STATE PERSONNEL OFFICE (SPO) DIGITIZATION AND MODERNIZATION PROJECT

PROJECT MANAGEMENT PLAN (PMP)

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EXECUTIVE SPONSOR – NIVIA THAMES, SPO DEPUTY DIRECTOR
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PROJECT MANAGER – RAND TILTON, CSW ENTERPRISES, LLC

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[Image]
PREPARING THE PROJECT MANAGEMENT PLAN

The workbook for preparation of the Project Management Plan is built around helping the project manager and the project team to use the Project Management Plan in support of successful projects. Please refer to it while developing this PMP for your project.

ABOUT THIS DOCUMENT

PROJECT OVERSIGHT PROCESS MEMORANDUM – DOIT, JULY 2007

Project management plan” is a formal document approved by the executive sponsor and the Department and developed in the plan phase used to manage project execution, control, and project close.

The primary uses of the project plan are to document planning assumptions and decisions, facilitate communication among stakeholders, and documents approved scope, cost and schedule baselines.

A project plan includes at least other plans for issue escalation, change control, communications, deliverable review and acceptance, staff acquisition, and risk management.

“Project manager” means a qualified person from the lead agency responsible for all aspects of the project over the entire project management lifecycle (initiate, plan, execute, control, close). The project manager must be familiar with project scope and objectives, as well as effectively coordinate the activities of the team. In addition, the project manager is
responsible for developing the project plan and project schedule with the project team to ensure timely completion of the project. The project manager interfaces with all areas affected by the project including end users, distributors, and vendors. The project manager ensures adherence to the best practices and standards of the Department.

Project product” means the final project deliverables as defined in the project plan meeting all agreed and approved acceptance criteria.

“Product development life cycle” is a series of sequential, non-overlapping phases comprised of iterative disciplines such as requirements, analysis and design, implementation, test and deployment implemented to build a product or develop a service.

1.0 PROJECT OVERVIEW
The Project Overview sets the stage for the details of the project and begins the “story” of the project and plan.

EXECUTIVE SUMMARY - RATIONALE FOR THE PROJECT
The State Personnel Office (SPO) is responsible for the administration of the classified service personnel system which consists of approximately 18,000 state employees from approximately 68 executive state agencies, boards, and commissions. A comprehensive system of human resource management is achieved through the integration of seven functional areas which are administered by the SPO Director with oversight by a five member State Personnel Board. The seven functional areas are:

- Agency HR Services
- Shared HR Services
- Career Services
- Compensation and Classification
- Training and Development
- Labor Relations
- Adjudication

The goals for this project are to implement an Enterprise Content Management (ECM) system to digitize the personnel records across State of New Mexico executive branch agencies; to modernize the business processes within the State of New Mexico Office (SPO); and to provide oversight and uniformity in business practices with HR Bureaus doing business with SPO.

- ECM is a formalized process of organizing and storing organizations’ documents and other content.
- Digitization is the process of converting information into a digital format
- Modernization is the process of implementing the best practices in business processes, while strategically aligning business and information systems
1.2 FUNDING AND SOURCES

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Amount</th>
<th>Funding Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>2015</td>
<td>$450,000</td>
<td>Laws of 2014, Chapter 63, Section 7, Item 9</td>
</tr>
<tr>
<td>2016</td>
<td>$800,000</td>
<td>Laws of 2015, Chapter 101, Section 7, Item 13</td>
</tr>
</tbody>
</table>

1.3 CONSTRAINTS

Constraints are factors that restrict the project by scope, resource, or schedule.

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Project budget for implementation of the base program is limited</td>
</tr>
<tr>
<td>2</td>
<td>Adequate resources to implement solutions</td>
</tr>
<tr>
<td>3</td>
<td>Statutory requirement to keep records</td>
</tr>
<tr>
<td>4</td>
<td>State requirements for oversight as well as the procurement process provide numerous opportunities for extended project delays</td>
</tr>
<tr>
<td>5</td>
<td>Delays in processing contract and purchase documents</td>
</tr>
</tbody>
</table>

1.4 DEPENDENCIES

Types include the following and should be associated with each dependency listed.

