

PM Express

An orientation to the Department of Information Technology (DoIT) Enterprise Project Management Office (EPMO) & State of New Mexico's Project Management (PM) processes and methodologies for managing your way to successful information technology projects.

July 2022

EPMO Mission:

Enabling successful information technology initiatives and supporting business objectives

PM Express Content

The following processes are presented in this document:

1. Project Certification Committee
 - Agency Responsibilities
 - Gates and Phases
 - Presentation
 - Certification
 - Monthly Reports
 - IV&V
2. Technical Architecture Review Committee
3. Information Technology Professional Services Agreements

Project Certification Committee

- The Project Certification Committee (PCC) evaluates project readiness and ensures that projects satisfy criteria established by the DoIT Cabinet Secretary-State Chief Information Officer (CIO).
- All executive branch agency information technology (IT) projects meeting one or more of the following criteria **must follow** the PCC 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.

Project Certification Committee

- PCC is currently being held virtually and is scheduled on the 4th Monday of the month, at 9:00 am. When PCC is onsite, it is held at the NM State Capitol, unless otherwise stated on the meeting invitation and agenda.
- All documentation must be emailed to EPMO@state.nm.us by the scheduled deadline in the month you are attending PCC.
- Documentation is reviewed and returned to you by the following week with feedback, comments or questions for you to address.
- Revised documentation is due by 5pm prior to PCC posting to the DoIT EPMO website.
- For actual dates, please check the schedule posted on the DoIT EPMO website in the [PCC and TARC Schedule](#) section.

Project Certification Committee

- The DoIT Cabinet Secretary-State CIO serves as the PCC chair.
- PCC members consist of the DoIT Deputy CIO, DoIT General Counsel, DoIT Application Development Manager, DoIT EPMO Director, DoIT Special Projects Manager and representatives from the Public Regulations Commission, Taxation and Revenue Department, State Purchasing Division, Department of Finance and Administration and the Legislative Finance Committee.
- Agencies must be represented by the executive sponsor, project leads and a business representative.
- Prior to scheduling for PCC, the agency must ensure adequate planning appropriate to the certification gate requested and ensure that the required documentation is completed.

