NEW MEXICO
CORRECTIONS DEPARTMENT

Secretary
Alisha Tafoya Lucero

CD-044200 Information Technology: Project Management	Issued: 05/27/09	Reviewed: 07/31/23
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Alisha Tafoya Lucero, Cabinet Secretary		*Original Signed and Kept on File*

AUTHORITY:

Policy *CD-044000*

REFERENCE:

A. NMAC Title 1, Chapter 12, Part 5
B. NMAC Title 1, Chapter 12, Part 9
C. DoIT Project Oversight Memo
D. Project Management Institute. (2017). *A Guide to the Project Management Body of Knowledge, Sixth Edition (PMBOK®)*

PURPOSE:

Establish the rules regarding information technology (IT) projects within the New Mexico Corrections Department (NMCD). The policy will ensure that a disciplined, managed, and consistent approach will be used to manage projects.

Information technology projects vary in size and scope, and project management guidelines must be flexible enough to accommodate a wide variety of projects. A project is a dynamic process and the steps outlined in each of the following procedures may flow and interact in anorder other than those listed.

APPLICABILITY:

All NMCD Staff, contractors, business partners and external agencies.

FORMS:

Project Proposal form *(CD-044200.1)*

ATTACHMENTS:

None

DEFINITIONS:

A. *Assumptions*: Factors that, for planning purposes, are considered to be true, real, or certain. Assumptions affect all aspects of project planning, and are part of the progressive elaboration of the project.

B. *Change Management*: Identifying, documenting, approving or rejecting, and controlling changes to the project schedule, scope or budget.

C. *CIO*: The Chief Information Officer of the Corrections Department.

D. *Communications Plan*: A document that determines the information and communications needs of the project stakeholders: who needs what information, when they will need it, and how it will be given to them.

E. *Constraints*: Any restriction or limitation, either internal or external to the project, which will affect the performance of the project or a process.

F. *Corrective Action*: An intentional activity made to bring expected future performance of the project in line with the project management plan.

G. *DFA*: State of New Mexico Department of Finance and Administration

H. *Deliverable*: Any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part of a project.

I. *DoIT*: The Department of Information Technology of the State of New Mexico.

J. *Executive Steering Committee*: A governance structure that includes the project sponsor, project manager, and key stakeholders. The purpose of the steering committee is to provide oversight to the project, to ensure business objectives are appropriately addressed and to provide direction to the project team when necessary to maintain project stability.

K. *The Information Technology Division of NMCD (ITD)*: The division responsible for initiating, planning and managing efforts defined as a project, providing project management services for NMCD IT related projects.

L. *IV&V*: Independent Verification & Validation. The process of periodic and ongoing evaluation of a project to determine whether it is managed in compliance with established policies, procedures and in accordance with best practices, and whether the project is meeting its intended goals. This is performed by an organization independent of the agency, providing input and suggested recommendations for course-correction activities when necessary.

M. *Large Project*: A project that requires certification by the State Office of New Mexico Department of Information Technology. Generally large projects cost more than $100,000 per year and/or more than $1,000,000 over the life of the project.

N. *Milestone*: A significant event in the project, usually completion of a major deliverable.

O. *NMCD*: The New Mexico Corrections Department.

P. *Project*: A temporary endeavor designed to achieve a clearly defined goal or

objective within given resource constraints such as time and budget.

Q. _PMO_: Project Management Office – the group within ITD that is responsible for defining and maintaining the standards and processes for project management within NMCD.

R. _PCC_: The Project Certification Committee of the Department of Information Technology (DoIT). The committee that certifies the continuation of a project at project phase tollgates and authorizes DFA to release funds for the specific project phase.

S. _Project Charter_: A document issued by senior management that formally authorizes the existence of a project and provides the project manager with the authority to organizational resources to project activities. Mandatory for all projects requiring DoIT certification.

T. _Project Management_: The process of planning, monitoring, and evaluating the resources and timelines of a project and taking corrective action to ensure the successful completion and implementation of a project.

U. _Project Management Plan (PMP)_: A formal, approved document used to guide both project execution and project control. A project management plan may be summary or detailed.

V. _Project Manager_: The individual assigned by NMCD to achieve the project's objectives. The project manager may be a contractor.

W. _Project Proposal_: A business-based description of the project that provides information necessary to support the decision to approve the project. The project proposal must identify a business need and lay the foundation for developing a potential solution to meet that need.