- **M** - Mandatory dependencies are dependencies that are inherent to the work being done.
- **D** - Discretionary dependencies are dependencies defined by the project management team. This may also encompass particular approaches because a specific sequence of activities is preferred, but not mandatory in the project life cycle.
- **E** - External dependencies are dependencies that involve a relationship between project activities and non-project activities such as purchasing/procurement

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
<th>Type M,D,E</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Vendor on-going software support</td>
<td>M</td>
</tr>
<tr>
<td>2</td>
<td>DoIT on-going hardware hosting support</td>
<td>M</td>
</tr>
<tr>
<td>3</td>
<td>SPO Business Process Re-Engineering</td>
<td>M</td>
</tr>
<tr>
<td>4</td>
<td>Department of Information Technology Project Certification Committee (PCC) approval of Project certification phases to support on-going project effort</td>
<td>M</td>
</tr>
</tbody>
</table>
### 1.5 ASSUMPTIONS

Assumptions are planning factors that, for planning purposes, will be considered true, real, or certain.

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Documents will be easily imaged without corruption or loss.</td>
</tr>
<tr>
<td>2</td>
<td>Vendor will honor contractual obligations.</td>
</tr>
<tr>
<td>3</td>
<td>Software will integrate with other system software.</td>
</tr>
<tr>
<td>4</td>
<td>Adequate Budget will be available.</td>
</tr>
<tr>
<td>5</td>
<td>Adequate staffing levels with the proper skill sets necessary to ensure the system will perform at level expected.</td>
</tr>
<tr>
<td>6</td>
<td>Staff is trained properly on the operation of the system to ensure continued success of the program.</td>
</tr>
<tr>
<td>7</td>
<td>Vendor will continue to support software and release upgrades/patches on a regular basis.</td>
</tr>
<tr>
<td>8</td>
<td>DoIT will continue hardware hosting support</td>
</tr>
<tr>
<td>9</td>
<td>Business Requirements will have minimal change over the life cycle of the project.</td>
</tr>
</tbody>
</table>

### 1.6 INITIAL PROJECT RISKS IDENTIFIED

In this section identify and describe how each risk will be managed. Include the steps that will be taken to maximize activity that will result in minimizing probability and impact of each risk.

#### Risk 1

**Description** - Insufficient funds appropriated to support this project; Zero dollars appropriated for FY17. With $1.25 M available, may not be able to proliferate solutions to

**Probability:** High

**Impact:** HIGH 1) May be forced to implement application modules in a phased manner. 2) Division may be unable to meet statutory requirements, 3) customer agency needs may not be completely met.

**Mitigation Strategy:** Request more funding.
<table>
<thead>
<tr>
<th>Risk 2</th>
<th>Description – Inability to retrieve business critical information/documents on a daily or historic basis</th>
<th>Probability - Low</th>
<th>Impact - Medium 1) may be forced to delay “go-live” date 2) may require additional training at additional costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy – Ensure data is accessible</td>
<td>Contingency Plan - Extend go live date to meet strategy and mitigate the risk.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk 3</th>
<th>Description – Users and technical/functional staff lack the technical and operational experience, lack of training</th>
<th>Probability - Low</th>
<th>Impact – Medium 1) longer learning curve resulting in longer timeline for production, 2) may require additional training at additional costs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy - Send key staff to additional training by vendor. Hire staff with experience and required skill sets</td>
<td>Contingency Plan - If we lose key staff or do not hire those with needed skill set we will hire contractual or temporary staff with necessary experience</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk 4</th>
<th>Description – Reduced ability for SPO and Agency users to access imaged documents and information.</th>
<th>Probability - Low</th>
<th>Impact – High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy - Vendor to ensure access is operational.</td>
<td>Contingency Plan - Extend go live date to meet strategy and mitigate the risk.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk 5</th>
<th>Description – Imaging does not migrate</th>
<th>Probability - Medium</th>
<th>Impact – High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy - Vendor to ensure that metadata and folders are successfully assessed, mapped, and migrated within project timeline</td>
<td>Contingency Plan - Extend go live date to meet strategy and mitigate the risk.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk 6</th>
<th>Description - All testing issues are not resolved within project timeline</th>
<th>Probability - Low</th>
<th>Impact – Med</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy - Ensure that all issues/changes are addressed by vendor and SPO staff Conduct weekly status conference calls with vendor and project team</td>
<td>Contingency Plan - Extend go live date to meet strategy and mitigate the risk.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk 7</th>
<th>Description – Failure to adopt/comply with SRCA statutory or regulatory</th>
<th>Probability - Medium</th>
<th>Impact – MED</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mitigation Strategy - Update SPO record retention and disposition rules in compliance to SRCA standards.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**2.0 PROJECT AUTHORITY AND ORGANIZATIONAL STRUCTURE**