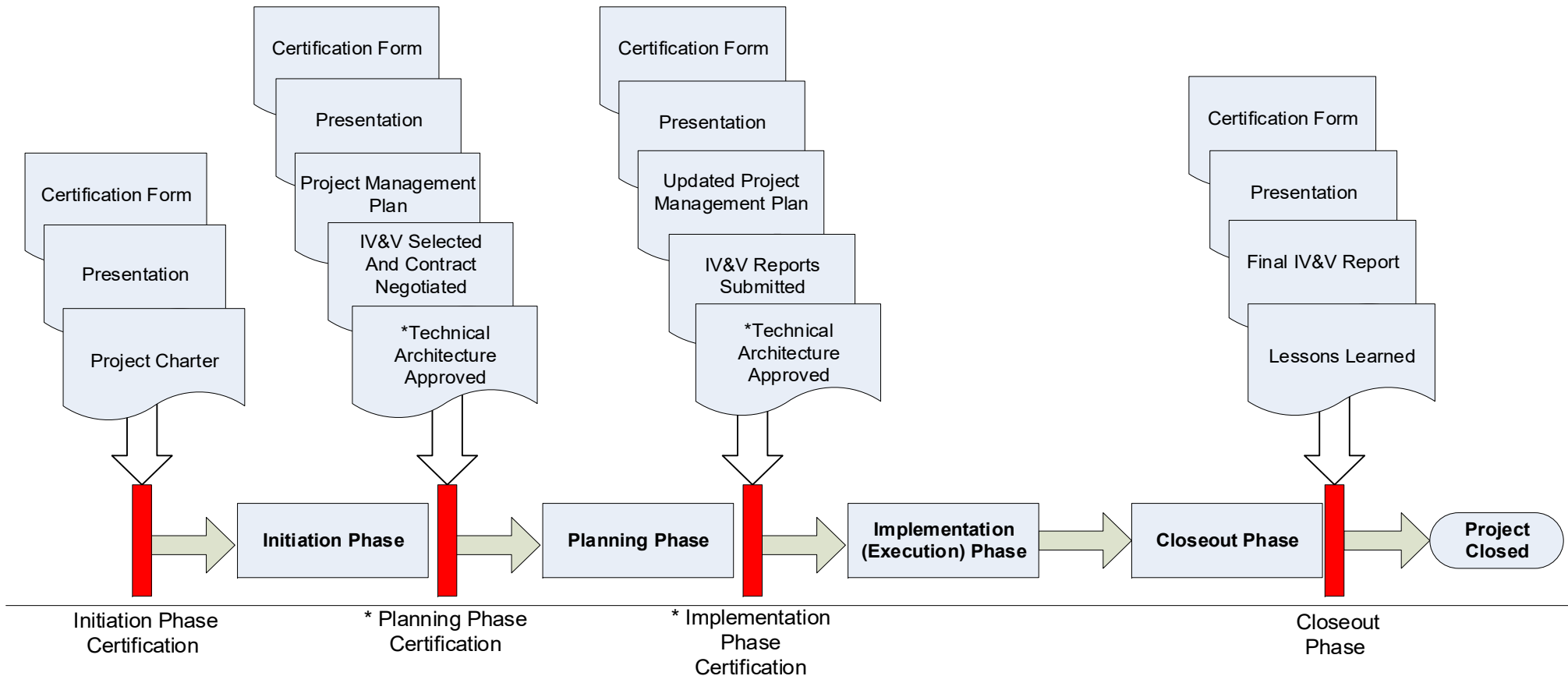
PCC Agency Responsibilities

- Appoint a qualified lead project manager (PM).
- If the agency hires a contract PM, the CIO or lead project manager is responsible for ensuring that the contracted PM is managed in the best interests of the state and is knowledgeable in completing the DoIT PCC and TARC documentation.
- Upon DoIT request, provide access to all project management deliverables such as project plans, project schedules, initial and periodic risk assessments, quality plans and strategies, periodic project reports, requirements and design documents.
- Prepare and submit the monthly status report by the 10th of each month and more frequently at the request of the DoIT.
- Include independent verification and validation (IV&V) or request a waiver using the [Request for Project Certification Exception-PCC-IV&V-TARC Waiver](#) form on the DoIT EP MO website in the [Project Certification](#) section.

PCC Agency Responsibilities

- Review the PCC schedule ahead of time to plan project certification attendance to ensure that phase and funding approval is conducted in time to not disrupt the project.
- Do not plan on attending PCC and TARC in the same month.
- Certification Request Forms for each of the project phases including Initiation, Planning, Implementation, Closeout and Change, can be found on the DoIT EPMO website in the [Certification Request Forms](#) section.
- Charter and Project Management Plan templates are available on the DoIT EPMO website in the [Project Certification Templates](#) section.
- The Gates and Phases section that follows, illustrates each phase and the documentation required to certify for each phase.

IT Project Certification Gates and Phases

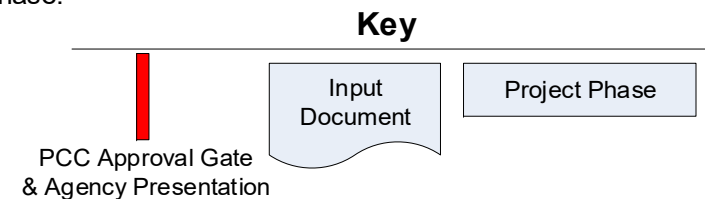


* Technical Architecture presented prior to Planning Phase or Implementation Phase based on when selection of the technical solution is made.

Upon PCC Approval and Certification, DoIT will issue a letter to DFA authorizing the release of funds with either:

- Release of Funds - No requirements or contingencies.
- Release of Funds with Requirements - Agency will receive the released funds, however, Agency must complete the requirements or the project will be halted.
- Release of Funds Contingent Upon Completed Tasks - Agency must first complete the required contingencies prior to the release of funds.

A Change Request Certification is available in any phase for scope, schedule, and/or budget changes. To add a project to the PCC schedule, please provide notice one month prior to your requested participation date by emailing epmo@state.nm.us with the project name and phase.



PCC Gates and Phases: Initiation

- **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.
- **Required Documentation:** The [Initiation Request for Certification and Release of Funds](#) form, [Project Charter](#) and a presentation.

