New Mexico State Agency Information Technology Project Lifecycle

Science, Technology & Telecommunications Committee

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John L. Salazar, PMP
Cabinet Secretary & State Chief Information Officer

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Presentation Summary

- Information Technology (IT) Project Management Lifecycle
- Overview of Statutory Requirements
  - Department of Information Technology (DoIT) Role in Agency IT Project Management
  - State Agency Requirements
- State Agency IT Project Process Flow
  - Computer System Enhancement Fund (C2) Process
  - Project Certification Committee (PCC)
- Problem Areas

IT Project Management Lifecycle

1. **Initiation –** define project goals and objectives, identify key stakeholders, develop project charter, conduct research and analysis and identify potential solution
2. **Planning -** develop detail project plan to include scope, schedule, budget, metrics, determine resource needs, initiate procurement process and identify risks
3. **Execution -** allocate project resources, award associated procurement and do the project work
4. **Monitoring and controlling** – track effort and cost, monitor project progress, ensure adherence to plan and report status (simultaneously with project execution)
5. **Closeout –** capture lessons learned, document project successes for future use

Overview of Statutory Requirements

- **Laws 2007, Chapter 290 (9-27 NMSA 1978) – established the DoIT Act**
- **DoIT Secretary, the State Chief Information Officer (CIO) role in IT project management includes:**
  - establishing rules to ensure information technology projects satisfy established criteria and are phased in with funding released contingent upon successful completion of the prior phase;
  - providing oversight of information technology projects, including ensuring adequate risk management, disaster recovery and business continuity practices and monitoring compliance with strategies.

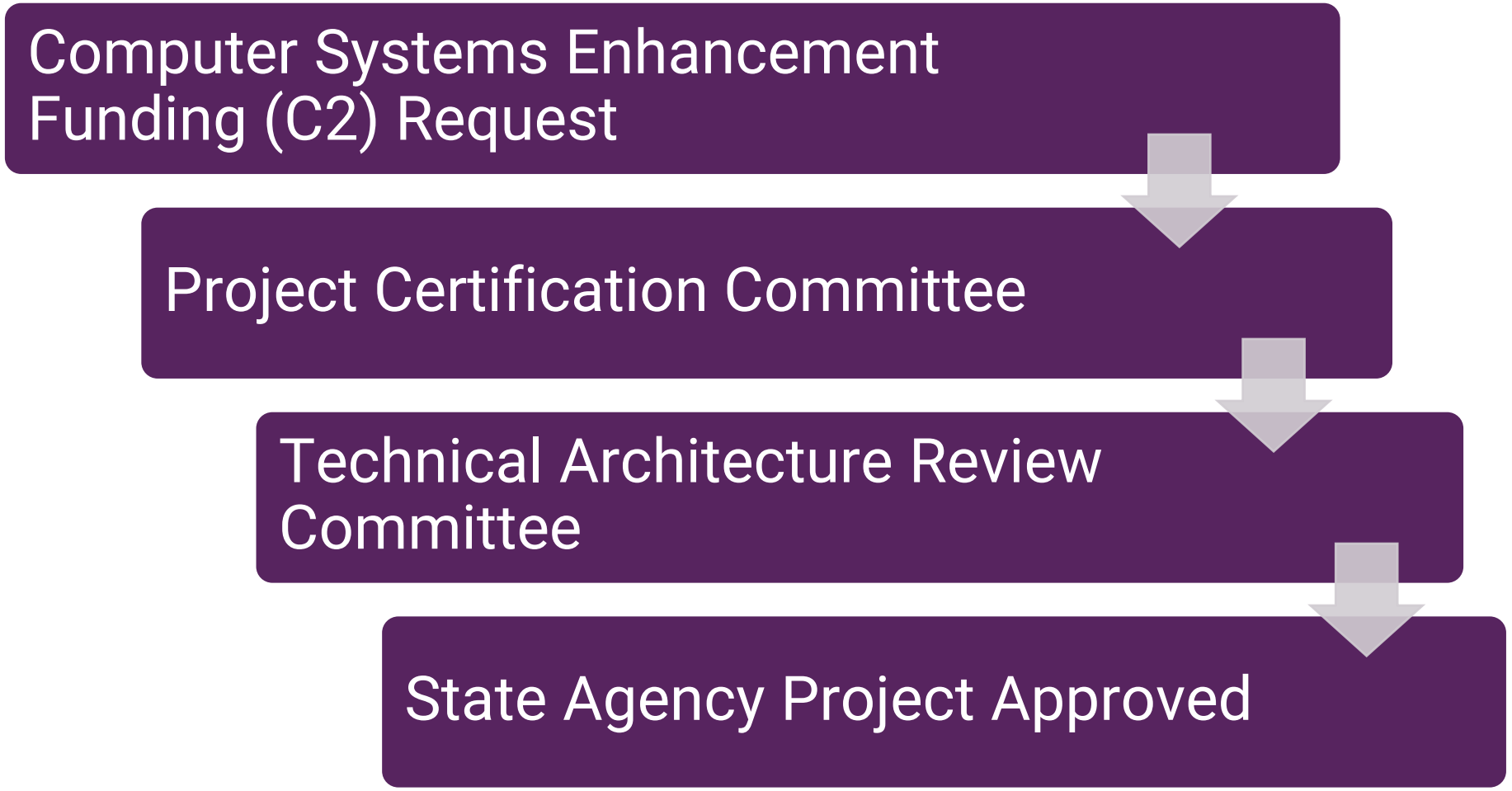
DoIT Role in Agency IT Project Management