The Project Organization describes the roles and responsibilities of the project team. It also identifies the other organizational groups that are part of the project and graphically depicts the hierarchical configuration of those groups. It exists to clarify interaction with the project team.

**2.1 STAKEHOLDERS**

List all of the major stakeholders in this project, and state why they have a stake. Stakeholders are individuals and organizations that are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or project completion. They may also exert influence over the project and its results.
<table>
<thead>
<tr>
<th>Name</th>
<th>Stake in Project</th>
<th>Organization</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Justin Najaka</td>
<td>OVERALL Program responsibility</td>
<td>State Personnel Office (SPO)</td>
<td>Director</td>
</tr>
<tr>
<td>Nivia Thames</td>
<td>OVERALL Program administration responsibility</td>
<td>SPO</td>
<td>Deputy Director</td>
</tr>
<tr>
<td>Stuart R. Hamilton</td>
<td>Program Financial responsibility</td>
<td>SPO</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Vince Martinez</td>
<td>IT Enterprise Integration Director</td>
<td>DoIT</td>
<td>Director DoIT Enterprise Integration</td>
</tr>
<tr>
<td>Darshana Kanabar</td>
<td>EPMO Consultant</td>
<td>DoIT</td>
<td>Deputy Director EPMO</td>
</tr>
<tr>
<td>Linda Trujillo</td>
<td>Executive Record Retention and Disposition Schedule (ERRDS) and System Imaging Plan</td>
<td>SRCA</td>
<td>State Records Administrator</td>
</tr>
</tbody>
</table>
2.2 PROJECT GOVERNANCE STRUCTURE

2.2.1 Describe the organizational structure – Org Chart

2.2.2 Describe the role and members of the project steering committee

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
</tr>
</thead>
</table>
| Executive Project Sponsor   | The point person for the project within the highest level of the State Personnel Office. Responsibilities include:  
|                             | • Champion the project.  
|                             | • Consider potential changes facing the organization and assess the organizational impact  
|                             | • Decide which changes will be instituted, communicate priorities and provide resources to ensure success  
|                             | • Responsible for creating an environment that enables changes to be made on time and within budget.  
|                             | • Participate in planning sessions  
|                             | • Member of Steering Committee  
|                             | • Ultimate project responsibility  
| Steering Committee Member   | Is chartered to provide governance over the direction and support of the project.  
<p>|                             | Responsibilities include: |</p>
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Attend and participate in meetings</td>
</tr>
<tr>
<td></td>
<td>• Review and accept deliverables</td>
</tr>
<tr>
<td></td>
<td>• Review and provide comment on presented documentation</td>
</tr>
<tr>
<td></td>
<td>• Balance larger picture versus details of the project</td>
</tr>
<tr>
<td></td>
<td>• Review project funding and expenditures</td>
</tr>
<tr>
<td></td>
<td>• Champion the project</td>
</tr>
<tr>
<td></td>
<td>• Contributes to lessons learned</td>
</tr>
</tbody>
</table>

2.2.3 **Organizational Boundaries, Interfaces and Responsibilities**

Use this section to describe any special considerations regarding contact between the project team, the project manager, and individuals from various organizations involved in the project: Boundary, interface and responsibilities at the interface

- The Executive Steering Committee and Project Team will continue to maintain contact with SRCA to ensure compliance with the SPO Record Series as well as approval of the SPO Imaging System Plan.
- Project Management coordination and communication with Executive Agencies is critical to successful program implementation.