PCC Gates and Phases: Planning

- **Planning Certification and Phase** is requested by an agency to request funds needed to complete all planning needed to successfully accomplish project objectives.
- Prior to certifying for Planning, if the technical solution has been selected, the project must be approved or waived by the TARC. If the technical solution is a hosted solution, an [IT Exception Request Form](#) and a [System Hosting Evaluation Questionnaire](#) must be completed and emailed to exception.requests@state.nm.us at least two weeks prior to attending TARC.
- This request is for activities such as procuring project manager or business analyst services to assist with planning, defining & baselining, scope, schedule, budget, quality metrics, requirements, business processes, plans for procurement, communication, change management, risk/issue management, project management (PMP), technical planning, system design, security planning, business continuity/disaster recovery planning, etc.
- IV&V consultant should be engaged early on during the Planning Phase.
- **Required Documentation:** The [Project Planning Request for Certification and Release of Funds](#), [Project Charter](#) (if an update is needed), [PMP](#) and a presentation.

PCC Gates and Phases: Implementation

- **Implementation Certification and Phase** is for project execution.
- If the technical solution was not presented to the TARC prior to Planning, the project must be approved or waived by the TARC prior to Implementation.
- 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 joint application design 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 a qualified PM structure to manage, track, monitor and report on progress.
- IV&V consultant should be actively engaged in the project with IV&V reports delivered to the agency and EPMO@state.nm.us.
- **Required Documentation:** The [Implementation Certification Request](#), updated/final PMP, a presentation and the most recent IV&V report.

PCC Gates and Phases: Closeout, Change or Update

- **Closeout Certification and Phase** is the termination or completion of the project. Prior to Closeout, all procurements must be closed.
- **Required Documentation:** The [Project Closeout Certification Request](#) and a presentation. Closeout Certification must include lessons learned and any benefits realized.
- **Change Request** may be requested anytime during the project and include changes to baselined scope, schedule, budget, project phase, technical solution or other critical changes in the project, including when additional funds become available, etc.
- **Required Documentation:** The [Change Request for Certification and Release of Funds](#), a presentation and an updated [PMP](#). A results update should be included in the certification request description that includes lessons learned and performance improvements realized in the completed phases.
- An **Update** is normally requested by the PCC but may be provided by the agency at any time during the project to report on progress.
- **Required Documentation:** A presentation.

PCC: Presentation

- Include the following items in your **presentation**:
 - Cover slide including the project name, phase being requested, names and roles of the team presenting and the PCC date
 - Agency mission, project stakeholders and governance (for Initiation phase)
 - An overview that includes business need, project objectives, planned technical and procurement approach (All phases)
 - Work performed to date and the work to be performed in the phase being certified (All phases)
 - Appropriation history, certification history, project and product deliverables with timeline, estimated project budget, and procurement information (All phases)
 - Include latest IV&V summary and identify technical and security approach, risks, issues and mitigation strategies (Planning, Implementation)
 - Performance metrics improvements and/or benefits realized, IV&V summary, scope verification, schedule and cost comparison, transition to operations, lessons learned (Closeout)
- Include a subject matter expert who can speak in detail regarding the **technical and business aspects** of the project and a representative from the business side who is very familiar with the project and how the end users will utilize it.

PCC: Presentation

- For onsite meetings, arrive 15 minutes prior to your assigned time and take a seat in the audience area.
- Bring 12 printed copies of the presentation and certification request to the hearing to be delivered to EPMO staff, who will hand them out to the committee.
- Plan to present for no more than 20 minutes, allowing 10 minutes at the end of your presentation for PCC questions.
- Please wear business attire and when called to present, take a seat at the hearing table.
- Begin your presentation by addressing the chairperson first, then members of the committee. “Mr. Chairman and members of the committee...” then continue by introducing yourself and the presenters.
- The same protocol is used when responding to questions from the committee. “Mr. Chairman and members of the committee...” then the response.
- After you complete your presentation and respond to questions, the chair will make a motion to vote and the PCC will pass or deny the project with two votes.
- For DoIT Project Certifications, the DoIT Cabinet Secretary-State CIO recuses himself from the certification vote and a non-DoIT designee serves as Chair.

