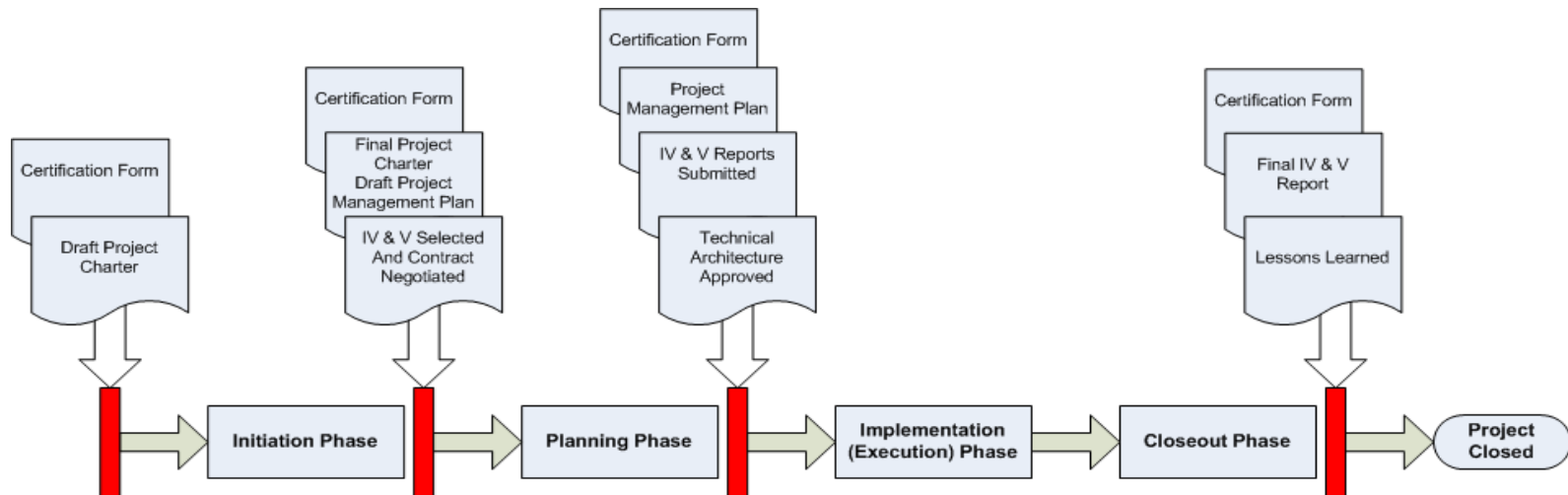
Enabling Successful IT Initiatives and Supporting Business Objectives

Project Management: Lead Agency Responsibilities

A lead agency shall perform the following functions:

- Manage its information technology (IT) projects and project resources and use approved project management methodology for planning, executing, and controlling the project.
- Appoint a qualified lead project manager and, if applicable, a project director.
- If the agency hires a contract project manager, the lead project manager/director shall be responsible for ensuring that the consulting firm and/or contract project manager is managed in the best interests of the state.
- Provide to the DoIT access to all appropriate project management deliverables. Deliverables shall include but shall not be limited to the project plan, project schedule, initial and periodic risk assessments, quality strategies and plan, periodic project reports, requirements and design documents for entire project.
- Prepare and submit a written project status report at least monthly to the Department, and more frequently at the request of the Department.
- Prepare a written risk assessment report at the inception of a project and at the end of each product development lifecycle phase or more frequently for large and high-risk projects. Each risk assessment shall be included as a project activity in the project schedule.
- Develop and provide quality strategies, including independent verification and validation (IV&V), in compliance with the Department guidance, best practices and standards.
- The lead agency shall fully cooperate with and seek the assistance of the DoIT regarding the planning, execution and monitoring of IT projects.