- **DoIT's Compliance and Project Management Program is the state's Enterprise Project Management Office (EPMO) and performs the following functions:**
  - Provide IT management lifecycle policies, methodologies and templates for IT initiatives to promote quality and success and reports regularly 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 agency IT plans for prudent allocation of IT resources and monitors compliance of projects with agency IT strategic plan and the state IT strategic plan;
  - Review appropriation requests and legislation related to IT.

State Agency Requirements for IT Project Management

- Appoint a qualified project manager that will use project management best practices
- Present IT projects equal to or greater than $100,000 or funded through the computer systems enhancement fund to the Project Certification Committee and Technical Architecture Review Committee
- Ensure that contracted IT professional services are managed in the best interests of the state
- Obtain an independent verification and validation (IV&V) contractor or request an IV&V waiver

State Agency IT Project Process Flow



Computer System Enhancement Fund (C2) Process

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Computer System Enhancement Fund (C2) Process

- **July:** State agency communicates its intent to DoIT to request funding for a new or enhanced IT project through the C2 process
- **September:** State agency submits its C2 request and business case as part of the agency IT Strategic Plan included in its annual budget request to DoIT, LFC and DFA
- **October:** State agency presents a business case to the C2 Committee that consists of members from DoIT, LFC and DFA
- **November**: DoIT makes recommendation for funding to DFA; DoIT-DFA recommendation is made to the LFC
- **December:** DFA prepares executive budget recommendation documents
- If funding request is granted, appropriation is included in Section 7, Information Technology Appropriations of the General Appropriation Act (House Bill 2).

Computer System Enhancement Fund (C2) Process

- **C2 Process Improvements**
  - Reestablished the One-Page Business Case
  - New Business Case Template based on best practices

Project Certification Committee (PCC)

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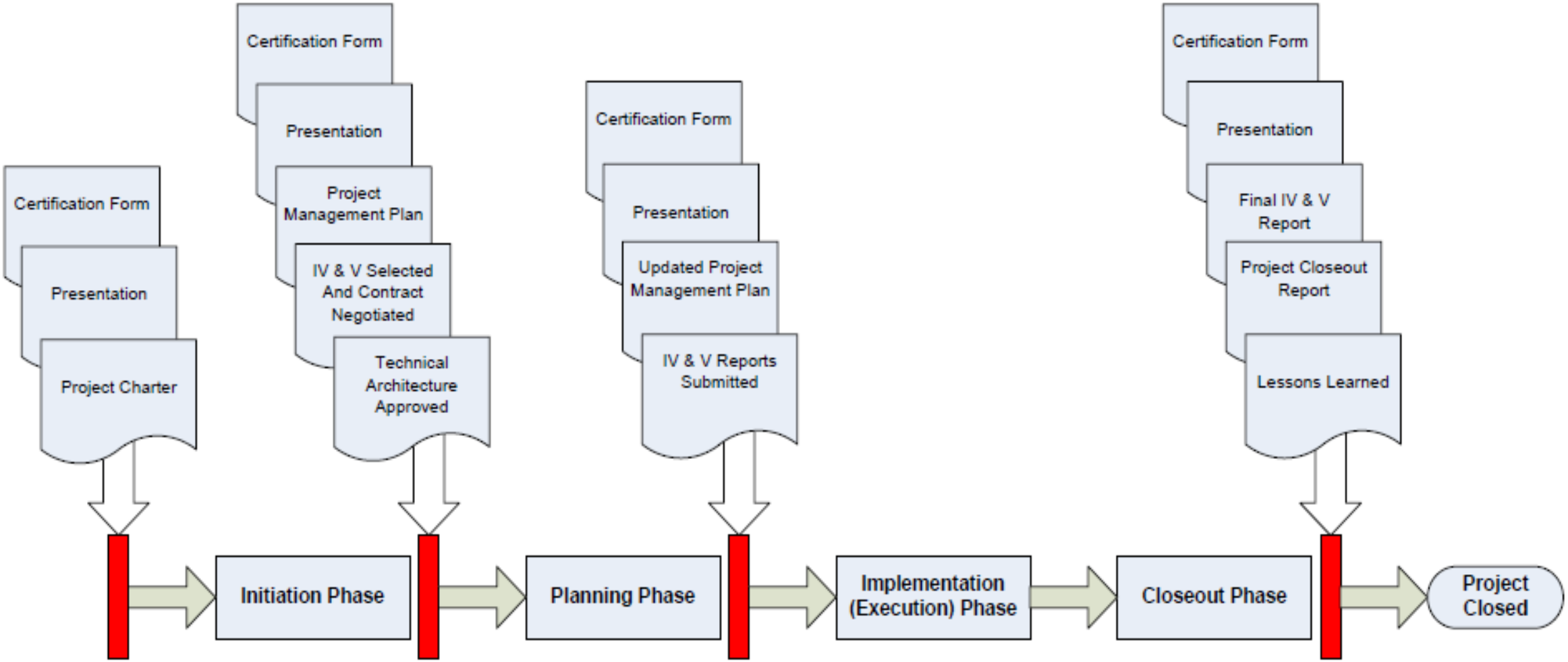
PCC Overview

