
Agency: Department of Finance & Administration
Project: Cash Management Remediation
Closed: 05-23-2013

The focus of this project was to automate processes, remove manual activities, and provide improved controls over cash and the reporting of the State’s cash position on the balance sheet. This effort will also assist with the preparation of SHARE and SHARE users for the planned SHARE Financials 9.X Upgrade.

Lessons Learned:

• Integration: For a successful implementation, it is critical to solicit involvement from other Agencies and initiatives early in the project. In addition to identified project stakeholders (DFA, STO, and DoIT), the Cash Remediation project had integration points with other initiatives (ASPEN project for HSD, and the AR deployments for CYFD).

• Environments: The SHARE Development (“D”), Testing (“T”), and Quality Assurance (“Q”) environments are refreshed on a quarterly basis from Production. The Cash remediation project had started testing new configuration in an environment that had been several months old (September, 2012). A subsequent environment refresh in February, 2013 necessitated additional configuration changes as a result of issues that were discovered.

• Support: The project went live on February 1, 2013 and was scheduled to end on March 15, 2013. Additional consultant support was required, particularly around the resolution of additional implementation issues and the monthly reconciliation process.

• Testing: Based on the customizations that currently exist in the SHARE system, an expanded scope of testing may be warranted earlier on in the project in order to detect errors.

• Technical Support: A degree of technical support was required based on changes to existing customizations and requirements, even though no technical support was anticipated and was subsequently not included in the SOW.

• Project Objectives: Business conditions which may be applicable to the private sector do not always apply to the public sector environment. Additional constraints may exist in the public sector which could impact project goals, objectives and timeline.

• Customization Impact: An impact assessment of existing SHARE customizations was difficult to conduct which resulted in additional analysis time on the project. This also justifies more rigorous testing on future projects.
the BEHR system is the electronic medical record for all clinical services provided in public health offices. BEHR allows the agency's Public Health Division (PHD) to electronically submit claims for services provided, and to electronically track compensation received for services performed, supporting revenue recovery.

The BEHR system was initially implemented in 2007 and the system was first upgraded in 2010/2011 to meet the federally-defined requirements for "Stage 1" of "Meaningful Use" which compensates state governments for adoption of electronic medical records.

This 2nd upgrade allows PHD to comply with the federal mandate for the new medical coding protocol: International Statistical Classifications of Diseases and Related Health Problems code set 10 (ICD-10). This project also positions PHD to implement federal "Stage 2" of "Meaningful Use" which compensates state governments for adoption of electronic medical records.

**Lessons Learned:**

- Create a dictionary of terms from this project that can be used in the future. And ask the vendor to explain their terms as needed.
- Clearly define communication requirements including notification of missed deadlines.
- Emphasize to vendor that the deliverables and tasks are legally binding. If they agree to an implementation plan, then they need to provide one, and manage that plan.
- Agency personnel should review customer notes from the vendor on a regular basis to prioritize the list of future enhancements.
- Future test plans should include load testing, workflow testing, and users from multiple regions.
- Define the requirements/definition of training plans, workflow testing and overall system testing as part of the overall vendor agreed project implementation plan and contract.
- Contract negotiation and stakeholder reviews / approvals required more than triple the time the agency team expected.
- Contracts need to include penalties for not completing deliverables either in totality, or missing deadlines with no explanation.
- Agency should make sure Deliverable requirements are clearly-stated with no ambiguity as to roles and responsibilities regarding training documentation, recorded webinars, who will be performing training.

- Coordinate with the regional support as well as the agency’s Help Desk staff to make sure IT staff are on hand and on call as needed.

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Agency: Department of Health  
Project: National Background Check Program  
Closed: 11-25-2014

The National Background Check Program is part of New Mexico’s ongoing work to prevent abuse, neglect and exploitation of care recipients.

The original Caregivers Criminal History Screening Program (CCHSP), established by statute in 1998, required caregivers to undergo a nationwide criminal history screening to ensure to the highest degree possible the prevention of abuse, neglect or financial exploitation of care recipients. In just one year after inception of the CCHSP program, application volume increased over 900%. Resource demands on providers and on the two state agencies who support this program were very high. It was difficult to keep up with the pace and still maintain the accuracy of screening.

This National Background Check project was designed to update and modify the CCHSP system while addressing increased volumes and demands from program providers. Deploying new, improved technology for real-time scanning of fingerprints and reporting related records; as well as training and improved compliance processes are pivotal to ensuring continued protection of care recipients.

The finished product was designed to:

- Increase the speed and accuracy of information flow greatly providing enhanced and timely inter-agency communication.
- Integrate searchable registries are expected to increase providing a one-stop repository for care providers to quickly ascertain employment suitability.
- Add supporting tools and processes will also improve provider audits and compliance.
- Support the integration and migration exclusively to digital fingerprint records that have been analyzed and vetted by the stage agency and the FBI.
Lessons Learned:

- Projects of this complexity and duration require the consistent support of knowledgeable staff to preserve the integrity and efficiency of the work being done.
- Multi-Agency projects require additional communication and attention to keep the project priority consistent between the two agencies.
- Quality Testing -- This project would have benefited from better coordination and tools. Instead the fixes, changes, and enhancements were measured and monitored using freeware and Excel spreadsheets. Projects of this scale require better Test Database tools like Team Foundation Server. Quality Testing should use test scenarios addressing specific business requirements and clear technical specifications.
- User Acceptance Testing (UAT) requires strong planning and management, with test scenarios addressing specific user requirements and clear technical specifications.
- Projects should budget for and plan schedules for all test environments required, including all the key integration points across subsystems. Substituting manual simulations for true integration testing is risky and could trigger costly recovery efforts if integration bugs are found after deployment.
- The project was heavily reliant on one agency’s deployment schedules and priorities which caused unexpected delays in some modules.
- Strong planning is needed to avoid the loss of key staff resources during the projects due to expiring contracts or insufficiently encumbered monies.
- All funding sources and their associated funding streams need to be clearly identified and verified at project Initiation and updated as needed during the project.

Agency: Department of Health  
Project: NM Immunization Information System (NMSIIS) Interoperability  
Closed: 12-19-2012

The purpose of this project was to support developing electronic interfaces between the New Mexico Statewide Immunization Information System (NMSIIS) and health care providers in the state. NMSIIS is a registry that tracks immunization records for doses administered within New Mexico.

These interfaces will allow providers’ Electronic Health Records (EHR) systems to electronically submit immunization data to NMSIIS, and to query NMSIIS for the immunization status of patients.

Lessons Learned:

• Working in a consortium with other States has benefits and drawbacks:
  o Benefits: leveraging other state’s experience, reduced cost
  o Drawbacks: dependent on other state’s schedules, vendor desire to move on to next state.
• Manage Supplier quality control of specifications, rollout timeline, overextension with other customer commitments.
• It’s hard to predict vendor abilities without objective measures
• Value of executive management support and resource allocation, good working relationship with Operations and business staff
• Value of being open to alternative solutions
• Rhapsody solution reduced API costs with increased flexibility.

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Project: Public Safety Interoperable Communications Project (PSIC)
Closed: 03-27-2013

The primary focus of this program was to improve interoperable communications governance, establish operating procedures for local, regional, and statewide interoperable communications capability and disciplined use. Training and exercises provided familiarity with the system so that use of the system is “automatic” in a disaster response. The technical approach that New Mexico used was to install multiple interconnected radio repeaters at the locations (towers and facilities) already in place as part of New Mexico’s statewide microwave communications backbone.