Gates and Phases



- **Initiation Certification and Phase** funding is requested by an agency for use in initial project setup activities such as defining governance, stakeholders, project objectives, high level scope, approach/phases, project charter, conducting research and analysis, procurement planning, developing Independent Verification and Validation (IV&V) plan and contract; developing initial project management plan with rough order magnitude estimates, etc. **Note:** Waiver of the IV&V requirement requires specific written approval by the DoIT Cabinet Secretary.

➤ Draft Charter should be submitted with the Initiation Certification Request for release of funds.

- **Planning Certification and Phase** is for project planning. This request is for funds needed to complete all planning needed to successfully accomplish project (Phase objectives for projects following Agile, Iterative, Phased or hybrid methodologies) objectives. This could include activities such as procuring project manager or business analyst services to assist with planning, defining & baselining, scope, schedule, budget, quality metrics, requirements, business processes, procurement planning, communication plan, change management plan, risk/issue management plan, project management plan (PMP), technical planning, system design, security planning, business continuity/disaster recovery planning, etc. The PMP is a manifestation of planning on all aspects of the project and will serve as the basis to track and manage the project during subsequent phases.

➤ IV&V consultant should be engaged early on during the Planning Phase. The project charter, draft PMP and the IV&V status update should be included with the request for release of funds.

Gates and Phases (continued)

- **Implementation/Execution Certification and Phase** is for project execution. This request is for funds needed to execute, track and manage actual work of the project/phase in accordance with plans. Typical activities could include JAD sessions, procurements (RFPs, contracts, etc.), contract and vendor management, build, buy, modify, configure, implement, testing, training, rollouts, transition to operations, etc. The project should have qualified PM structure to manage, track, monitor and report on progress. IV&V consultant should be actively engaged in the project.
 - The updated/final PMP and most recent IV&V report must be submitted with the certification request. The project should also obtain TARC approval prior to Implementation Phase PCC request.
- **Closeout Certification and Phase** is the termination or completion of the project.
 - The lessons learned, final IV&V report and Project Closeout form should be submitted with the request.
- **Change Request** may be requested anytime during the project. Changes may include changes to baselined scope, schedule, budget, project phase, or other critical changes in the project, including when additional funds become available etc.
 - The Updated PMP, most recent IV&V report and a results update (lessons learned, performance improvements realized, etc. from phase/module/sprint completed) should be included with the request.

Related Links:

Graphical representation of the PCC Timelines and Gates:

[DoIT Project Certification Timeline and Gates](#)

Project Management Document Templates and Guides:

http://www.doit.state.nm.us/project_templates.html

Certifications documents available for reference:

<http://www.doit.state.nm.us/pcc/index.html>

Certification Request Forms:

[Project Initiation: Request for Certification and Release of Funds](#)

[Project Planning: Request for Certification and Release of Funds](#)

[Project Implementation: Request for Certification and Release of Funds](#)

[Change Request for Certification and Release of Funds](#)

[Project Closeout: Project Closeout Report Template](#)

Project Certification Committee (PCC)

- The PCC evaluates project readiness to ensure that projects satisfy criteria established by the DoIT Cabinet Secretary-State CIO and are phased in with funding released in phases, contingent upon successful completion of the prior phase.
- The DoIT Cabinet Secretary serves as chair of the PCC.
- PCC members consist of a designee from the Information Technology Commission, the DoIT Deputy Cabinet Secretary, the DoIT Administrative Services Director, the DoIT Director of the Project Oversight and Compliance Division/EPMO, the State Purchasing Agent, one advisory member from DFA, and one advisory member from LFC.
- For DoIT Project Certifications, the DoIT Cabinet Secretary recuses himself from the certification vote, and the ITC member stands in his place.
- Agencies should be represented by the Executive Sponsor, the Project Leads, and include business side representation.
- Prior to scheduling for PCC, the Agency should ensure adequate planning and aspects appropriate to the certification gate requested are complete and documented.
- **The documentation is a manifestation of planning on the project.** Agencies should prepare a presentation providing a high level overview of the project.