PCC: Certification

- Upon PCC Approval and Certification, DoIT will issue a letter to DFA, your cabinet secretary and CIO authorizing the release of funds with either:
 - **Release of Funds** - No requirements or contingencies.
 - **Release of Funds with Requirements** - Agency will receive the released funds, however, Agency must complete the requirements or the project will be halted.
 - **Release of Funds Contingent Upon Completed Tasks** - Agency must first complete the required contingencies prior to the release of funds.
- For projects with a contingency, the project is included in the original letter and a subsequent letter will be sent once the contingency has been met.
- The certification letters for each month are posted on the DoIT EPMO website in the [Project Certification Committee](#) section.

PCC: Monthly Reports

- For all certified projects, a monthly project report is due to EPMO@state.nm.us on the 10th of each month after project Initiation through project Closeout. For example, if you certify a project at the April PCC, a report will be due May 10. If you certify a project for Closeout, the final report is due on the 10th of the month following your presentation.
- The [Project Monthly Report Template](#) is on the DoIT EPMO website in the Project Monthly Report section.
 - Sheet One is the overall monthly status of project and key performance indicators
 - Sheet Two is a detailed breakdown of milestones and progress
- The data to be reported is from the previous month. For example, the June 10 report contains project activities from May.
- The EPMO team reviews the reports along with IV&V reports and other project artifacts to assess project health and to provide assistance & guidance, as necessary to ensure successful outcomes.
- Data from these reports are posted on a quarterly basis to the DoIT EPMO website in the [EPMO Project Portfolio](#) section. Projects with the highest dollar value or high risk/visibility are displayed in the Top Ten.

PCC: IV&V

- The DoIT requires all certified projects engage an IV&V contractor unless waived.
- 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.
- If you are considering an IV&V waiver, please complete a [Request for Project Certification Exception or Waiver](#) form, which can be found on the DoIT EPMO website and email it to Exception.Requests@state.nm.us.
- The form must include a strong justification for IV&V not being needed and a description of any verification and/or validation that will occur.
- Since IV&V services are expected to be active early in planning, please make your request prior to certifying for the Planning Phase.

PCC: IV&V

- **IV&V Guidance & Template** is available on the DoIT EPMO website in the [IV&V Template](#) section.
 - [Quality Assurance IV&V Guidelines](#)
 - [Memo on IV&V Reporting Template](#)
- When vendors have completed their reports, instruct them to email them to your agency contact and to include EPMO@state.nm.us.

Technical Architecture Review Committee

- The Technical Architecture Review Committee (TARC) ensures adequate planning on technical aspects of a project have been completed and documented and verifies compliance with the State Information Architecture.
- The TARC is chaired by the Department of Information Technology (DoIT) Deputy Chief Information Officer (CIO) and members include DoIT technical subject matter experts.
- Agencies presenting at TARC should be represented by the CIO or IT Lead and other technical experts on the project.
- If the TARC denies continuation, they will provide requirements needed to successfully meet TARC requirements.
- If the TARC approves continuation, a memo will be sent to the CIO or IT Lead recommending implementation discussion with DoIT Enterprise Services to ensure a successful Implementation.

Technical Architecture Review Committee

- TARC is required for any certified project and for any cloud hosted solution.
- If an agency is preparing for the Planning Phase and has selected their technical solution, TARC must be completed prior to certifying for the Planning Phase.
- For agencies that have not selected their technical solution prior to the Planning Phase, TARC must be presented later in the Planning Phase prior to the Implementation Phase.
- As of December 2021, TARC is also required for cloud hosted solutions, even if the work is not part of a certified project.
- If you are preparing to certify for Planning Phase and TARC or are submitting an [Information Technology Exception Request](#) that includes a cloud hosted solution, please inform EPMO by emailing EPMO@state.nm.us.
- All requests for cloud hosted solutions, must also complete a [System Hosting Evaluation Questionnaire](#) which can be found on the DoIT EPMO website.