Lessons Learned:

• Use contracts for all design/build projects to maintain accountability and control of expenditures
• The letters of concurrence from the local emergency management community allowing the State to manage their investments/allocations of Federal Funds were not explicit enough. They should have been interagency Memoranda of Agreement (MOAs) or Memoranda of Understanding (MOUs) with more clearly-defined responsibilities.
• Financial support and tracking was not dedicated to the project which decreased the ability to correctly report project status to both Federal and State agencies.

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Agency: Department of Information Technology
Project: DoIT Billing System, Tivoli Usage and Accounting Manager (TUAM)
Closed: 04-24-2013

This project replaced the existing legacy billing system from CIMS Lab, Inc.

The CIMS replacement, Tivoli Usage and Account Manager (TUAM) is an IBM production system designed to collect, analyze, invoice and bill customers based on usage and costs of computing resources.

Lessons Learned:

• Include technical resources in Planning and gathering requirements:
  o Ensure Development and Production licenses are purchased upfront.
  o Better forecast user load and allocate enough disk storage upfront.
  o Understand the implications of selected software platform, OS, etc. e.g. Unix vs Windows
• Involve customer to understand how many User Id’s are needed up front.
• Weekly project team meetings was effective:
  o Tracking Action Items
  o Up to date project schedule
  o Monitoring risks and issues
• All stakeholders were engaged throughout the project and completed action items on time.
• The vendor’s Endpoint Secure Control team (ESC) was engaged and helped resolve issues as needed.

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Agency: Department of Information Technology
Project: Radio Dispatch Console
Closed: 07-23-2014

Replacement of Radio Communications Dispatch systems at Department of Public Safety District 6 (Gallup) and District 8 (Alamogordo).

Lessons Learned:

• Investing heavily in planning and engineering requirements early in the project. That investment resulted in a smooth project with no surprises.
Agency: Department of Information Technology
Project: SHARE Accounts Receivable
Closed: 07-24-2013

This project was intended to replace the existing legacy system (GEAC) with a new SHARE Accounts Receivable system using the already implemented People Soft software. New application will provide system generated reports for financial management and tracking of the departments’ receivables. Cash receipts will be posted directly in A/R and an interface will be created from TUAM (new billing system) to People Soft (SHARE A/R system).

Lessons Learned:
Positive:
- All the right resources were involved and engaged
- Excellent follow through by all team members
- Excellent support/engagement by Sponsor and Business Owner
- Excellent Customer Engagement (A/R Team)
- Excellent executing and project management by the Project Manager (effective meetings, meetings minutes and documentation, schedule updates, change control, etc.)

Constructive:
- The vendor underestimated the work required for both DoIT and CYFD projects
- The vendor did not size the Tivoli Usage and Account Manager (TUAM) interface work appropriately during contract negotiations
- The Scope of Work section for TUAM interface work could have been written better
- NM DoIT should have engaged NM DFA sooner to understand the cash remediation impacts
- Meeting logistics for the computer training room were challenging.

Agency: Department of Information Technology
Project: SHARE Asset Management
Closed: 04-23-2014

The PeopleSoft Asset Management ("AM") module was installed as part of the original SHARE implementation. However, this module was only being utilized by one State Agency to record, track, depreciate and retire fixed assets. This project was to expand the use of this module for the Department of Information Technology (DoIT). DoIT built on the existing AM configuration in SHARE to deploy this new AM functionality.

Lessons Learned:

• Involvement of Other State Agencies: For a successful implementation, it was critical to solicit involvement from other Agencies (i.e., the Department of Transportation) early in the project that were also operational on the Asset Management. In particular, the inclusion of DOT (the Department of Transportation) representatives allowed for valuable input throughout the DoIT project, and also contributed to the success of the Regression Testing phase prior to go-live. As the Agency that manages the SHARE application, it was also important to include DoIT representation throughout the DoIT project as well.

• Understanding of the Asset Management and SHARE: A key driver for the success of the DoIT project was to have a solid functional understanding of the PeopleSoft Asset Management, and the integration of the respective modules (Accounts Payable, Purchasing, and General Ledger). A firm understanding and prior experience with the State’s PeopleSoft SHARE system and its configuration was also critical to the success of the project.

• Environment Management: The SHARE Development ("D"), Testing ("T"), and Quality Assurance ("Q") environments are currently refreshed on an ad-hoc basis from the Production ("P") environment. The “aging” of data in those respective environments should be taken into consideration, particularly as this relates to project testing cycles. There may be an increased risk that issues will only be uncovered after go-live if the data and configuration in the development and testing environments are dissimilar to the production environment. One issue was encountered during cutover where configuration data in the Production instance was different than the testing environments.

• User Acceptance Testing: It is critical that end users participate in all facets of the User Acceptance Training including areas which may not be directly applicable to their daily role. This participation will help build an understanding of business processes, SHARE configuration and functionality, the integration between modules, and the impacts of data flows in the application.

- Project Objectives: Business conditions which may be applicable to the private sector do not always apply to the public sector environment. Additional constraints may exist in the public sector, which could impact project goals, objectives and timeline.
- Communication: Facilitation of consistent communication among the DoIT AM Team members contributed to a smoother implementation and cutover. A regular cadence of bi-weekly meetings, updates via email, as well as touch points at regular milestones helped to bring everyone on the same page, answer questions, and resolve issues.
- Data Validation and Cleanup: Initial conversion test loads resulted in fewer errors and subsequent corrections and reloads. This was in large part because of a substantial cleanup effort that DoIT initiated internally approximately three months prior to the start of the AM project. Several spreadsheets were consolidated and data was cleansed early on by the AM business users.
- Conversion Loads and Validation: During the project testing cycles, it is important to allow for sufficient data validation time on conversion loads. In addition, it is considered a leading practice to perform a test load and validation of the final conversion file in a non-production environment prior to go-live. This provides the business with a comfort level about the data quality before go-live.

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Agency: Department of Information Technology  
Project: SHARE Replatform for Disaster Recovery  
Closed: 04-23-2014

Build a Disaster Recovery platform for the Statewide Human resource, Accounting, and managerial REnorting system (SHARE)

Lessons Learned:

- Integrated Management Team: The project was divided into three areas of simultaneous focus: technical replatform, operations, and portfolio management. Each work-stream had an appointed lead, and all leads were highly coordinated and in daily communication. This leadership gave staff the needed support, while allowing progress on multiple fronts simultaneously.
- Single DoIT Enterprise Team: All DoIT staff involved in the replatform project had a single focus and priority: infrastructure, platform, security, application and database teams were fully committed with a shared goal. Individual team goals were not permitted -- this replatform project was designed to succeed (or fail) with everyone working as a single team.
- Defined Process and Structure: Close collaboration and communication were critical to the success of the project. Status and issues were communicated daily, at a “stand up” team meeting each morning. This helped ensure dependencies were identified and problems resolved quickly. The
project kickoff was a facilitated session with all team members to agree on a technical approach, establish a high level timeframe, and define required tasks.