PCC Presentation

Include the following items in your **presentation**:

- Cover slide including the names and roles of the team presenting
 - Agency mission (for Initiation phase)
 - Project stakeholders and governance
 - The high level project overview including objectives, budget and timeline
 - Project approach and management strategy
 - Details on the solution
 - Accomplishments thus far
 - Identify risks, issues, and mitigation strategies – include latest IV&V findings
 - Lessons learned (for Closeout)
 - Performance metrics improvements (for Closeout)
- It is good to have a subject matter expert who can speak in great detail regarding the **technical and business aspects** of the project. If needed, it is okay to bring a vendor technical expert or experts.
 - It is a good idea to have someone from the business side on hand who is very familiar with the project and how the end users will utilize it.

Technical Architecture Review Committee

- The **Technical Architecture Review Committee (TARC)** ensures adequate planning on technical aspects of the project have been completed and documented, and verifies compliance with the State Information Architecture.
- The TARC committee is comprised of technical subject matter experts.
- Agencies may be represented by the IT Lead and other technical experts on the project.
- Prior to scheduling for TARC, the Agency should ensure adequate planning on technical aspects of the project have been completed and documented.
- **The documentation is a manifestation of technical planning on the project.** Agencies may elect to do a presentation providing a high level overview of the project including technical aspects.
- The **System Design document** is a very important part of the packet, is suggested it be thorough and that in addition to a visual representation, it also contain clearly presented specific, low level information regarding the design.

Here are some suggestions for a TARC **PowerPoint presentation** :

- State the high level project overview & scope
- Details on the solution – How it does what it does? COTS? Custom? Platform(s)? Software? Software Licenses? Backups? Etc.
- Information on data (recommend including ownership)
- Information on security
- Information on business continuity/disaster recovery

Technical Architecture Review Committee

- There is a preference for DoIT data center hosted solutions, if the project does not use the data center be prepared to discuss in detail the reason(s) it does not.

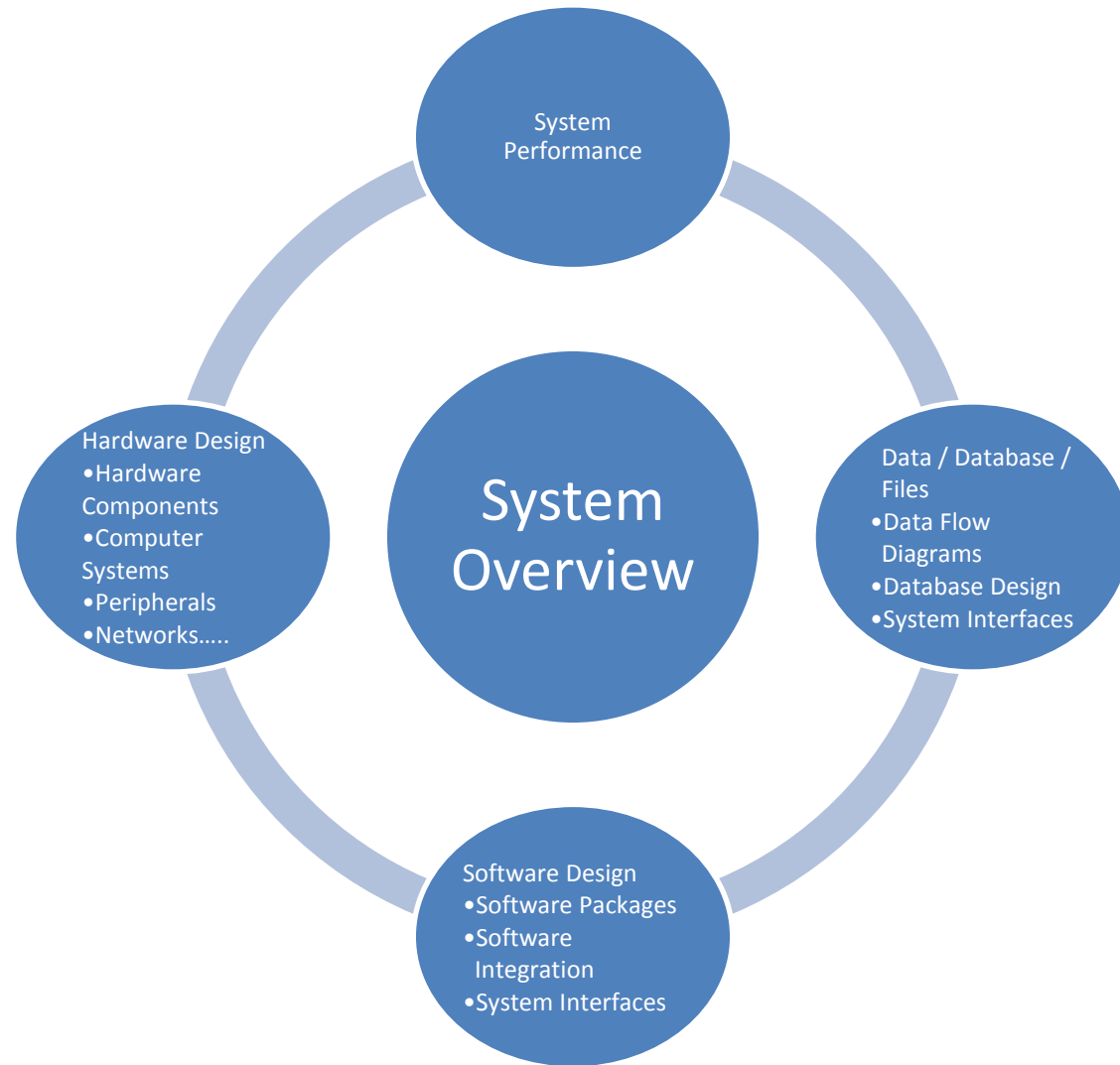
TARC related documents needed with related links:

- TARC Request Form: [Technical Architecture Review Form \(TARC\)](#)
 - System Design Document: [System Design Document Template](#)
 - Security Questionnaire: [Security Questionnaire](#)
 - Business Continuity Plan: [Business Continuity Template](#)
 - Operations and Support: [Operations and Support Plan Template](#)
- When completed, email the documentation to EPMO@state.nm.us

TARC – System Design

- **SYSTEM OVERVIEW:**

- Hardware Design
 - Hardware Components
 - Computer Systems
 - Peripherals
 - Networks
 - Hardware Integration
 - Logical Design
 - Physical Design
 - Recovery Design
- Software Design
 - Software Packages
 - Software Integration
- Data / Database / Files
 - Data Flow Diagrams
 - Database Design
- System Interfaces
- System Performance
- Security & BC/DR



Project Reporting

REPORTING REQUIREMENTS:

- **Monthly Project Status Reports:** Once the project is initiated, the project manager reports on the status of the project's key project indicators (KPIs) on a monthly basis (due the 10th of each month reporting on activities of the prior month).
- The monthly project report is emailed to EPMO@state.nm.us with a CC: to the Agency's assigned oversight consultant.
 - Sheet One is the overall monthly status of project and KPIs
 - Sheet Two is a detailed breakdown of milestones and progress
- The EPMO team reviews the reports along with IV&V reports and other project artifacts (including regular check in meetings with Agencies, participation in regular project meetings with project teams/PMs/CIO/ESCs/other agency representatives) to assess project health and provides assistance & guidance, as necessary to ensure successful outcomes.
- Additionally, the team reviews and compiles aggregate reports for portfolio tracking, monitoring and portfolio level reporting to the DFA, LFC, ITC, STTC and other stakeholders on a quarterly basis or as needed.
- Projects with highest \$\$ value, high risk/visibility, or if deemed necessary by the DoIT Cabinet Secretary, make up the *Focus Portfolio*. These projects warrant an increased level of EPMO involvement and detail level reporting on these projects is submitted to the LFC and other stakeholders on a quarterly basis or upon request.
- The monthly report template can be found at <http://www.doit.state.nm.us/oversight.html> in the Project Monthly Report section.