X. _Project Schedule_: The planned dates for performing activities and the planned dates for meeting milestones.

Y. _Project Sponsor_: The person representing the organizational group who will be the recipient of the project's benefits and who will ensure the business objectives and needs are met and that funding for the project is made available.

Z. _Risk_: An uncertain event or condition that, if it occurs, has a positive or negative effect on one or more project objectives.

AA. _Risk Management_: The systematic process of identifying, analyzing, and responding to project risk. It includes maximizing the probability and consequences of positive events and minimizing or eliminating the probability and consequences of events adverse to project objectives.

BB. _Risk Management Plan_: A subsidiary plan of the project management plan (PMP) that determines how to approach and plan risk management activities for a project.

CC. _SRS_: System Requirements / Specifications Document

DD. _Scope_: The work that must be done to deliver a product with the specified features and functions.

EE. _Scope Change_: Any change to the project scope. A scope change almost always requires an adjustment to the project cost or schedule. A change management plan, another subsidiary plan of the PMP, defines the process, authority and tracking of changes to project scope.

FF. _User Acceptance Testing (UAT)_: The process to determine if the end product of a given project fulfills the requirements established and to evaluate the software at the time end of the development or construction process to ensure it is free from failures and complies with its requirements. This process involves the user community to test and accept the system.

GG. _Work Breakdown Structure (WBS)_: A deliverable-oriented grouping of project elements that organizes and defines the total work scope of the project. Each descending level represents an increasingly detailed definition of the project work.

POLICY:

All NMCD IT projects will be proposed, approved, planned and implemented in accordance with a project management methodology.

All projects will be managed with sufficient formality by ITD to reasonably assure success through the following project life cycle processes:

A. **Origination**: The NMCD programs or business unit will initiate project proposals. Proposed projects will be reviewed for feasibility risk and projected cost/benefit by the NMCD PMO and the business unit.

B. **Initiation**: Upon approval of the project proposal by ITD, a project scope statement will be created, a governance structure adopted, and a project kick-off meeting held. NMCD programs or business unit will assign members to the project team. IT projects that will cost $100,000 or more per year and/or $1,000,000 or more over the life of the project are deemed a large project and will also require certification by DoIT before the Initiation phase may begin.

   Large projects will also require a project charter, which will be developed to define the scope of the large project in greater detail and must identify the business needs that will be met and describe the technology being considered.

C. **Planning:** After initiation the project manager will convene a project management team and will develop the project management plan. The project management plan

   will address project schedule, cost, procurement, communications, risk management, quality management, change management and implementation. IT projects that will cost

$100,000 or more per year and/or $1,000,000 or more over the life of the project are deemed large projects and will also require certification by DoIT before the Planning phase may begin. IT projects that are certified with DoIT are also required to have IV & V oversight.

D. **Execution and Control**: Projects will be completed in accordance with the project plan (as applicable to the project). The project manager will report to the sponsor and other stakeholders in accordance with the project communications plan. Projects will be monitored by the project manager to ensure compliance with the project management plan and to direct corrective action or approve changes. Corrective actions and changes will be controlled by the change management plan. IT projects that will cost $100,000 or more per year and/or $1,000,000 or more over the life of the project are deemed large projects and will also require certification by DoIT before the Implementation phase may begin. Projects certified by DoIT require the submission of monthly status reports to the NMCD DoIT representative and periodic IV & V reports to NMCD Executive Management and DoIT representative.

E. **Closing**: Upon completion of the project the project manager will obtain final approval of all project deliverables from the business unit, executive committee and sponsor. All documents related to the project will be collected and archived. Lessons learned will be compiled and distributed to the stakeholders. IT projects that will cost $100,000 or more per year and/or $1,000,000 or more over the life of the project are deemed large projects and will also require certification by DoIT at the Closing Phase. Projects certified by DoIT will submit a project closeout report and a presentation to the DoIT PCC.

NEW MEXICO
CORRECTIONS DEPARTMENT

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AUTHORITY:

Policy *CD-044200*

PROCEDURES:

A. Submit Project Proposal

1. An NMCD program or business unit will initiate a proposed project by completing the attached project proposal (*CD-44200.1*).

2. Project proposals will be reviewed for type, feasibility, risk and projected cost/benefit and size by the PMO in conjunction with the NMCD program or business unit.

3. The PMO will submit the completed project proposal to the NMCD CIO for consideration and approval/disapproval.

4. Project proposals that are approved will be signed by the NMCD CIO, Project Sponsor and the PMO. The signed project proposal formally authorizes the project and assigns the project manager. Notification of the approval will be communicated to the NMCD program or business unit by the PMO.