2.3 **EXECUTIVE REPORTING**

Meetings will be conducted with SPO Executive Steering Committee on a regularly scheduled basis.

Project status updates reports will be sent out prior to, presented, and verbally communicated to SPO Executive Steering Committee conducted at bi-weekly meetings.

SPO management will be kept informed on progress of the project periodically throughout the project life cycle.

3.0 **SCOPE**

The high level project scope includes:

- Digitize the active classified employee personnel records at SPO Shared HR Services; implement a document repository at DoIT; implement a user workflow at SPO Shared HR Services to access and process the digitized active classified employee personnel records.
- Modernize/Automate the business process; implement workflow at SPO Shared HR Services to create active classified personnel records.
- Provide oversight and uniformity in business practices with HR Bureaus doing business with SPO. Implement the digitization and modernization solutions of all active classified employee personnel records in all of the State of New Mexico Executive Branch Agencies.
## 3.1 PROJECT OBJECTIVES

### 3.1.1 BUSINESS OBJECTIVES

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Objective 1</td>
<td>Increased efficiency and productivity through a well-managed Enterprise Content Management environment</td>
</tr>
<tr>
<td>Business Objective 2</td>
<td>Optimize business processes, decreasing number of steps, saving time</td>
</tr>
<tr>
<td>Business Objective 3</td>
<td>Lower the cost of government, more effective Electronic Records Administration Management</td>
</tr>
<tr>
<td>Business Objective 4</td>
<td>Improved service delivery to constituency</td>
</tr>
<tr>
<td>Business Objective 5</td>
<td>Substantial SPO business process improvements are achievable through implementing document scanning, electronic document management and electronic records management.</td>
</tr>
<tr>
<td>Business Objective 6</td>
<td>Streamline traditional personnel record creation inefficiencies and reduce manual, paper-based processes, which contribute to high costs and overhead expenses.</td>
</tr>
<tr>
<td>Business Objective 7</td>
<td>Provide records management for long-term archiving and the automation of retention and compliance policies, and to ensure legal or regulatory record compliance</td>
</tr>
<tr>
<td>Business Objective 8</td>
<td>System will provide document management for check-in/check-out, version control, security and library services for business documents</td>
</tr>
<tr>
<td>Business Objective 9</td>
<td>Develop a document imaging plan approved by SRCA</td>
</tr>
</tbody>
</table>

### 3.1.2 TECHNICAL OBJECTIVES

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Objective 1</td>
<td>Web-Based System - will be designed on a public facing network with a web based platform front-end to allow SPO staff and vendor remote access</td>
</tr>
<tr>
<td>Technical Objective 2</td>
<td>Documents will be easily imaged and migrated. Metadata will be tagged for indexing and search capabilities and follow standards</td>
</tr>
<tr>
<td>Technical Objective 3</td>
<td>System will have indexing and archiving functionality</td>
</tr>
<tr>
<td>Technical Objective 4</td>
<td>System Interface - Provide an architecture that will easily interface with SHARE and other defined systems</td>
</tr>
<tr>
<td>Technical Objective 5</td>
<td>Open Architecture - Provide an open architecture infrastructure and scalable to allow for growth</td>
</tr>
<tr>
<td>Technical Objective 6</td>
<td>IT Architecture – ensure system aligns with enterprise-wide IT architecture</td>
</tr>
<tr>
<td>Technical Objective 7</td>
<td>Authentication - System will support Microsoft Active Directory</td>
</tr>
<tr>
<td>Technical Objective 8</td>
<td>Security/User Roles - System will support a secure front end user system log in and security role level authentication</td>
</tr>
<tr>
<td>Technical Objective 9</td>
<td>Extensibility - ensure system is designed to easily allow the addition of new-features later.</td>
</tr>
<tr>
<td>Technical Objective 10</td>
<td>User workflow will be user friendly, and have view, search, view, and print capabilities</td>
</tr>
<tr>
<td>Technical Objective 11</td>
<td>System must support up to 100 concurrent users</td>
</tr>
</tbody>
</table>
3.2 PROJECT EXCLUSIONS

- None specified at this time.