- PCC meets monthly (public meeting); agenda is published on DoIT website
- State agencies present projects primarily funded through a C2 request or projects =/> than $100K
- Prior to scheduling for PCC, agency should ensure adequate planning appropriate to the certification phase request are complete and documented
- State agencies should be represented by the CIO, executive sponsor, project leads/manager and the business partner
- Agencies conduct a 20-minute presentation, PCC members asks questions and makes a motion for approval.

PCC Gates and Phases



Project Initiation Phase

- **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, technical approach, project charter;
  - Conducting research and analysis and procurement planning;
  - Developing Independent Verification and Validation (IV&V) plan and contract; developing initial project management plan with rough order magnitude estimates; Waiver of the IV&V requirement requires specific written approval by the DoIT Cabinet Secretary.
  - Draft project charter and presentation are submitted with the Initiation Certification Request for release of funds.

Project Planning Phase

- **Planning Certification and Phase is requested by an agency for project planning 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.
  - Draft PMP, a presentation and an IV&V status update are submitted with the Planning Certification Request for release of funds. The project should also obtain TARC approval prior to Planning Phase PCC request.

Project Implementation Phase

- **Implementation/Execution Certification and Phase is requested by an agency for project execution activities such as:**
  - Executing, tracking and managing actual work of the project/phase in accordance with project plan.
  - Joint application development (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, a presentation and most recent IV&V report must be submitted with the Implementation Certification Request.

Technical Architecture Review Committee Process

- TARC ensures adequate planning on technical aspects of the project have been completed and verifies compliance with the State Information Architecture.
- The TARC is comprised of DoIT technical subject matter experts in enterprise core services, security and compliance, application development, network and system administration, IT architecture and project management.
- Agencies prepare a TARC Request Form, System Design Document, Security Questionnaire, Business Continuity Plan, Operations and Support Plan, Risk Assessment Form and a presentation.
- Agencies represented by the CIO/IT lead, project manager and other technical experts present to the TARC.
- Upon TARC approval, DoIT sends memo to agency.

Project Closeout Phase

- **Closeout Certification and Phase is the termination or completion of the project and is requested by an agency for the following project execution activities:**
  - Benefits realized, lessons learned, final IV&V report, presentation and Project Closeout Certification form should be submitted with the request.
- **Change Certification and Phase may be requested anytime during the project and is requested by an agency for activities such as:**
  - Changes to baselined scope, schedule, budget, project phase, or other critical changes in the project, including when additional funds become available.
  - Updated PMP, a presentation, and the most recent IV&V report should be included with the Change Certification Request.
- **Upon PCC approval, DoIT issues a letter to DFA authorizing the release of funds, release of funds with requirements or release of funds with contingencies.**

Agency Monthly Reporting Requirements

- **Monthly Project Status Reports:**
  - Once a project is initiated, the project manager reports to EPMO on status of the project's key project indicators (KPIs) on the 10th of each month, reporting on prior month activities.
  - DoIT EPMO team reviews reports along with IV&V reports and other project artifacts (including regular check in meetings with Agencies, participation in regular project meetings to assess project health and provide guidance, as necessary to ensure successful outcomes.
  - Additionally, the DoIT EPMO reviews and compiles aggregate reports and a dashboard for tracking, monitoring and portfolio level reporting to the DFA, LFC, STTC and other stakeholders on a quarterly basis and as needed.