The structure and processes used in this project:

- Forced teams and people to work together and emphasized the shared goal
- Created transparency into the current status and remaining work, with early insight into issues and obstacles
- Fostered collaboration and coordination; eventually – built trust and started to break down existing barriers
- Clear priorities eliminated resource contention and reinforced the single team concept and shared goal.

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**Agency:** Department of Public Safety  
**Project:** DPS SHARE Grants and Projects Billing  
**Closed:** 08-27-2014

The PeopleSoft Grants, Contracts, Project Costing, Billing and Accounts Receivable modules (“Grants Suite”) were installed as part of the original SHARE implementation in 2006. However, these modules, as a collective, are only being utilized by a small group of state agencies. This project expands the use of these modules to the Department of Public Safety (DPS). Previously, DPS had used manual processes and off-line spreadsheets instead of the SHARE to handle grants billing and reconciliation. DPS built on their foundation of Human Capital Management (HCM) modules in SHARE to pass labor and fringe costs from their HCM transactions to the SHARE Financials application.

The objective of this Grants Suite implementation was to implement the functionality DPS needed to streamline the grants billing process while improving accuracy, timeliness and data integrity.

**Lessons Learned:**

- Involvement of Other State Agencies: For a successful implementation, it was critical to solicit involvement from other Agencies that were also operational on the Grants Suite early in the project. In particular, the inclusion of DOT (Department of Transportation) representatives allowed for valuable input throughout the DPS project, and also contributed to the success of the Regression Testing phase prior to go-live. It was also important to include DoIT representatives throughout this project, since DoIT is the agency that manages the SHARE application.

- Understanding of the Grants Suite and SHARE: A key driver for the success of this project was to have a solid functional understanding of the PeopleSoft Grants suite, and the integration of the

respective modules (Accounts Receivable, Project Costing, General Ledger, Grants Management, and Billing). A firm understanding and prior experience with the State’s PeopleSoft SHARE system and its configuration was also critical to the success of the project.

- Environment Management: The SHARE Development ("D"), Testing ("T"), and Quality Assurance ("Q") environments are currently refreshed on an ad-hoc basis from the Production ("P") environment. The “date” of data in those respective environments should be taken into consideration, particularly as this relates to project testing cycles. There may be an increased risk that issues will only be uncovered after go-live if the data and configuration in the development and testing environments are very different from the production environment.

- User Acceptance Testing: It is critical that end users participate in all facets of the User Acceptance Training including areas which may not be directly applicable to their daily role. This participation will help build an understanding of business processes, SHARE configuration and functionality, the integration between modules, and the impacts of data flows in the application.

- Project Objectives: Business conditions which may be applicable to the private sector do not always apply to the public sector environment. Additional constraints may exist in the public sector which could impact project goals, objectives and timeline.

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Agency: Department of Public Safety
Project: New Mexico Automated Fingerprint Identification System (NM-AFIS)
Closed: 03-27-2013

Many local law enforcement agencies throughout the state have their own fingerprint and applicant information capture equipment or procedures for recording fingerprint, mug shot and demographic data. Those data are then transmitted electronically or shipped via U.S. Postal Service to the agency for verification, incorporation into the Consolidated Criminal History files, and forwarding to the Federal Bureau of Investigations (FBI) where they can be compared to the federal fingerprint repository.

This project installed a central fingerprint repository with tenprint and latent fingerprint operations within the agency’s central site and deployed a number of remote tenprint, latent, and live scan installations from which data can be electronically transmitted to the NM-AFIS repository.
Lessons Learned:

Several factors contributed to this project’s success.

• Having and maintaining clear and concise document of a system throughout its lifecycle
• Keeping Subject Matter Experts involved from initiation
• Ensuring Stakeholder involvement from inception through implementation
• Conducting periodic project reviews with stakeholders.

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Agency: Department of Public Safety
Project: New Mexico Law Enforcement Telecommunications System (NMLETS) Upgrade
Closed: 12-19-2012

The New Mexico Law Enforcement Telecommunications System (NMLETS) is the primary system for providing the critical data that law enforcement and criminal justice agencies need to identify if an individual is wanted or missing, if a vehicle is stolen, if an individual has a prior criminal history, if a parolee has an outstanding warrant or if an order of protection has been issued. The goal of this project was to replace the current NMLETS system with one that provides advanced technologies, improves system response time and can be supported by the agency and vendor staff.

Lessons Learned:

Several factors contributed to this project’s success.

• Having and maintaining clear and concise document of a system throughout its lifecycle
• Keeping Subject Matter Experts involved from initiation
• Ensuring Stakeholder involvement from inception through implementation
• Conducting periodic project reviews with stakeholders.

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Agency: Department of Public Safety
Project: Support for the Adam Walsh Act
Closed: 07-24-2013

The Adam Walsh Child Protection and Safety Act is a federal statute that creates a national sex offender registry for posting offender data on the Internet. The Act was named for Adam Walsh, an American boy who was

abducted from a Florida shopping mall and later found murdered.

This project was based on a federal grant the agency received to address improvements needed in the registration, data collection, inter-agency messaging, and information-sharing processes within the state, in order to meet requirements of the Sex Offender Registration and Notification Act (SORNA).

Lessons Learned:

Several factors contributed to this project’s success.

• The agency worked very closely with the vendors
• The agency held weekly conference calls/meetings
• The agency had clear documentation of the outstanding issues and completions that were emailed back and forth regularly.

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Agency: NM Environment Department
Project: Excess Emissions Reporting (EER) Phase II
Closed: 05-23-2013

The Federal Clean Air Act requires that owners or operators of permitted air facilities (minor or major sources) provide the appropriate governing state or tribal agency with a written report of all events where an emission has occurred in excess of permitted amounts, usually within 48 hours of the event.

This project produced an application suitable for the external users of the regulated community who submit excess emissions reports (EERs), and suitable for agency users processing and responding those EERs.

Lessons Learned:

• Make prioritization of required items a priority. You can’t get everything done at once.
• Take a phased approach.
• Determine the minimal required elements that can be put into production that will eliminate an existing system or process that is obsolete, not working, or is a bottleneck.
• Communicate often.
• Use Web Ex or a similar tool.
• Having a designated agency point-of-contact, for both technical and business questions, was critical when dealing remotely with contractors.

- Vendors may require additional time to fully understand how to integrate security features such as VPN with all the networks and systems involved.

Agency: Gaming Control Board
Project: Gaming Central Monitoring System Replacement
Closed: 10-22-2014

The Gaming Central Monitoring System is required by state statute for the oversight and monitoring of non-tribal gaming operations at both Racetrack and Non-Profit gaming licensees. This project procured and implemented a replacement for the obsolete Gaming Central Monitoring System which had been in operation since 2004.

Lessons Learned:

- Clearer input and expectations from management during the development of the Request For Proposals (RFP)
- Work closer with DoIT and State Purchasing to better refine the final RFP document
- Provide clear instructions, expectations and feedback for all parties during the RFP process
- Allow enough time for collaborative contract negotiations.

Agency: General Services Department
Project: GSD SHARE Benefits Optimization
Closed: 08-27-2014

The main goals of this project were to define and assign new security roles for state and Third Party Administrator (TPA) staff, to implement Self Service eBenefits functionality and to implement additional technical and functional recommendations identified in an Oracle assessment conducted in FY2011.