3.3 CRITICAL SUCCESS FACTORS

Identify the critical success factors for achieving success in this project. Metric are key to understanding the ability of the project to meet the end goals of the Executive Sponsor and the Business Owner, as well as the ability of the project team to stay within schedule and budget. See also section 6.7 Quality Objectives and Controls.

<table>
<thead>
<tr>
<th>Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality Metrics 1</td>
<td>The project schedule, assigned tasks, resources and milestones are met.</td>
</tr>
<tr>
<td>Quality Metrics 2</td>
<td>Project does not exceed budget.</td>
</tr>
<tr>
<td>Quality Metrics 3</td>
<td>System can provide reports that accurately track use specified metrics.</td>
</tr>
<tr>
<td>Quality Metrics 4</td>
<td>All SPO operational and facility data information is successfully converted and migrated onto an electronic records management platform.</td>
</tr>
<tr>
<td>Quality Metrics 5</td>
<td>Applicable SPO Legislative Performance Measures as stated in SPO FY16 Strategic Business and IT plan are met.</td>
</tr>
<tr>
<td>Quality Metrics 6</td>
<td>System is secure, operable and stable</td>
</tr>
<tr>
<td>Quality Metrics 7</td>
<td>Data integrity is maintained</td>
</tr>
<tr>
<td>Quality Metrics 8</td>
<td>Staff is adequately trained</td>
</tr>
<tr>
<td>Quality Metrics 9</td>
<td>Conforms to SRCA Records Management Policies</td>
</tr>
<tr>
<td>Quality Metrics 10</td>
<td>Successfully accomplishes all stated objectives and requirements</td>
</tr>
<tr>
<td>Quality Metrics 11</td>
<td>Completed within scope</td>
</tr>
</tbody>
</table>

4.0 PROJECT DELIVERABLES AND METHODOLOGY

4.1 PROJECT MANAGEMENT LIFE CYCLE

This project will be completed in five (5) phases.
Phase one is the Digitization proof of concept in the SPO Shared HR Services in which active classified personnel records will be imaged, stored in a repository and workflow implemented to access and process those records.
Phase two is the Modernization proof of concept of the workflow in SPO Shared HR Services by which new classified personnel records will be created.
Phase three is the implementation of the digitization and modernization solutions to 10-15 pilot Executive Agencies.
Phase four is the implementation of the digitization and modernization solutions to the remaining Agencies.
Phase five is completion and closeout of all remaining deliverables for the project.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Summary of Phase</th>
<th>Key Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiating</td>
<td>Main elements include: Authorize the project;</td>
<td>Project Charter, Project Scope,</td>
</tr>
<tr>
<td>Commit organization to project or phase; Set the overall direction; Define top-level project objectives; Secure necessary approvals and resources; Assign Project Manager; Integration Management.</td>
<td>Business Requirements, Assumptions, Constraints,</td>
<td></td>
</tr>
<tr>
<td>---</td>
<td>---</td>
<td></td>
</tr>
<tr>
<td>Planning</td>
<td>Main elements include: Define Project scope; Refine Project objectives; define all required deliverables; Create frame for project schedule; Provide forum for information sharing between project team members; Define all required activities; Identify required skills and resources; Estimate work effort; Risk analysis and avoidance; Define and estimate all required costs; Obtain project funding approval; Communication Plan.</td>
<td>Project Plan, Critical success factors, Work Break Down Structures, Project Schedule</td>
</tr>
<tr>
<td>Executing</td>
<td>Main elements include: Coordinate the resources, team development; Quality Assurance; Select subcontractors; Distribute Information; Work the plan.</td>
<td>Actual efforts, Project deliverables completion</td>
</tr>
<tr>
<td>Controlling</td>
<td>Main elements include: Manage team, stakeholders and subcontractors; Measure progress and monitor performance (overall, scope, schedule, costs and quality); Take corrective action if needed; Change request Management; Risk Management; Performance reports and Communications.</td>
<td>Performance status reports, Corrective Actions, Measurement Metrics, Plan Change Request, Product Change Request, Risk Management, Issues Management</td>
</tr>
<tr>
<td>Closing</td>
<td>Main elements include: Finalize activities; Administrative close out (gather, distribute, archive information to formalize project completion, acceptance/signoff, evaluation, member, appraisals, lessons learned); Contract close out (completion of the project contract including resolution of open items and final formal acceptance)</td>
<td>Deliverable Acceptance, Lessons Learned</td>
</tr>
</tbody>
</table>