5. Project proposals that are approved by the NMCD CIO, Sponsor and PMO, but that require outside contractors to complete the work will require completion of a contract and approval process through DoIT/DFA/State Purchasing Division before proceeding to Project Initiation.

6. Project proposals that are approved by the NMCD CIO, Sponsor and PMO, and require additional computer enhancement funding from the State of New Mexico Legislature will require completion of a business case that is submitted and must be approved and funded by the Legislature before proceeding to Project Initiation.

7. Project proposals that are approved by the NMCD CIO, Sponsor and PMO that will cost $100,000 or more per year or $1,000,000 over the life of the project require a project charter to be completed and certification approval by DoIT and PCC before project work may begin.

8. Approved project proposals that do not require items outlined in articles 5-7 will proceed directly to Project Initiation

9. Notification of project proposals that are not approved will be communicated to the

NMCD program or business unit by the PMO.

AUTHORITY:

Policy *CD-044200*

PROCEDURES:

A.   Project Oversight / Governance

1.   Once a project has been approved in writing by the NMCD CIO, Project Sponsor, and PMO, and any necessary requirement items outlined in Project Initiation articles 5-7 have been satisfied, the project will begin the initiation process.

2.   Projects requiring DoIT certification must present to the PCC and receive approval / release of funds from PCC/DFA before the project initiation process begins.

3.   If the project requires IV&V reporting, the project manager will be responsible for deliverables and contract administration with the awarded IV&V contractor.

4.   An executive steering committee or governance structure appropriate to the size and complexity of the project will be adopted. The purpose of the steering committee/governance structure is to provide oversight to the project, to ensure business objectives are appropriately addressed and to provide direction to the project team when necessary to maintain project stability.

B.   Project Kickoff

1.   A project kickoff meeting will be scheduled by the assigned project manager to begin project activities with the NMCD program or business unit.

2.   The NMCD program or business unit will assign knowledge area experts from the program or business unit to participate in the project team discussions and activities.

C.   Develop Project Scope

1.   The scope of the project, including objectives and deliverables, will be defined by the project team and agreed to in writing by the executive steering committee or governance structure and the NMCD program or business unit.

2.   Any assumptions or constraints that will limit project activities will be identified and documented.

3. The agreed to scope statement will be the baseline against which all future project work will be measured.

Secretary
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NEW MEXICO
CORRECTIONS DEPARTMENT

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AUTHORITY:

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PROCEDURES:

A. **Project Oversight / Governance**

1. Once the scope of the project has been defined and agreed to in writing by the executive steering committee or governance structure, and the NMCD program or business unit, the project will begin the planning process.

2. Projects requiring the DoIT certification must present to the PCC and receive approval / release of funds from PCC/DFA before the project planning process begins.

3. It is the project manager's responsibility to communicate project status to the executive steering committee, governing structure, NMCD Program or business unit, and DoIT, if applicable.

4. Issues beyond the project team's authority will be referred to the executive steering committee or governance structure for resolution.

5. If the project requires IV&V reporting, the project manager will be responsible for deliverables and contract administration with the awarded IV&V contractor.

B. **Project Planning Documentation**

1. The project manager will be responsible for creating a project management plan that will address how the project will manage the following: cost, schedule, scope, risk, communications, change control, procurement and issue control, and may include other management areas.

2. Based on the size and complexity of the project, these management areas may be contained within one plan or extended into separate / secondary plans.

3. The PMP will be approved in writing by the executive steering committee or governance structure, the NMCD Program or business unit, and the project team before the project execution process will begin.

4. The PMP and/or secondary/subsidiary plans will be used throughout project execution to manage and control the project.

C. Requirements Gathering

1. In the requirements gathering process, the scope of the project is progressively elaborated to decompose major deliverables into specific and traceable requirements that will result in project design and development activities in the project execution process.

2. The scope baseline which was agreed to in project initiation will drive the requirements gathering process. Any change or increase in project scope will be reviewed by the executive steering committee or governance structure and may be approved or disapproved.

3. The requirements gathering process may occur before funding of the project is finalized.

4. The NMCD program or business unit will assign the necessary knowledge area experts to work with the project team to identify all the necessary requirements needed for project success.

5. In the event the project end product or result impacts multiple functional areas, an extended requirements-gathering team may be necessary to ensure all needed requirements are addressed.

6. If an extended team is required, the necessary functional areas will provide representation to address requirements from the specific functional area's expertise or viewpoint.