Technical Architecture Review Committee

- Ideally, an agency should begin planning for TARC at least a month prior to documentation being due to EPMO.
- A calendar with TARC dates that includes when the initial documentation is due, when final documentation is due and the date of the TARC meeting is posted on the DoIT EPMO website in the [FY2023 PCC and TARC Schedule](#) section. TARC is scheduled once a month.
- Currently, the TARC meeting is virtual and you will receive a Teams meeting invitation, once your readiness to present is confirmed by EPMO.
- When scheduled onsite, which will be indicated in an Outlook meeting invitation, the meeting is located at the DoIT First Floor Conference Room at the Simms Building.
- If you intend to request a TARC waiver, your [Request for Project Certification Exception and Waiver form](#) is due no later than a month and a half prior to TARC and is emailed to EPMO@state.nm.us.
- The lead time is to provide you sufficient time to prepare for TARC in case your request is denied.
- If your TARC waiver is rejected, be prepared to continue with the standard TARC process.

Technical Architecture Review Committee

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](#)
- A TARC presentation, not to exceed 20 minutes, is also required and should include highlights and diagrams from each of the TARC related documents.
- The **System Design Document** is a very important part of the packet. Be thorough, include visual representations and present specific information regarding the design.
 - Include a diagram of the software architecture and a brief narrative that describes the different tiers/layers related to database, application/business, and/or presentation that are included in the solution.
 - Include a diagram of the hardware architecture and a brief narrative that describes the platforms, networks, peripherals, hardware integration and segregation of different tiers/layers, which may include database, application/business and/or presentation that are included in the solution.

Technical Architecture Review Committee

- Here are some suggestions of what to include in **TARC PowerPoint presentation**:
 - A summarized project overview & scope
 - Details on what will be purchased as part of the solution
 - A diagram of the software architecture
 - A diagram of the hardware architecture
 - Information on data including type, data exchanges, applicable laws, ownership
 - Security requirements such as intrusion detection, firewalls, encryption
 - Monitoring and review of security logs/alerts
 - Information on business continuity/disaster recovery
- When completed, email the documentation to EPMO@state.nm.us