### 4.1.1 Project Management Deliverables

Project Deliverables are work products or artifacts that are driven by the project management methodology requirements and standard project management practices regardless of the product requirements of the project.
| **Project Charter** | The Project Charter for Certification sets the overall scope for the project, the governance structure, and when signed is considered permission to proceed with the project. The Project Charter for Certification is used to provide the Project Certification Committee with adequate knowledge of the project and its planning to certify the initiation phase of the project. |
| **Certification Form** | The Request for Certification and Release of Funds form is submitted when a project goes for any of the certification phases. It deals with the financial aspects of the project, as well as other topics that indicate the level of planning that has gone into the project. Many of the questions have been incorporated into the preparation of the project charter. |
| **Project Management Plan** | “Project management plan” is a formal document approved by the executive sponsor and the Department and developed in the plan phase used to manage project execution, control, and project close. The primary uses of the project plan are to document planning assumptions and decisions, facilitate communication among stakeholders, and documents approved scope, cost and schedule baselines. A project plan includes at least other plans for issue escalation, change control, communications, deliverable review and acceptance, staff acquisition, and risk management plan. |
| **IV&V Contract & Reports** | “Independent verification and validation (IV&V)” means the process of evaluating a project to determine compliance with specified requirements and the process of determining whether the products of a given development phase fulfill the requirements established during the previous stage, both of which are performed by an organization independent of the lead agency. Independent verification and validation assessment reporting. The Department of Information Technology (DoIT) requires all projects subject to oversight to engage an independent verification and validation contractor unless waived by the Department. |
| **IT Service Contracts** | The Department of Information Technology and the State Purchasing Division of General Services have established a template for all IT related contracts. |
| **Risk Assessment and management** | The DoIT Initial PROJECT RISK ASSESSMENT template is meant to fulfill the following requirement: “Prepare a written risk assessment report at the inception of a project and at end of each product development lifecycle phase or more frequently for large high-risk projects. Each risk assessment shall be included as a project activity in project schedule.” Project Oversight Process memorandum |
### Project Schedule
A tool used to indicate the planned dates, dependencies, and assigned resources for performing activities and for meeting milestones. The NM de facto standard is Microsoft Project.

### Monthly Project Status Reports to DoIT
Project status reports. For all projects that require Department oversight, the lead agency project manager shall submit an agency approved project status report on a monthly basis to the Department.

### Project Closeout Report
This is the Template used to request that the project be officially closed. Note that project closure is the last phase of the certification process.

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**Deliverable 1 - Project Management services for the SPO Digitization and Modernization Project**

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<tr>
<th>Deliverable One</th>
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**PROJECT MANAGEMENT INCLUDING:**

- Maintaining the Project Schedule,
- Project Management Plan,
- Managing Activities Associated with the Requirements Traceability Matrix and Software Implementation

**Sub 1**  
Contractor will provide Project Management services following industry best practices and methodologies to ensure project success. Activities include, but not limited to scope management, stakeholder coordination, communications management, team management, resource management, risk management, vendor coordination, deliverables management, schedule management, cost management, communication management, quality management, change management, issue management, budget management, integration management, requirements management (including Requirements Traceability), risk management, and managing testing, implementation and transition to operations activities.

Contractor will assist with business process analysis, documenting business process flows and gap analysis and ensure all requirements are captured, managed and tracked through the software implementation lifecycle.

Contractor will create and maintain a project schedule to include tasks, milestones, dependencies, resources and critical path. Once schedule is baseline, Contractor will track actual project progress per plan and address variances.