Project objectives were:

- Update and re-define security roles and permissions
  - Implement Security roles for State and Third-Party Administrator (TPA) staff.
  - Scale down the Benefits Administration security for State staff and scale up the security for the TPA who assumed most of the work in April 2013
  - Create security and IDs for State employee end-users for Self Service

- Define Business Process Requirements and workflows for State Human Resources (HR) and Employee Benefits Bureau (EBB) staff to take effect after Benefits Administration for State Employees have been transitioned to TPA
- Implement Employee Self Service in SHARE related to Benefits Administration;
- Resolve technical issues that contribute to inefficiencies in work flow processes, data processing errors, and system performance
- Reduce or eliminate manual processes related to Benefits Open Enrollment
- Implement other high-medium rated priority assessment recommendations as budget and schedule will allow as defined during planning phase.

Lessons Learned:

- Ensure the Project Governance structure is followed and there is active participation by all members. Follow documented communication plan and define escalation plan to address project issues/concerns.
- Define the Change Management Plan as it relates to system and business process changes.
- Automate the current SHARE manual required paper and forms process with a more consolidated approach by developing an online system with workflows to help track the approvals and manage development effort and progress.
- Allocate a SHARE Project Manager as the primary contact who will be engaged in the project and will actively manage code migration and changes to improve process and provide a quicker turnaround for system changes to be tested and implemented.
- More collaborative effort between the SHARE PM and Project Vendor PM is needed to mitigate risk, overcome obstacles and provide higher levels of project management.
- Ensure there are adequate functional and technical resources allocated to the project to avoid single person dependencies and turn over which caused communication issues and delays in the review and approval process for changes to be implemented.
- Important competing SHARE initiatives conflicted with the this project’s schedule, and was not communicated well to the Project team. (SHARE re-platforming for disaster recovery, and a court-ordered payroll effort)
- Build and account for SHARE initiatives in the overall State portfolio of projects to ensure accommodation of schedules, reduce resource contention and synchronization of projects can be accomplished.
- A SHARE project of this size requires consultants with expert, strategic PeopleSoft knowledge during the initial certification and planning phases.
The agency selected a Commercial-Off-The-Shelf (COTS) vendor solution to deliver a streamlined process from supplier registration, to sourcing event creation and bid tabulation. The Paperless Procurement that was implemented includes: Vendor Registration and management, reverse auction (RFx) event uploads, and Invitation-To-Bid tabulations. From a standard Web browser, suppliers register and respond to bid opportunities providing increased accuracy and easy capture of complex award criteria.

The goal of the project was to improve the functionality and efficiencies of the agency's electronic procurement modules and business processes. The objective of this project was to implement electronic bid and management software for specific workflow, reporting, and business automation needs. This new solution provides vendors an online system that will allow for electronic submission of vendor responses to State of New Mexico Request for Proposals (RFPs) and Invitation to Bids (ITBs) and improve response times and business efficiencies.

These improvements were intended to address multiple business problems in the prior system:

- All competitive solicitations were conducted in a manual, paper-based process that was error-prone and required heavy investments of both time and labor
- No capability to electronically search for deliverables, equipment, services schedules, nor any historical data
- Performance tracking and management was done manually which is inefficient and inconsistent
- All response copies, formal contracts, and Award copies were kept in hard copy and occupying a large file room.

Lessons Learned:

- Conduct in-depth upfront analysis of System and Business Requirements to ensure that the proposed solution can meet the business process needs of the agency
- Full engagement of Subject Matter Experts and staff are required at the beginning phase of the project
- Require external security audit of any COTs application and website prior to Go Live
- Hire a full time Project Manager with relevant experience if internal resources are not adequate
- Adhere to standard project management methodology
- Conduct a resource analysis and time allocation analysis of the project scope at the beginning

- Fast-tracked projects require additional focus and attention by the Project Manager and team throughout.

Agency: General Services Department  
Project: SHARE e-Procurement Enhancement Phase II  
Closed: 06-25-2014

e-Procurement is the Business-to-Business purchase and sale of supplies and services over the Internet. e-Procurement Web sites allow qualified and registered users to look for buyers or sellers of goods and services. Depending on the approach, buyers or sellers may specify prices or invite bids. Transactions can be initiated and completed.

The purpose of this project was to enable State Purchasing to develop and implement consistent, controlled, automated processes that provide e-procurement functionality for state agencies and other public entities. Timely communications between the State Purchasing Division, vendors and agencies will be facilitated and access to secured and accurate data will be significantly improved and made available to all authorized parties. In this second Phase of the Enhancement, the goals were to implement the e-Procurement module and select a set of pilot agencies to test and utilize standard functionalities of Supplier Catalogue.

Lessons Learned:

- Setup of vendor catalogs takes longer than expected – volume related, initial steps
- Setup of Vendor electronic linkages takes longer than expected and testing has to be comprehensive
- Pilot Agency was not fully committed to using the new functionality
- Changes in pilot agency leadership and resources diverted focus and priority to other issues which halted deployment
- Conduct upfront Agency surveys to determine most widely used vendors and commodity codes and agency readiness to utilize new SHARE and Procurement business process functionality and product enhancement offering
- Identify major suppliers with volume discounts to determine which vendors should be implemented first.
- Revert configuration changes that were made prior to the new platform
- Business Unit configuration vs. Enterprise configuration
- Cultural Change Management and Strategic Approach - Agencies were reluctant to change business processes – relinquish paper and multiple approval steps
- Must be committed effort internally and then externally to vendors.

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Agency: Human Services Department
Project: ASPEN - Automated System Program and Eligibility Network (formerly known as "ISD2R")
Closed: Closed 09-17-2014

The ASPEN project for Automated System Program and Eligibility Network (formerly known as "ISD2R") replaced the agency's obsolete “Integrated Services Delivery System” (ISD2) which was built in 1987. ASPEN determines program specific eligibility and distributes benefits to better administer assistance programs and comply with current and future federal requirements for over 800,000 recipients who receive Food Assistance (SNAP), Energy Assistance (LIHEAP), Medicaid and Cash Assistance.

Federal Partners for this Project were: Food and Nutrition Services (FNS) and the Centers for Medicare and Medicaid (CMS).

Lessons Learned:

- Executive Sponsorship that is immersed in the day-to-day activities of the project is critical to ongoing project success
- Establish a management structure early in the project with clear goals, definition of roles, metrics and reporting
- State staff with functional / technical knowledge from all organizational areas must be integrated with vendor personnel throughout all aspects of development and implementation
- Team members at all levels of participation need to understand the priority placed on their involvement in the project
- Recognition that this is not an IT project, but a business transformation project.

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Agency: Human Services Department
Project: HSD CSES CA Gen Upgrade V8
Closed: 06-25-2014

The purpose of this project was to upgrade the Child Support Enforcement System (CSES) CA Gen environment software components (release 6.5) and its associated application to the current commercial base CA Gen release (release 8.0).
Lessons Learned:

This project would have benefitted from

- Better coordination and communication of upgrades, modifications performed by other State Agency partners and their and potential impacts on the project
- Designating a Database Analyst as primary contact for mainframe/systems issues for the entire project
- Managing the vendor’s expectations of a deliverable-based contract when hours required to resolve unexpected problems go beyond the original estimated hours
- Better documentation of the “as is” environments, versions, and setups that are operating before the upgrade
- Planning for post-production issues, ensuring staff resources are available to resolve issues quickly.