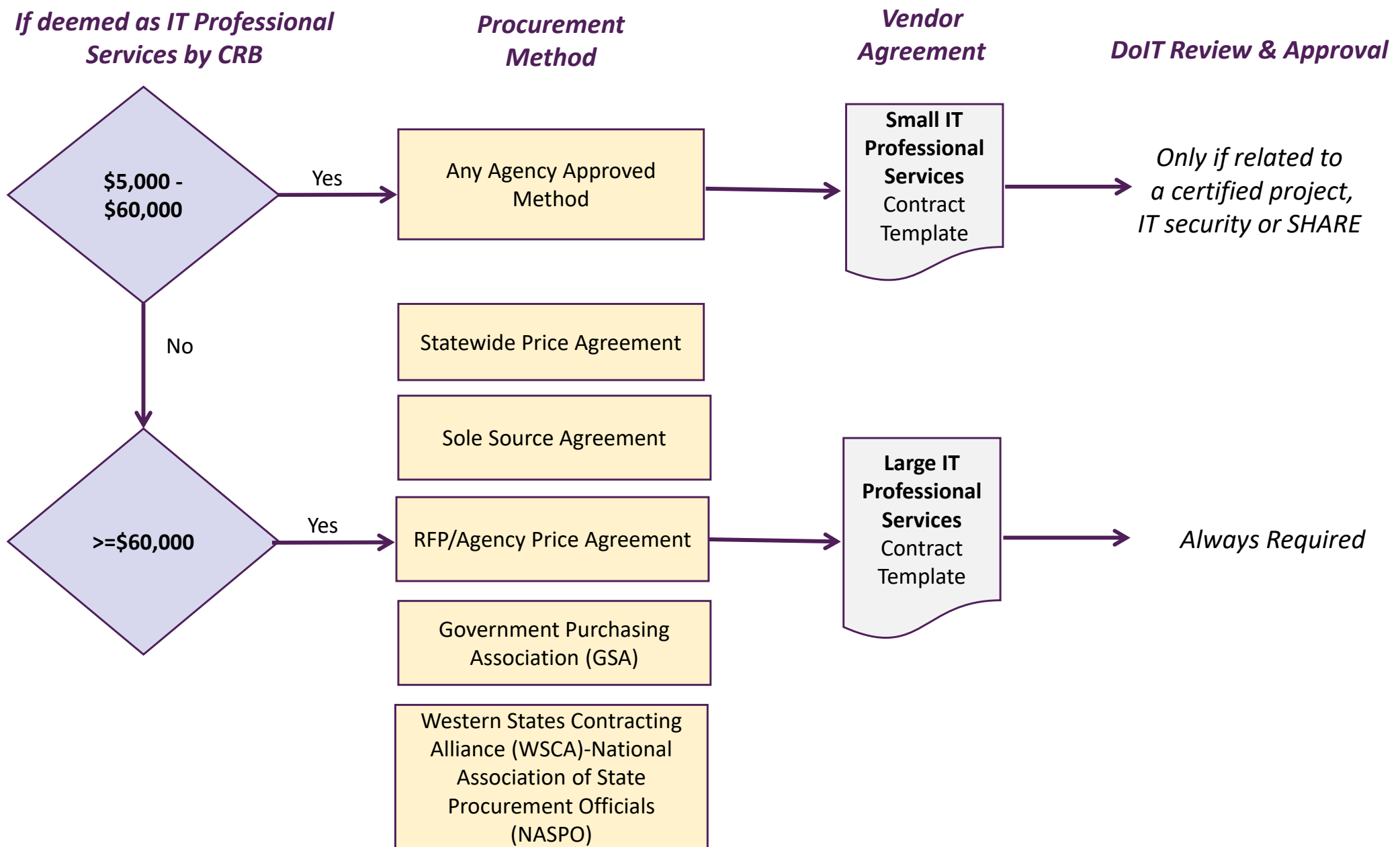
Technical Architecture Review Committee

- If you are presenting due to a cloud hosted exception request, the following requirements must be met and related documentation presented to TARC:
 1. A completed [System Hosting Evaluation Questionnaire](#).
 2. An information technology security plan that includes an incident response plan
 3. Proof that security controls are tested by an independent 3rd party for network, platform and cloud applications prior to production
 4. A documented and signed cloud exit strategy that is supported by a contract exit clause
 5. Information technology procurements must include clause to move to DoIT cloud broker to be part of NM cloud tenant(s), to meet the objective of economies of scale
- These requirements are time bound, 1 year from the date of the approved exception request and cannot be automatically extended.

IT Professional Services Procurements

- The following IT Professional Services procurements that are deemed as professional services by the Contracts Review Bureau (CRB) **must be emailed** to EPMO@state.nm.us for **review**. Links to the templates are included:
 - All [IT Professional Services](#) contracts in the amount of **\$60,000 or greater**
 - [IT Professional Services](#) contracts **less than \$60,000** that are related to a certified project, IT security, or the State's SHARE system; IT Professional Services greater than five thousand dollars (\$5,000) must use the small IT Professional Services Template
 - IT Professional Services [amendments](#)
 - [Sole Source Determination Forms](#)
 - [Request for Proposals](#)
- The EPMO will provide edits and comments in the Word version of the agreement to be addressed by the agency prior to processing for signature.
- EPMO's performance measure for review of contracts is < \$1 million within 5 days and > \$1 million within 7 days.
- EPMO may request additional reviews if the agreement requires substantial changes.

IT Professional Services Procurements



IT Procurements

- **Agency level CIOs may approve** IT procurements *other than* IT professional services agreements, such as IT purchases and/or leases for software/hardware **at or below** one hundred thousand dollars (\$100,000) that:
 - Are not restricted by IT consolidation directives; See Exceptions on the next page;
 - 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.
- All IT purchases and/or leases for software/hardware which exceed one hundred thousand dollars (\$100,000) **are routed** by DFA for DoIT approval.
- Agreements that contain items listed on the IT Exception list require that a completed and signed [IT Exception Request Form](#) be emailed to exception.requests@state.nm.us.

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.