7. The deliverable from the requirements gathering process is the SRS. The SRS is the document that will provide the necessary direction for all design and development activities in the project execution process.

8. The SRS will be approved in writing by the NMCD program or business unit before the project execution process will begin.

AUTHORITY:

Policy *CD-044200*

PROCEDURES:

A. Project Oversight / Governance

1. Once the SRS has been agreed to in writing by the NMCD program or business unit, the project will begin the executing process group.

2. Projects requiring the DoIT certification must present to the PCC and receive approval / release of funds from PCC/DFA before the project execution process begins.

3. It is the project manager's responsibility to communicate project status to the executive steering committee or governing structure, NMCD program or business unit, and DoIT, if applicable.

4. Issues beyond the project team's authority will be referred to the executive steering committee or governance structure for resolution.

5. If the project requires IV&V reporting, the project manager will be responsible for deliverables and contract administration with the awarded IV&V contractor.

B. Project Execution

1. With an approved SRS and the execution process started, project design and development activities will commence.

2. The execution of a project will be managed and controlled in accordance with the approved PMP.

3. Any change to a project's scope, schedule, or cost baseline will be managed in accordance to the project's change management plan, as outlined in the PMP and may be approved or disapproved.

C. Acceptance Testing

1. All development activities will be methodically tested both by the ITD project team and the NMCD program or business unit for acceptance.

2. The NMCD program or business unit will assign necessary knowledge area experts

to complete user acceptance testing.

3. The results of all testing activities must be formally accepted in writing by the NMCD program or business unit before implementation occurs.

4. The project manager will be responsible for contract administration and deliverable acceptance for any contracted project activities.

D. Implementation

1. When acceptance testing is complete and accepted, a process to implement the project will commence.

2. The implementation of a project will address, at a minimum, the following:

   a) User Training,
   b) Communication,
   c) Deployment,
   d) Business / Technical Transitions to Operations, and
   e) Production Support / Maintenance.

3. The NMCD program or business unit will assign knowledge area experts to assist the project team in the process of project implementation.

4. The implementation of a project and all project deliverables will be approved in writing by the executive steering committee or governance structure, and the NMCD program or business unit before the project closing process begins.

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NEW MEXICO **CORRECTIONS DEPARTMENT**	
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AUTHORITY:

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PROCEDURES:

A. **Project Oversight / Governance**

1. Once a project has been successfully implemented and all deliverables accepted by the NMCD program or business unit, the project closing process group begins.

2. Projects requiring the DoIT certification must prepare a project close report and present to the PCC before the project is deemed to be closed.

3. It is the project manager's responsibility to communicate project status to the executive steering committee or governing structure, NMCD program or business unit, and DoIT, if applicable.

4. If the project requires IV&V reporting, the project manager will be responsible for deliverables and contract administration with the awarded IV&V contractor.

B. **Project Closing**

1. A final project close report or signoff will be distributed to the executive steering committee or governance structure, the NMCD program or business group, and the project team for signature to formalize project closing.

2. If a close report / presentation to the PCC are required, the executive steering committee or governance structure and the NMCD program of business unit will assign knowledge area experts to assist in the presentation.

3. The project manager will be responsible for contract closure for any contracted project activities.

4. Lessons learned will be documented by the project team to assist future projects with continuous process improvement.

5. The project team and NMCD program or business unit resources will be released from the project.

NEW MEXICO CORRECTIONS DEPARTMENT
ITD PROJECT PROPOSAL

A.   General Information

Provide basic information about the project including: Project Name - The working name that will be used for the project; Lead Department – The agency or bureau that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date Prepared - The date this document is initially prepared.

PROJECT NAME:		PROJECT NUMBER	
PREPARED BY:		PREPARATION DATE:	
LEAD DEPARTMENT:		OTHER DEPARTMENTS:	
EXECUTIVE SPONSOR(S)			

Answer the following questions by marking Yes or No and provide a brief response as appropriate.

	Yes	**No**
Is this an updated Project Proposal Document?		
If yes, what is the reason for this update?		
Is this a follow-on to a previous project?		
If yes, what is the project name and date of completion?		
Name of previous project: Date completed:		
Will the project deliverable(s) replace a current asset or group of assets?		
If yes, what is being replaced?		
Is the Project Funded?		
If yes, what is the amount of funding and what Project phases are funded?		
Are there funding or time constraints?		
If yes, explain the constraint and provide constraint date.		

B.   Points of Contact

List the principal individuals who may be contacted for information regarding the project.