PCC Membership Update

- A May 2021 LFC program evaluation identified areas for improvement associated with the PCC
- DoIT initiated the process to update its administrative rules associated with the PCC
- In the interim DoIT has amended the PCC membership as follows to allow for a more equitable and independent decision-making process
  - **Chair** (non-voting member with tie-breaking authority only) – DoIT Cabinet Secretary or alternatively DoIT Deputy CIO or DoIT Director of Core Services
  - **Five Voting Members** - DoIT Chief Information Security Officer (CISO), LFC Deputy Director for Program Evaluation, DFA Cabinet Secretary Designee, a representative from the Public Regulation Department and the Taxation and Revenue Department CIO
  - **Advisory (non-voting) members** - DoIT Lead Project Manager, DoIT EPMO Director, DoIT General Counsel and a representative from State Purchasing Division

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Project Portfolio Overview

as of April 2021 monthly project reports

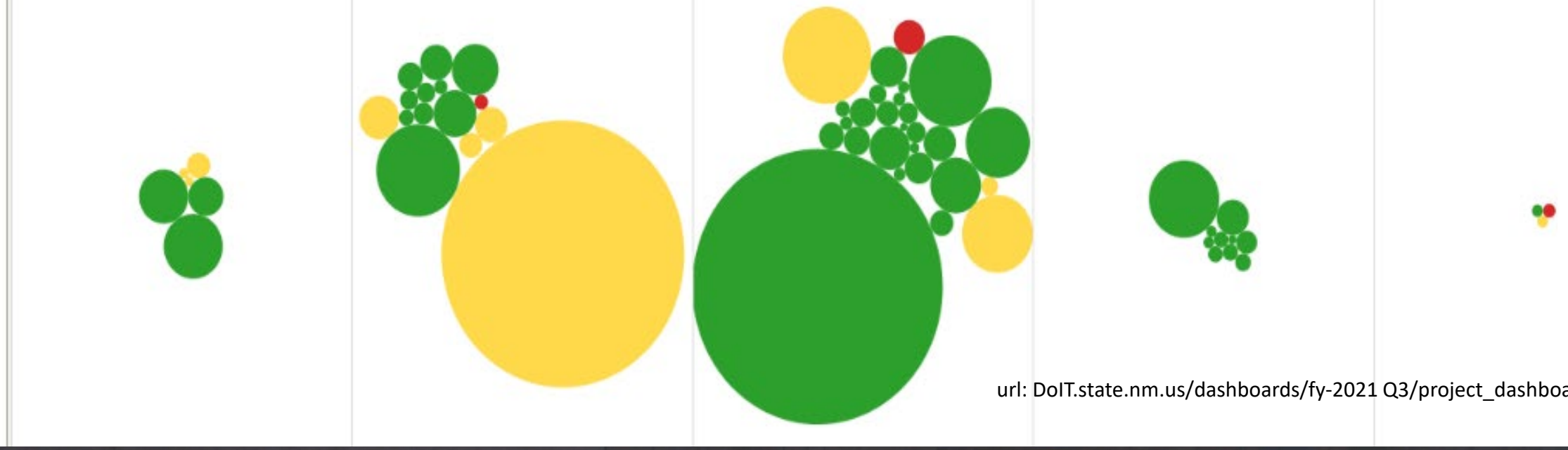
Display data for: Currently Open Projects

Color code by: Overall Status

52 Open Projects

$584,217,265

Initiation	Planning	Implementation	Closed in FY21	On-Hold
6 Project(s) $22,508,457	15 Project(s) $271,603,058	27 Project(s) $288,955,749	10 Project(s) $22,006,937	3 Project(s) $1,150,000



url: DoIT.state.nm.us/dashboards/fy-2021 Q3/project_dashboards.html

Project Management Observations

- Problematic Areas
  - Not enough planning activities in place to develop good project cost estimates
  - Most solutions require an extensive and competitive procurement process
  - During procurement process, contract negotiations can drag on causing delays in project schedules
  - Contract deliverables are not clearly defined
  - Staff availability to work on projects is always an issue due to conflicting work priorities
  - During Business Requirements Meetings, business processes are not clearly defined due to SMEs are not available
  - Project prioritization – working on multiple projects at the same time
  - Unrealistic timelines – no slack when developing schedule
  - Many IT projects involve new technology or business processes which involve untested products and inherent risks
  - Project Status rating is inconsistent due to lack of defined criteria
  - Documentation in paper format; however, information should be in electronic format stored in a database to analyze and compare data to provide ratings based on data elements
  - Not enough DoIT EPMO staff resources
  - Weak Governance Structure to manage projects
  - IT organizations are primary drivers of existing projects; however, Business Owners should be leading and managing the process

THANK YOU

QUESTIONS?

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