Agency: Human Services Department
Project: HSD Video Conference Augmentation
Closed: 09-17-2014

Augment and expand the agency’s current video conference network by 22 more offices. The benefit will be automation of the current manual scheduling function, reduced travel cost and travel time to attend meetings, and improved communication between field staff.

Lessons Learned:

• This project took far too long to complete. Upfront, the risks documented aligned with technical matters related to compatibility concerns. The delays within the project were not of a technical manifestation related to compatibility or other types of issues. Most delays tied back to state resource availability and commitment.

• Staff turnover, impacted the entire technical team including the Bureau Chief.

• Until the end of 2013, staff members were unable to dedicate the time and effort required to absorb the setup and configuration of the solution, with or without assistance from the vendor.

• The 2014 effort to complete the project was successful due to an increase in technical staff available to the project, along with proper technical planning and a focus on project execution.

• The project management team and all technical staff must be given the time and focus to execute project tasks in parallel to other support duties. Internal resource forecasts need improvement and should receive proper review up front.

Agency: NM Corrections Department
Project: CMIS Upgrade
Closed: 04-23-2014

The principal information management system at this agency is the Criminal Information Management System (CMIS). This project’s goal was to improve CMIS in two significant ways: 1) lower cost of maintaining the application and improved reliability with a Service Oriented Architecture (SOA); and 2) expand the capabilities of the system to better serve correctional operations.

Lessons Learned:

• Historically, the amount of money funded for the CMIS project has not been sufficient to implement the developed code to a production environment

• The past focus on development on a module-by-module basis has not afforded the new functionality desperately needed by the agency

• The National Consortium for Offender Management System (NCOMS) model, while theoretically sound, has not produced the desired results.

• Expecting that the same number of staff resources can support existing systems and also develop new systems is unrealistic

• The agency believes the only way to achieve its goals is to fully implement all functionality across all 17 modules identified by the Corrections Technology Association (CTA) in one, comprehensive, offender management system.

Agency: NM Department of Transportation
Project: Autodesk Upgrade Project
Closed: 03-26-2014

The intent of this project was to upgrade surveying and transportation engineering software, computer aided design and drafting (CADD) sub-system and standardize on a set of tools.

Lessons Learned:

• When reporting to Executive Sponsors and Business Owners, keeping project status as non-technical as possible is best. This ensures that regular status reports will be read and understood.

• Once the project kicked-off we soon realized that much of the work could be performed in parallel. But the original project plan and deliverables were based on a sequential task progression, and the parallel work threads made it more difficult to gauge percentage of work completed at any particular point in time.

• An integral part of this project was bringing together project development personnel from around the state to serve as User Acceptance and verification (UAT) test participants. We underestimated the added amount of time required for coordination of UAT participants, confirming training room availability, setting up equipment, and coordinating contractor schedules.

Agency: NM Department of Transportation
Project: Forms Management Solution
Closed: 08-27-2014

The agency relies thoroughly on the forms catalog it presently has implemented within its agency. The information management practices around the usage of these documents are essential to the functioning of the agency’s business. There have been over three hundred forms identified as used for different areas within the agency.

The existing forms were created using an older methodology, which makes the information management practices manual-intensive and prone to human error and delays. The manual process calls for forms to be printed and then delivered (via mail or fax) to the agency. The old form submission process is separate from the process flow. Furthermore, the existing forms resided on an aging system that the agency had to replace.

The agency decided to modernize and substantially improve the form submission process. Modernization
improvements included digitizing the document submission process as well as improving the form submission lifecycle to reduce process times and errors.

Lessons Learned:

• Form selection and development are best handled by the agency's Subject Matter Experts for the new system. Their selection criteria are based on known configuration constraints and benefits within the system. This project's implementation relied more heavily on input and demands from outside the department that were not always the best candidates to use.
• Internal processes need to be adopted by IT, Human Resources and the Office of Inspector General for new form requests and form change requests.
• Human Resources will play a role in ongoing proper operation of the new system, as they maintain organizational data directly on Active Directory which supports automated routing of forms.
• Agencies need to plan ahead for the Project Certification Committee (PCC) Phase Gate reviews. Coming in for retroactive PCC certification mid-project creates problems and adds risk to the project timeline.
Lessons Learned:

- The RFP identified technical and quality performance of the system and was referred to in the contract, helping to prevent scope creep.
- The deliverable based – fixed priced contract was critical to the success of the project, preventing budget creep and ensuring that, what was contracted for was delivered.
- The Performance Bond provided insurance and leverage for completion of the project – allowing the contractor to fix discrepancies while protecting the agency.
- Underestimating the technical complexities of the project and therefore hampering the ability to determine realistic implementation timelines.
- Design, build and reengineering technicalities took longer than expected.
- Underestimating terrain, heat and cold variations and effects on equipment and line-of-sight systems.
- Birds lay nests in radio towers
- Inter and intra departmental reviews and approvals took longer than expected.
- Right-of-way and permitting issues took longer than expected.
- Federal Requirements: FCC requirements and Federal DOT were more complicated than expected.
- Lastly, Administration support and the ability of the vendor and NMDOT to work jointly to resolve issues, was vital to the project’s successful outcome.
The purpose of this project was to establish a statewide Distribution Center in which multiple agencies could evaluate the possibilities of linking state traffic data systems containing crash, justice, driver, roadway, medical and economic data.

Lessons Learned:

- The scope was too broad with insufficient resources to manage. A better approach would have been to start with smaller, more feasible projects and build out from those successes. That smaller initial scope would have enabled more consistent administration; adapted more flexibly to changing program needs; and would have been more responsive to changing staffing levels.
- Improve Customer Service: Capture traffic records data to improve the quality, accuracy, integrity, timeliness, completeness, consistency and accessibility for law enforcement, state and federal agencies and the public.
- Enhance systems capacity for operations and data sharing: Each individual agency system must be ready to capture and store electronic records data. All agencies must be able to share traffic records data and perform statistical analysis.
- Planning for Systems Integration: More planning work is needed to prepare electronic interfaces for the cross-agency data exchange: Law Enforcement Agencies (LEAs) to their own Records Management Systems; LEAs to the Courts; LEAs to the Motor Vehicle Division; and LEAs to NM Department of Transportation.
- Granularity of Measureable Outcomes: Each subsystem within the project needs to be designed with objective success metrics.
 NM Department of Transportation
Project: Document Imaging Implementation and Content Management Migration
Closed: 12-17-2014

NMDOT’s existing document imaging system (IBM FileNet) is over 13 years old and the agency has been having major problems with the software. We have identified a modern document imaging technology (EMC Documentum) that will enable our staff to provide good customer service to the public and to our internal users. The current system has over 4 terabytes of vital electronic information and records that need to be preserved for many years to come.

The main goals of this project were to:

• Replace an obsolete document management solution with modern document imaging technology that NMDOT can expand on for many years; and
• Migrate the agency’s current data to the new repository.

Lessons Learned:

• The number of pages in the data migration files should have been considered in addition to the number of documents being converted or migrated. The number of pages contained in the migration process was not realized until migration was underway, and this caused significant delays and required migration utility reconfiguration.