Project Reporting (continued)

REPORTING REQUIREMENTS (continued):

Independent verification and validation: The Department requires all certified projects engage an independent verification and validation contractor unless waived by the Department.

- Independent verification and validation (IV&V) means the process of evaluating a project to determine compliance with specified requirements and the process of determining whether the products of a given development phase fulfill the requirements established during the previous stage, both of which are performed by an organization independent of the lead agency.

IV&V Guidance & Template is available at

- [Memo on IV&V Reporting Template](#)
- [Quality Assurance IV&V Guidelines](#)
- [Quality Assurance IV&V Template](#)

IV&V contract templates

- <http://www.doit.state.nm.us/contracts.html>

Procurements

SMALL PURCHASES:

- Purchases of twenty thousand dollar (\$20,000) or less that **do not** involve IT Professional Services may be procured by Cabinet level CIOs/ IT Leads using a purchase order by the agency.
- This includes renewal of software licenses, hardware maintenance, and support for services such as printers, copiers, and facility maintenance.

PROCUREMENT OF IT PROFESSIONAL SERVICES CONTRACTS:

- IT Professional Services greater than five thousand dollars (\$5,000) must use the IT Professional Services Template.
- IT Professional Services Contracts, **greater than** sixty thousand dollars (\$60,000) from Executive agencies shall be routed to the DoIT for approval using the appropriate contract template.
- IT Professional Services Contracts include hybrid contracts wherein IT professional services are included as a part of the overall contract.
- IT Professional Services **less than** sixty thousand dollars (\$60,000), unless noted in the exclusions listed below and on the next page, may be procured by the agency following the Department of Finance and Administration's procedures and the State Purchasing Code.

EXCLUSIONS:

- All professional services contracts related to certified projects must be reviewed by DoIT, regardless of compensation amount.

Procurements

EXCLUSIONS (continued):

- All professional services contracts related to information technology security must be reviewed by DoIT, regardless of compensation amount.
- All professional services contracts related to the State's ERP (SHARE) must be reviewed by DoIT, regardless of compensation amount.
- A contract may be deemed appropriate for DoIT review by the Secretary of DoIT. Circumstances may include, but are not limited to; by special request of the procuring agency, the DFA, or the SPD.