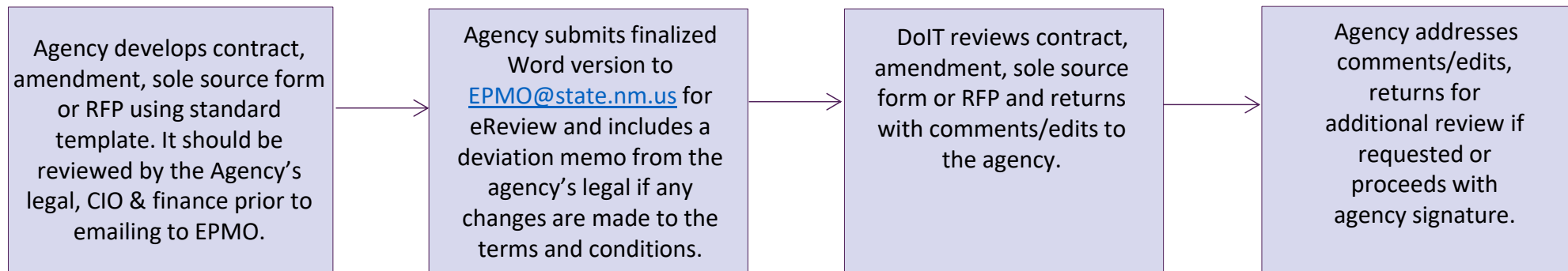
Equipment	Any server or storage solutions purchase (regardless of cost). Any individual hardware or software purchase > \$100K.
Personnel	Personnel actions on existing infrastructure position requires DoIT’s approval.
Tel/Com Network ISP	Any deviation from the state’s central communication system. This 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.

IT Professional Services Procurements

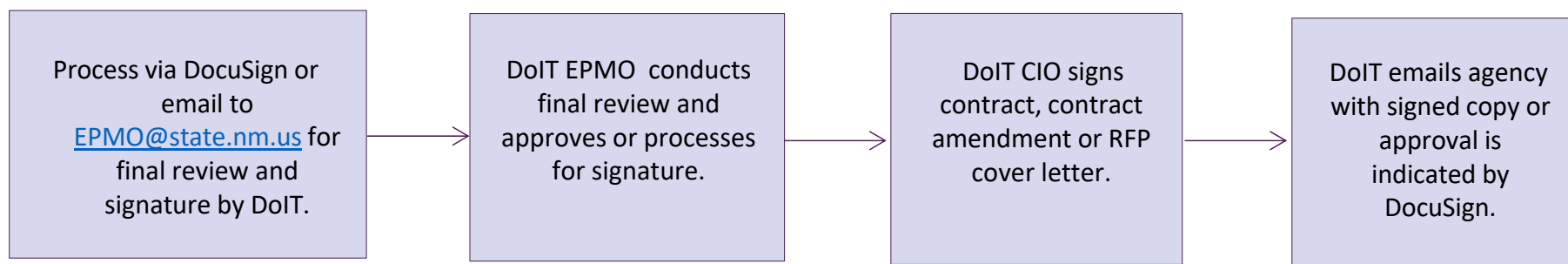
- Agencies are responsible for managing their IT agreements to ensure timely processing, award and/or renewal.
- Sufficient time must be allocated for each step of the approval processes to ensure it reaches the DoIT with sufficient time for review prior to the proposed date of execution of the contract and/or agreement.
- Agreements sent to DoIT for signature must be signed by the vendor, agency secretary or executive director, the agency general counsel, and Taxation and Revenue Department.
- We encourage the use of DocuSign for the routing of your agreements. If you need information on the process, please contact epmo@state.nm.us.
- If you are not currently using DocuSign, email your signed agreement to epmo@state.nm.us and it will be processed for DoIT signature.
- Once signed, you will receive a copy via email.

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

IT Contract, Amendment and RFP eReview



IT Contract, Amendment and RFP Final Review and Signature



EPMO@state.nm.us is the common mailbox for all correspondence with the EPMO. Your agency's assigned EPMO project manager can be copied, but should not be the primary contact. This mailbox is monitored regularly and will ensure the timely turn around of the eReview. Agreements considered ready for signature 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.

Useful Links

- DoIT EPMO website: [Compliance and Project Management - New Mexico Department of Information Technology \(nm.gov\)](#)
- PCC webpage: [Project Certification Committee - New Mexico Department of Information Technology \(nm.gov\)](#)
- Templates for PCC: [Compliance and Project Management - New Mexico Department of Information Technology \(nm.gov\)](#)
- Templates for other project documents: [Project Management Templates & Guidance - New Mexico Department of Information Technology \(nm.gov\)](#)
- Contract Templates: [Contract & RFP Templates & Guidance - New Mexico Department of Information Technology \(nm.gov\)](#)
- Enterprise Portfolio Reports & Presentations: [Project Portfolio - New Mexico Department of Information Technology \(nm.gov\)](#)