• Internal agency resources demonstrated their ability to perform complex migration tasks which usually are completed by outside contracted services. Internal agency resources made this project happen!

• Training presentations should have a ‘dry run’ to ensure their content correctly addresses the audience.

• Contractor’s inability to meet deliverables as defined in the contract caused a delay to the project.

Agency: NM Environment Department
Project: Excess Emissions Reporting (EER) Phase II
Closed: 05-23-2013

The Federal Clean Air Act requires that owners or operators of permitted air facilities provide the appropriate governing state or tribal agency with a written report of all events where an emission has occurred in excess of permitted amounts, usually within 48 hours of the event.

This project produced a web-based software application suitable for the external users of the regulated community who submit excess emissions reports (EERs), and suitable for the agency users processing and responding to those EERs.

Lessons Learned:

- Make prioritization of required items a priority. You can’t get everything done at once.
- Take a phased approach.
- Determine the minimal required elements that can be put into production that will eliminate an existing system or process that is obsolete, not working, or is a bottleneck.
- Communicate often.
- Use WebEx or a similar web conferencing tool.
- Having a designated agency point-of-contact, for both technical and business questions, was critical when dealing remotely with contractors.
- Vendors may require additional time to fully understand how to integrate security features such as VPN with all the networks and systems involved.

Agency: Public Education Department
Project: Administrative Review and Training (ART) Grant
Closed: 06-26-2013

The ART project was fully funded by a federal grant from the United States Department of Agriculture (USDA) and was designed to make operational and administrative improvements to the USDA’s accountability requirements for administration of New Mexico’s child nutrition programs.

This project provided:

- Extensive consulting services to local School Food Authorities (SFAs) throughout the state

• Electronic learning modules for local SFAs to ensure consistency in meeting accountability requirements
• Software: a Decision Support Toolkit and a Meal Benefit Management System to monitor federal accountability requirements and benchmark SFA performance outcomes.

Lessons Learned:

• Use the Project Management Institute (PMI) Project Management Body of Knowledge (PMBOK) as a guide to establish sound project management standards.
• Clearly define project roles in the project charter. Identify the project sponsor, an executive steering committee, a project manager and a project team. Define the responsibilities of the project manager, the executive steering committee and the project team. Establish a schedule for regular meetings.
• Create a project management plan that addresses the scope of the project, the schedule, the budget and project objectives. Create a schedule that identifies project milestones, objectives and tasks to include persons responsible for each task. Use a project management tool such as Microsoft Project or another industry-standard tool.
• Track and manage project risks and issues. Establish a change management process and follow it.
• Communicate the goals, objectives and status of the project to all stakeholders. This can be done through the Internet, e-mail or through an advisory group.
• Document all project activity – agendas, minutes, project plan updates, scope changes, status reports, etc.. Create a central repository for all project documents.

Agency: Public Education Department
Project: Direct Certification
Closed: 12-17-20134

The Student Nutrition Bureau (SNB) of the New Mexico Public Education Department (NMPED) completed the Direct Certification Project to:

• develop an centralized electronic environment that will support the certification of students that are directly eligible for free or reduced meals based on status that is determined by data collected from the New Mexico Human Services Department and the Children Youth and Families Department.
• share this data daily with the state and Local Education Agencies, private schools and Bureau of Indian Education schools so that we can:
  o ensure more of New Mexico’s neediest students are served meals at no cost; and
  o integrate the Direct Certification Process with existing systems to achieve a single Student Nutrition Portal.

Lessons Learned:

Training
• There is no such thing as too much training! We provided training elbow-to-elbow, via webinar, and answers to Frequently-Asked-Questions (FAQs) but more training would have been better!

Use
• Schools did not use the system consistently until there was proper motivation – the understanding that schools could receive a greater reimbursement rate for meals if their count of directly-certified students was high enough.

Messaging and Communication
• Consistent and frequent messaging about the system is required. There is no such thing is too much messaging. We emailed, had alerts on the website, and used the SharePoint announcements feature in the system, but we could have benefitted from more messaging about the new system. We also should have emphasized the financial incentive more in our messaging.

Change Management
• The project started without a formal change management system. In July 2014, a formal change control process was established.

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Agency: Public Education Department
Project: K-3 Formative Assessment
Closed: 12-17-2014

Early Literacy Interventions and Initiatives have been determined to be a priority for the state of New Mexico. The K-3 Formative Assessment provided the critical data for monitoring student achievement in reading and assists teachers in guiding instruction to meet student needs.

Lessons Learned:
• Early stages of the project identified a need for more frequent communication between the agency and the vendor. Weekly teleconferences and monthly status meetings were established. Written Status reports were required.
• A project steering committee was not identified. Without a steering committee, there was no forum for review and approval of the project's risk management plans, issues, scope, or schedule changes.

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Agency: Regulation & Licensing Department
Project: Recycled Metals Management System (RMMS)
Closed: 06-25-2014

In 2008 stage legislation tasked the agency with registration of recycled metal dealers. We were also required to maintain an electronic database, accessible to the public, recording recycled metal bought or sold by the licensed secondhand metal dealers in the state, “Records received by the department ... shall be made available in the database by the end of the second business day following receipt by the department.”

To satisfy this legislative mandate, the agency deployed a system which allows recycled metals dealers to access an internally-developed web application, and manually input or bulk upload their transactions to the agency’s database. The website allows the agency’s Program Manager to create new dealers, manage the metal types recorded, and perform basic transaction searches. The agency will provide reporting to the public and to external agencies through a separate, Commercial-Off-the-Shelf (COTS) web interface.

Lessons Learned:

- Hire a project manager to maintain the project from start to finish. RLD does not have the internal staffing to maintain a project of this scope adequately.
- Consider a commercial off the shelf solution rather than a custom built application.
- Include end user staff in design, development and testing/all phases of project.
- Need to improve project handoff between internal staff.

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Agency: Secretary of State
Project: Business Assessment & Infrastructure Improvements
Closed: 12-17-2014

The scope of this project included:

- A business requirements study for replacing the Secretary of State’s Knowledgebase (SOSKB) system within the SOS Business Services Division
- A business requirements study for transitioning the Corporations Bureau from the Public Regulation Commission to the Office of Secretary of State

- A network security assessment and implementation of recommended improvements; and
- Campaign Finance Information System (CFIS) enhancements.

Lessons Learned:

- Timing the requirements assessment to coincide with the move of a new Corporations Bureau to our agency was ideal. This allowed the agency to better understand the business processes, strengths, and weaknesses of the incoming division to better posture itself to serve its customers and minimize service impact during that transition.
- Conducting a requirements assessment to document the "as-is" and "to-be" requirements before replacing the existing systems worked well, and should be used in future projects. These documents created baselines that IT and business staff agreed upon and provided useful information to develop funding requests, develop a subsequent RFP, and to contract for the system replacements.
- It may be worthwhile to seek legislative changes supporting electronic authorization/signature so we can move more business services to customer self-service online.
- It may be worthwhile to seek legislative changes that allow the agency to keep credit card convenience fees to pay the processor, rather than paying for these from the agency’s own operating budget.
- Processing for scanning and microfilming of records has not been consistent within the office. Standardization of these procedures should be a priority for the new system.
- The requirements assessment identified many potential business process improvements in the areas of mail processing, the telephone system, and paper form structure that the agency had not considered previously. These present many opportunities for increased efficiency.
- The security assessment identified a few vulnerabilities in vendor-delivered software products. Future software contracts should require contractors to submit their software product through an independent security assessment and remediate any vulnerabilities detected before any of those products are deployed into production.