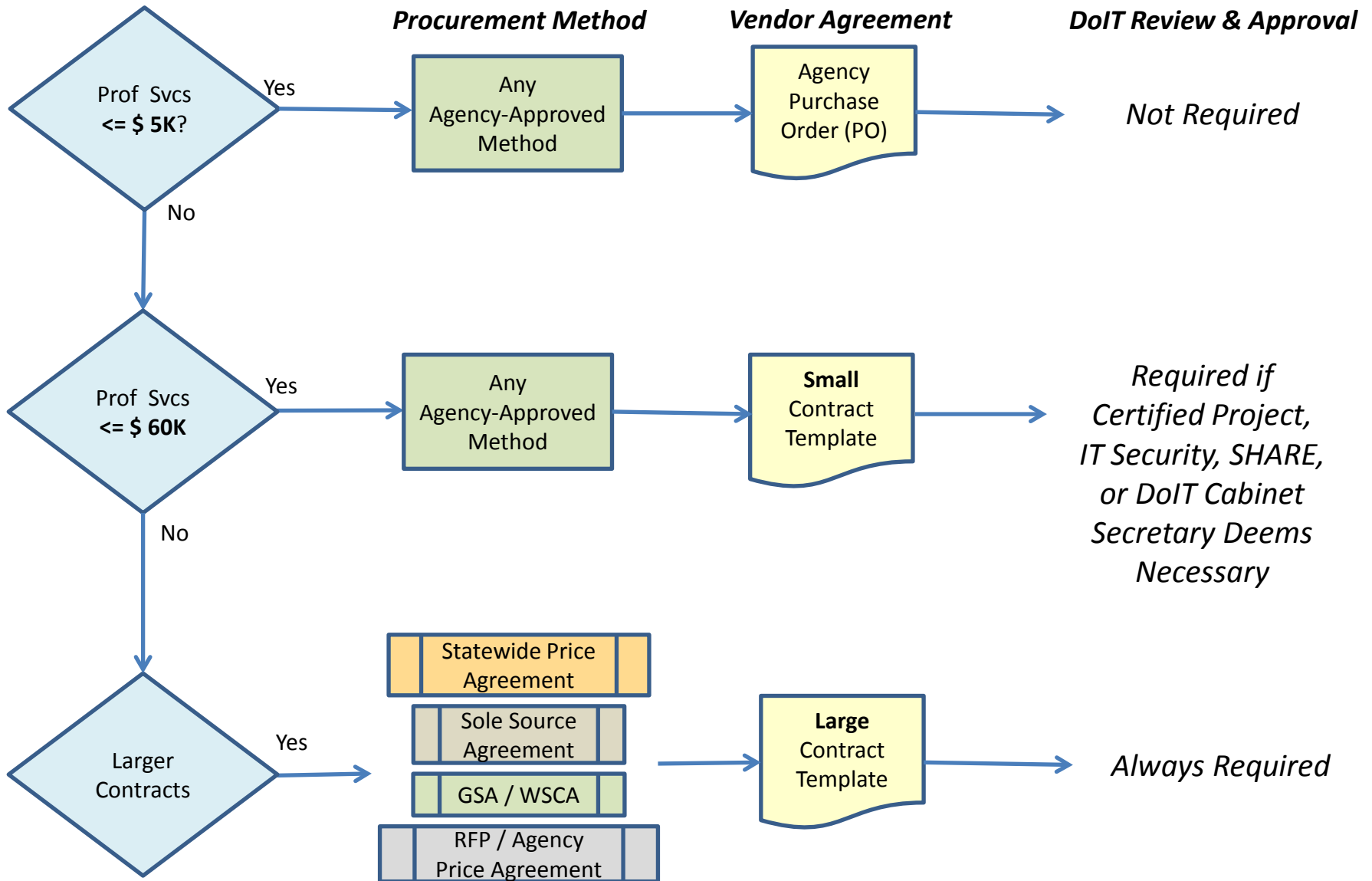
IT PROCUREMENTS *OTHER THAN* PROFESSIONAL SERVICES:

- All IT purchases and/or leases for software/hardware which exceed the dollar thresholds specified below shall be routed for approval to the DoIT.

APPROVAL AUTHORITY:

- For IT procurements *other than* IT professional services contracts, **cabinet level CIOs** may approve IT purchases/leases at or below one hundred thousand dollars (\$100,000) that:
 - Are not restricted by IT consolidation directives; see IT Exceptions on page 22;
 - Are included in and are consistent with the Agency IT plan, State Architectural standards and the State IT Strategic Plan;
 - Are not part of an IT project or initiative requiring DoIT approval; and
 - Are not deemed by the DoIT to possess substantial risk.

Procurement - IT Professional Services



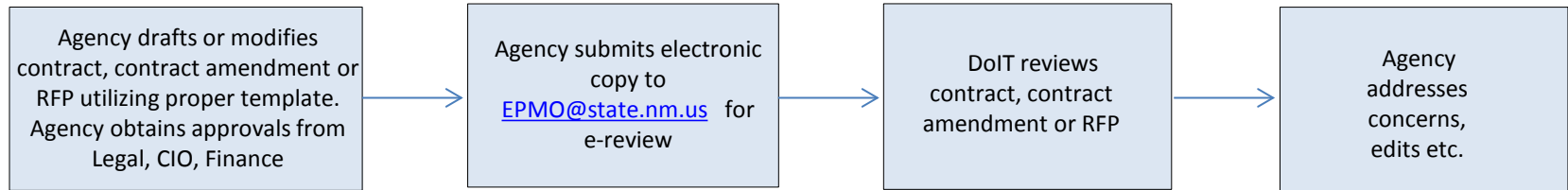
Procurements (continued)