POSITION	TITLE/NAME/ORGANIZATION	PHONE	E-MAIL
EXECUTIVE SPONSOR			
PROJECT DIRECTOR			
Project Manager (Designee)			
Customer (User) Representative(s)			
OTHER			

C.   Project Purpose
Explain the business reason(s) for doing this project.

1.   Business Problem

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan.

2.   Project Business Objectives

Define the specific Business Objectives of the project that correlate to the strategic initiatives or issues identified in the Agency Strategic Plan. Every Business Objective must relate to at least one strategic initiative or issue.

GOAL NUMBER	DESCRIPTION
Example IMAC-3	Reduce errors surrounding untimely release from prison, probation or parole

3.   Core Business Activity Impacted

Core Business Activities are agency defined processes that produce the agency's primary products and services, or support the production of the products or services. List the Core Business Activities impacted by the project and identify the impact.

AGENCY CORE BUSINESS ACTIVITY	IMPACT ON CORE BUSINESS ACTIVITY

4. *Constraints*

Constraints are items that by their nature restrict choice. Identify Constraints that will influence the selection of a solution to resolve the Business Problem. Constraints can include but are not limited to: time, funding, IT resources, personnel, facilities, and management limitations.

NUMBER	DESCRIPTION
Example – 1	There is limited time to implement this project. Must be in place by July 1, 2011.

D.   Project Description

Describe the project approach, the specific solution, customer(s) served, and expected benefits. The approach is the overall strategy for solving the Business Problem.

Planned Start Date		Planned End Date	

E. Strategic Justification

Answer the following questions in the space provided. Attach detailed explanations and analysis as appendices.

1. Briefly, describe how this project supports or is consistent with the New Mexico Corrections Department Strategic Plan. If it does not support the New Mexico Corrections Department Strategic Plan, explain why this project proposal is being submitted.

2. Explain where and how this project is identified in the Agency IT Strategic Plan most recently submitted by the Chief Information Officer of Corrections. If it is not identified in the plan, explain why this project proposal is being submitted.

F. Financial Estimate

Estimate of Execution Expenditures and Funding
Provide an Estimate of the Expenditures and Funding required for execution and close out of the project.

Estimated Expenditures ($000)

	*FY 201_*	*FY 201_*	*FY 201_*	*FY 201_*	*Total*	*Comments*
Internal Staff Labor						
Services						
Software Tools						
Hardware						
Materials and Supplies						
Facilities						
Telecommunications						
Training						
Contingency (Risk)						
Total						

This estimate is accurate to: 50% [ ]   60% [ ]   70% [ ]   80% [ ]   90% [ ]

Explanation:

Anticipated (proposed) Funding Source ($000)						
	*FY 201_*	*FY 201_*	*FY 201_*	*FY 201_*	*Total*	*Comments*
General Fund						
Non-General Fund						
Federal						
Other						
Total						

This estimate is accurate to:	50% [ ]	60% [ ]	70% [ ]	80% [ ]	90% [ ]

Explanation:

G.   Project Risk

Determine the level of risk for the project and the risk score. On the chart below, circle the resulting risk level and record the risk score for each risk item.

Risk Item	*Risk Level*	*Risk Probability*
Budget Risk *What level of risk does the proposed budget represent to the project?*	High (18–25) Medium (9-17) Low (1-8) None (0)	
External Dependencies Risk *How dependent is the project on other projects or work efforts?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Management Risk *What level of risk does the organization's project management capability represent?*	High (11–15) Medium (6-10) Low (1-5) None (0)	

Mission Critical Risk How critical is the project success to the success of the organization?	High (11–15) Medium (6-10) Low (1-5) None (0)	
Failure Risk What is the risk of failure to the agency?	High (11–15) Medium (6-10) Low (1-5) None (0)	
Complexity Risk How complex is project? Does it involve multiple divisions? Ask ITD about a high-level complexity assessment.	High (11–15) Medium (6-10) Low (1-5) None (0)	
Preliminary Risk Assessment What is the overall risk of the project to the agency?	High (73–100) Medium (36-72) Low (1-35) None (0)	*Total Risk Score:*

Approvals

Obtain the Project Sponsor's and Agency Head's signatures indicating approval to submit this Project Proposal for investment consideration. If the Agency Head's signature is the only signature provided, the Agency Head is assumed to also be the Project Sponsor.

Position/Title	*Signature*	*Date*
Project Sponsor		
PMO Manager		
NMCD CIO		