Agency: Taxation and Revenue Department
Project: Driver – Vehicle Reengineering (Milagro)
Closed: 08-28-2013

The Commercial Driver’s License Information System (CDLIS) is a nationwide computer system that enables state driver licensing agencies to ensure that each commercial driver has only one driver’s license and one complete driver record. CDLIS was established by the Federal Motor Carrier Safety Administration (FMCSA) in 1986 and
updated over the years with all states required to be in compliance with CDLIS 5.2 by January 2012 and CDLIS 5.3 by July 2015.

After experiencing issues with the original vendor selected to deploy CDLIS for New Mexico, the agency developed a three-pronged interim solution to re-engineer the Driver-Vehicle information system:

1. Continue Reengineering with an internal project, “Commercial Driver’s License Information System Modernization” (CDLIS Mod or C-Mod) to comply with the CDLIS 5.2 mandates by the federal deadline.
2. Identify and prioritize issues requiring revision in the current system, using internal IT staff to repair the outstanding issues.
3. Commence an MVD initiative to issue a second RFI and RFP for a reengineered, customer-centric, driver and vehicle system.

Lessons Learned:

• The time and expense to have an independent expert analyze the technical architecture of the offered solution, can save the Department from being ‘oversold’ on how well vendor’s solution fits agency requirements without expensive modifications.
• Seek a true Commercial-Off-the-Shelf (COTS) package for the solution, and ensure that a selected vendor has a track record of production implementations.
• Ensure that systems sold as COTS are truly COTS and do not require expensive modifications.
• Track the number of times code solution elements are submitted for the agency’s approval, and include terms regarding this tracking in the vendor contract. This language enabled the agency to understand when the project was excessively diverging from schedule, when immediate intervention was required, and when the contract needed to be cancelled.
• Add a Business and Technical architect to the external project team.
• Consider placing some language in the next contract for the agency to obtain reimbursement for schedule or quality deterioration.
• Ensure that adequate business and IT resources are available for the duration of the project.
This upgrade of maintenance and support for the GenTax system showed a positive return-on-investment by generating additional revenue and reducing costs. The upgrades provided two major benefits:

1) Enabling the system to smoothly implement new versions of the GenTax software as they become available in the future
2) Full implementation of the Taxpayer Access Point web portal for electronic filing.

This enhanced support allowed the agency to keep the entire system up to date and supplement staff resources to implement web based filing for Weight Distance Tax (WDT), Personal Income Tax (PIT), and Combined Reporting System (CRS) into the Taxpayer Access Portal (TAP). This Enhanced Support contract ended June 2014.

Lessons Learned:

- This project enabled the agency to begin moving tax applications into the Taxpayer Access Point (TAP) web portal environment of GenTax.
- A great amount of knowledge transfer took place between the agency’s software developers and the contractor staff, enhancing the agency’s IT staff’s ability to support the TAP environment.

Agency: Taxation and Revenue Department
Project: GenTax Upgraded to Version 9
Closed: 09-17-2014

The purpose of this project was to upgrade the agency’s administration software "GenTax" to the vendor’s most current version: GenTax version 9. GenTax is a commercial-off-the-shelf product provided by Fast Enterprises, LLC that had delivered integrated tax processing to the State of New Mexico since 2002. GenTax processes revenue for 30 of the tax programs administered by the agency. During 2014 GenTax processed over $5.5 billion in annual revenues.

This project upgraded 30 tax processing modules including: a new Business Credit Manager module to handle the ever increasing types of business credits; a new refund module to better leverage new technologies in preventing fraud and detecting the use of stolen identities for refund fraud; the latest security technology to
protect our tax payer data; the latest generation web-centric architecture that allows us to better utilize our IT resources; and a new GenTax data warehouse “Discovery”. The new data warehouse improves use of external data for increased productivity; increases revenue streams during audit and compliance work; and increases efficiency and fraud prevention during revenue and return processing work.

Lessons Learned:

- Strong emphasis on implementation of a comprehensive integrated user training plan (videos, handouts, formal classes, computer labs)
- Committed business staff onsite for the duration of the project
- Internal Project Management Office (PMO) and PMO Business Analyst dedicated to the project
- Highly-effective interaction between the agency project managers, vendor staff, and the IV&V vendor ensured quality of product and on-time project delivery
- Standardization and consistency of GenTax v9 has benefited employees by enabling knowledge and experience to be more easily transferred across functional areas.

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**Agency:** Taxation and Revenue Department  
**Project:** Motor Vehicle Division Document Management System (DMS)  
**Closed:** 07-24-2013

The agency’s Motor Vehicle Division scans approximately 12 million pages of data per year. Before this project, only a small percentage of the documents that should be imaged and subjected to the state retention and disposal policy were microfilmed and stored. The earlier processes were subject to an unidentified percentage of waste and loss. The earlier process included multiple transfers of paper documents between various agency offices. In some cases two copies of a document were created simply to pass data between data entry or microfilming at one building, and the central office building.

This project provided electronic scanning capabilities to all agency groups, including the Field Offices and the data entry operations.

Lessons Learned:

- The agency attempted to reuse an existing key-from-image web application that had been placed into production around 2002. Going into the project, the plan was to make no changes to that existing, old application. The reasoning was that this obsolete application would be replaced with an upcoming project where that replacement was already mandatory in the future project’s requirements. Unfortunately re-use of this obsolete tool created a disproportional amount of extra
development and testing resources in this project.

- The Contractor was too accommodating to the agency’s changes to requirements, design, and development.
  - Example: Wholesale accommodation of changes led to strains on the remainder of the project schedule. The project started with some slack in the schedule, and ended with none. This over-accommodation also caused a considerable amount of overtime work for the Contractor (at no additional cost to the agency).

- The technical team needs to continue their involvement in the Change Control process after production implementation.
  - Example: The agency thought the risk of the scanning software not performing all necessary Optical Character Recognition (OCR) was mitigated by performance testing before acceptance of the scanning equipment. A workable solution was developed using both OPEX and EMC Captiva capabilities, but the solution was not ideal. In the month following implementation, unauthorized changes were made to the OPEX job, and untested changes were made to the Coordinated Universal Time (UTC) format. Both created a “snowball” effect through that portion of the system.

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Agency: Taxation and Revenue Department  
Project: Motor Vehicle Division IRP / IFTA System  
Closed: 08-28-2013

TRD administers interstate motor carrier registration and tax transactions under the International Registration Plan (IRP) and the International Fuel Tax Agreement (IFTA).

The IRP / IFTA system provides for the base jurisdiction of authorized third parties to license, calculate, bill, and record payment of fees for all member IRP and IFTA jurisdictions in which the applicants’ fleets operate. The registering jurisdiction then disburses the collected fees to the other jurisdictions along with a control document called a ‘transmittal’, and a summary document which shows how the fees were calculated for each registrant. The system also handles fee processing, and reporting.