AGENCY RESPONSIBILITY:

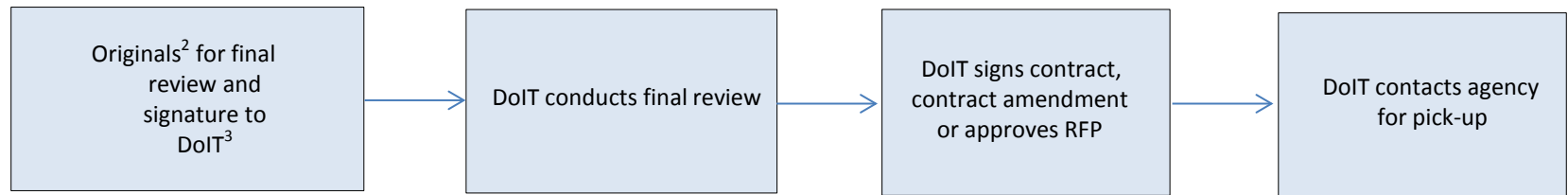
- Agencies are responsible for managing their IT contracts to ensure timely award and/or renewal of the same.
- Sufficient time *must be* allocated for each step of the approval processes to ensure it reaches the DoIT with sufficient time for review and/or comment prior to the proposed date of execution of the contract and/or agreement.
- The DoIT requires agencies to electronically submit, early in the process, any Requests for Proposals (RFP), contracts, agreements, or other such documents to the epmo@state.nm.us.
- The DoIT will provide guidance to the agencies in the electronic version of the agreement before final submission (hard copy for final approval and signature) to the DoIT.
- Original hardcopies must be signed by the vendor, agency secretary or executive director, the agency general counsel, and Taxation and Revenue Department prior to delivery to DoIT.
- Contract delivery and pick-up will be located at the Simms building.
- When delivering contracts, contract amendments, or RFPs, please be sure to sign the log at the guard's desk indicating agency/contract/and drop-off.
- The approval process and additional information for IT procurements for state agencies can be found at: www.doit.state.nm.us/contracts.html.

Agency IT Professional Service Contract, Contract Amendment & RFP Review & Approval Process

IT Contract, Contract Amendment and RFP E-Review



IT Contract, Contract Amendment and RFP Final Review and Signature



¹ EPMO@state.nm.us is the common mailbox for all correspondence with the EPMO. This mailbox is monitored regularly and will ensure the timely turn around of the e-review.

² Original hardcopies must be signed by the vendor, agency secretary or executive director, the agency general counsel, and Taxation and Revenue Department prior to delivery to DoIT.

³ Contract delivery and pick-up will be located at the Simms building. When delivering contracts, contract amendments or RFPs please be sure to sign the log at the guard's desk indicating agency/contract/and drop-off.

Exceptions - Executive Order (EO) 2008-11

IT Consolidation

- EO 2008-11 includes “Whereas, the unnecessary duplication of technology services must be reduced and eliminated and IT investments must be managed effectively and efficiently; and the cost of government operations can be reduced through effective development, implementation and management of IT architecture, programs and services, IT operational costs can be reduced through enterprise models, and the efficient delivery of high quality government services will benefit clients and support economic development.”
- The DoIT Cabinet Secretary has delegated the authority for many IT procurements and actions to the approval level of each agency CIO. However, the DoIT requires the following are reviewed and approved via the State’s EO 2008-11 exception process.

Equipment	Any server or storage solutions purchase (regardless of cost). Any individual hardware or software purchase > \$100K.
Personnel	Personnel actions on existing infrastructure position requires DoIT’s approval.
Tel/Com Network ISP	Any deviation from the state’s central communication system. This includes, but is not limited to, equipment and service for telephone, networks and radio.
Hosting and Storage	All production systems should be hosted in the State’s Data Center. Any system not hosted in the data center requires DoIT approval. This includes but is not limited to websites, cloud service, SaaS, IaaS, and PaaS.
Rule	Any rule deviation must be approved by DoIT.

Useful Links

- DoIT/EPMO web site: <http://www.doit.state.nm.us/oversight.html>
- PCC webpage: <http://www.doit.state.nm.us/pcc/index.html>
- Lessons learned repository & other resources: http://www.doit.state.nm.us/pocd_events.html
- Templates for PCC: <http://www.doit.state.nm.us/oversight.html>
- Templates for other project documents: http://www.doit.state.nm.us/project_templates.html
- Templates for procurement: <http://www.doit.state.nm.us/contracts.html>
- Enterprise Portfolio Reports & Presentations: http://www.doit.state.nm.us/pocd_portfolio.html

Definitions

- **“Agency”** means a state organizational entity of the executive branch, used interchangeably with department.
- **“Independent verification and validation (IV&V)”** means the process of evaluating a project to determine compliance with specified requirements and the process of determining whether the products of a given development phase fulfill the requirements established during the previous stage, both of which are performed by an organization independent of the lead agency.
- **“Executive sponsor”** is the person or group that provides high-level agency specific approvals for the project including those of the financial resources, in cash or in-kind, for the project.
- **“Lead agency”** of a multi-agency project is the agency that is indicated as lead agency in the General Appropriations Act or as designated by the Department. In the case where a single agency sponsors a project, then that agency shall be known as the lead agency.
- **“IT technology”** means computer hardware and software and ancillary products and services, including: (1) systems design and analysis; (2) acquisition, storage and conversion of data; (3) computer programming; (4) information storage and retrieval; (5) voice, radio, video, and data communications; (6) requisite systems; (7) simulation and testing; and (8) related interactions between users and information systems.
- **“Department”** means the Department of Information Technology (DoIT).
- **“Project manager”** means a qualified person from the lead agency responsible for all aspects of the project over the entire project management life cycle (initiate, plan, execute, control, close). The project manager must be familiar with project scope and objectives, as well as effectively coordinate the activities of the team. In addition, the project manager is responsible for developing the project plan and project schedule with the project team to ensure timely completion of the project. The project manager interfaces with all areas affected by the project including end users, distributors, and vendors. The project manager ensures adherence to the best practices and standards of the Department.
- **“Project management plan”** is a formal document approved by the executive sponsor and the Department and developed in the plan phase used to manage project execution, control, and project close.
- **“Project plans”** document planning assumptions and decisions, facilitate communication among stakeholders, and documents approved scope, cost and schedule baselines. A project plan includes at least other plans for issue escalation, change control, communications, deliverable review and acceptance, staff acquisition, and risk management.
- **“Project Certification Phases”** are the Initiation Phase (funding is requested for use in developing project phases, the IV&V plan and contract, and to address project review issues and/or to develop an overall project management plan) the Planning Phase (planning or development), Implementation Phase (execution or deployment), and Closeout Phase (termination or completion).
- **“Project schedule”** is a tool used to indicate the planned dates, dependencies, and assigned resources for performing activities and for meeting milestones.
- **“Qualified”** project manager means demonstrated experience managing IT projects. Demonstrated experience includes exhibiting the ability to apply project management methodology to maintain projects on time, on budget, and on schedule. Qualified also includes those employees who have the demonstrated ability to manage resources, lead people to accomplishing project objectives and who possess a working knowledge of the project scope.
- **“Quality”** means the degree to which a system, system component, or process meets specified requirements, customer needs, user expectations, and overall benefits realization has occurred.
- **“Quality assurance”** means a planned and systematic pattern of all actions necessary to provide adequate confidence that a product or system component conforms to established requirements.
- **“Validation”** means ensuring system meets documented performance outcomes and requirements of the project.
- **“Verification”** means application of an appropriate test yielding documentable, measurable evidence that ensures that a process executed or the technical system developed produces required performance outcomes.