Lessons Learned:

• Perform thorough analysis before accepting any last-minute “add-ons” to project specifications, with special focus on expectations, and the advice of other departments that will be impacted.
• Perform better analysis regarding external entities, their current relationship to the Agency, and their use of existing systems.
• The Commercial-Off-The-Shelf (COTS) package removed considerable risk from the project implementation.
• The customer was very satisfied with the results of the project.

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Agency: Taxation and Revenue Department  
Project: ONGARD Mainframe Stabilization  
Closed: 07-23-2014

The ONGARD system was implemented in 1992 and tracks approximately 30% of state revenues. New Mexico recognized the 20 year-old ONGARD system required re-engineering in 2001. The 2007 & 2008 legislative sessions allocated funding to start the ONGARD Modernization and produced a comprehensive ONGARD Strategic Roadmap for modernization and transformation that was accepted by stakeholders and DoIT. However, future funding was brought into question during “The Great Recession”, all project activity was stopped and allocated funding was reverted back to the State General Fund in the statewide sweep of 2008. Funding was restored in the 2012 Legislative session, with $6 million to address ONGARD Mainframe Stabilization and ONGARD Modernization. This Mainframe Stabilization project was designed to address system maintenance issues related to the ONGARD application, synchronization with changes in the DoIT mainframe operating environment, and to improve overall operation effectiveness and efficiency of the system.

Lessons Learned:

• Integrated testing (with test and use cases) is essential to successful application system migration when the DoIT mainframe platform, operating system, or database upgrades are implemented.
• Implementation of Best Practices for testing increased the cost of running the ONGARD system. Unless lower mainframe charges become available for testing activity, this will be a permanent and ongoing expense for other agencies.
• It is a bad practice to defer required application maintenance activity. This contributes to a general application business system decline which must later be addressed via emergency funding (e.g. the ONGARD Stabilization project) to prevent catastrophic system failure.
• Financing regular maintenance and support (M&S) activities through special appropriations and within the Project Certification Committee framework is not a good way to manage the state’s
critical financial systems. From a project management perspective, there is no clear beginning, middle or end to maintenance and support of these systems – so they do not fit that model.

- ONGARD should be funded in the same way as SHARE, with a constant revenue stream indexed on revenue or users that is non-reverting. New Mexico will always be in the oil and gas business, and it does not make sense to fund the care and feeding of such a critical system through special appropriations. That practice removes the ability to plan smooth upgrade paths, and does not support regular system enhancements.

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**Agency:** Taxation and Revenue Department  
**Project:** TRD CDLIS Modernization Project (C-MOD)  
**Closed:** 08-28-2013

The Commercial Driver’s License Information System (CDLIS) is a nationwide computer system that enables state driver licensing agencies to ensure that each commercial driver has only one driver’s license and one complete driver record. Driver licensing agencies in each state use CDLIS to complete various procedures, including:

- Transmitting out-of-state convictions and withdrawals
- Transferring the driver record when a Commercial Driver’s License holder moves to another state
- Responding to requests for driver status and history.

This project ensured that the agency become compliant with CDLIS 5.2 mandates by the federal deadline of January 30, 2012.

Lessons Learned:

- When testing with the American Association of Motor Vehicle Administrators (AAMVA) is necessary, allow for more time than the estimated timeframe provided by AAMVA.
- Work closer with the agency’s budgeting staff to ensure that everyone understands what the total budget is and how much has been spent.

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Agency: Workforce Solutions Department  
Project: New Mexico Treasury Offset Program (NMTOP)  
Closed: 05-21-2014

This project expanded the existing Treasury Offset Program (TOP) system to identify and recover more unemployment insurance overpayments made due to fraud, or misreported, or unreported earnings.

Lessons Learned:

- Double the time first estimated for internal testing, as testing staff are often too optimistic.
- IT information provided by the US Treasury is often cryptic and not correct.
- There are challenges in the timing of state income tax collections that cause some tax refunds to the taxpayer before the NMTOP system can capture those funds.
- Many states advised us “just to jump” in, and that proved to be good advice because the issues we encountered were not that difficult to overcome.

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Agency: Workforce Solutions Department  
Project: Unemployment Insurance System Modernization  
Closed: 05-21-2014

This project replaced multiple existing information systems with a modern, integrated Unemployment Insurance (UI) system to process UI Taxes, Claims, Overpayments, and Collections.

Lessons Learned:

- Preparations – staff and operations
  - Modernizing technology from legacy systems changes the way the business is done. Staff had limited ability to conceptualize the major change in process and procedures.
  - Agency reorganization (including changes in job duties and changes in job classification) must be completed in parallel with the technology changes.
  - Staffing levels must be sufficient to support maintaining legacy systems and current operations while also defining, evaluating, testing the modernize framework, and preparing for operational implementation.
  - Organizations should review resource planning and prepare to ramp up support levels, especially during the final stages of project efforts.

- Functional testing, including User Acceptance Testing (UAT)
  - Plan for heavy investments in the time and cost of UAT. Provide more resources and time to these tasks to ensure users are comfortable with the system. Allow more pre-test practice time with the system to reduce the UAT training time, and provide sufficient staff resources during the testing to work as mentors and teachers to staff who are struggling.
  - Active, early, test involvement by all parties will improve the overall quality system and provide a cadre of subject matter experts for continuing improvements.
  - Ensure UAT testing is performed using the defined security roles rather than with Super User access (which gives more features than end users will actually have).
  - Test cases should be scenario-based and those scenarios should track to actual business events and volumes. Pay special attention to the 20% of UI claimant scenarios that create 80% of the business issues.
  - Provide enough time for UAT, ensure appropriate testing resources are secured, put special emphasis on additional testing of converted data.
  - Testing UAT with system environments that are not stabilized will generate errors. Ensure you have control over test environments, and ensure updates to the application are functioning before running the test sessions.
Technical aspects including Data Migration, and final Extract, Transform, and Load (ETL)

- Start the data conversion early.
- Dedicate as many staff resources to data conversion as possible.
- Plan for conversion across multiple modules at the same time. Track good data and start testing the newly-developed modules, or the modules under development, on converted data that is known to be reliable.
- Data conversion testing will reveal data integrity issues that already existed in the prior system. Plan for early tests with the new application to expose these data and system issues inherited from the prior system.
- Considerable technical and business staff time can be consumed with identifying the underlying cause of issues and cleansing the test data.
- Most participants served multiple roles on the project. Be careful during the busiest part of the project (UAT, data cleansing, transition planning) to avoid overscheduling the same staff resources for multiple roles they cannot fulfill.

Handling and triage of post-implementation challenges

- The triage ‘Command Center’ approach was very effective.
- Ensure your contractors and vendors are part of the Command Center response team.
- Ensure tools are readily available for logging issues and that the prioritization rules are 1) as effective as possible, and 2) based on potential volume of the issues’ impacts.
- Ensure a well-defined escalation and categorization of issues is in place.
- Legacy data issues will be a major challenge. However resolving all those issues “en masse” created subsequent challenges that were special program cases.
- A separate team should be set up to review and address the special program challenges.

Business and IT training and knowledge transfer:

- Time constraints on training caused implementation challenges.
- Ensure that knowledgeable staff members are sufficiently involved in the development of the training materials.
- Ensure that user guides and other necessary materials are available in sufficient time to prepare curricula and prepare the trainers.
- Ensure a reliable training environment is available along with the tools to populate it.