Contractor will identify problems or potential problems and make recommendations, based on project tracking and observations. Contractor shall advise Procuring Agency of any obstacles or barriers that may burden, hinder or prolong the completion of a project (or project component); or impact project scope, budget, schedule or quality. Contractor shall work with the Procuring Agency to determine and identify solutions for such problems. Contractor shall document all issues in the Issues/Risk log and present such issues and work with the agency on mitigation strategies to ensure successful project completion.

Contractor will develop and maintain a Project Management Plan to manage all process, procedures and plans for activities stated above. All plans and documents will be reviewed and approved by the Procuring Agency.

**DoIT Certification Monthly Reporting**

**Sub 2**  
Contractor will complete the DoIT Certification Monthly Report prior to the 10th day of each month per DoIT requirements. The report will be submitted electronically via email to Procuring Agency CFO, and will be subject to Procuring Agency review and acceptance.
### PROJECT CERTIFICATION DOCUMENTS

**Sub 3** Contractor shall prepare material for the Project Certification Committee (PCC) as defined by the DoIT Project Certification Timeline and Gates. Project Certification documents may include, but are not limited to:

- Certification Request Forms;
- PowerPoint Presentations;
- Project Management Plan;
- Technical Architecture Review;
- Lessons Learned.

### FACILITATE PROJECT STATUS MEETINGS

**Sub 4** Facilitate Project Status meetings. Contractor will ensure that meeting space is secured, provide adequate notice of meeting time and agendas to participants.

**Sub 4.1** Contractor will prepare documentation as assigned by SPO Director, Deputy Director, and/or CFO and present to Executive Steering Committee during scheduled meetings;

**Sub 4.2** Contractor will facilitate project meetings with Vendors and Procuring Agency Project Team members. Contractor will track project action items and schedule to ensure timely delivery.

**Sub 4.3** All agendas shall be submitted electronically via email to the Executive Steering Committee and IV&V (using agency supplied templates).
- All documents will be stored with the procuring agency.
- All agendas and meeting minutes will be subject to Procuring Agency review and acceptance.

### PROJECT STATUS REPORTING

**Sub 5** Contractor will produce and distribute one (1) project status report weekly.

- The Weekly project status report is to include a summary of the activities of the previous weeks, work to be performed the following weeks, and list any issues preventing the successful completion of tasks.
- Report will provide status of Project, identified issues, risks and other resources that may be required to successfully complete the project.

**Sub 5.1** Contractor will advise the SPO Director, Deputy Director, CFO and the Executive Steering Committee on the project status and project management issues by analyzing issues, evaluating quality and progress, and formulating recommendations for actions.

**Sub 5.2** Contractor will conduct evaluation of SPO executive and business teams and DoIT technical team resource allocation to the project and will provide management recommendations on all items.

**Sub 5.3** Contractor will review each project management report with the Executive Steering Committee and IV&V on as needed basis or as determined by the SPO Deputy Director.
| Sub 5.4   | Contractor shall submit all project status reports electronically (using agency supplied templates) via email to the Procuring Agency Project Team, the Agency CFO, the Executive Steering Committee and IV&V on a weekly basis.  
- All documents will be stored with the procuring agency.  
- All project status reports will be subject to Procuring Agency review and acceptance. |
| INITIATION PHASE: PROCUREMENT INTEGRATION VENDOR SERVICES | Sub 6 | Contractor will facilitate in the development of the Integration Vendor Procurement Documents in compliance with NM State Purchasing Division (SPD) and Department of Information Technology (DoIT) policies. Contractor will assist in the management of the procurement process thru vendor selection, Statement of Work and Contract development.  
Sub 6.1 | Contractor will facilitate in the management of all activities required in development of the procurement documentation as per NM State Purchasing Division (SPD), and DoIT policies and procedures.  
Sub 6.2 | Contractor will develop a proposed Contract Statement of Work for integration vendor per DoIT SOW requirements and facilitate the contract approval process.  
Sub 6.3 | Contractor will provide status updates on the procurement process, and submit all documents electronically by uploading to the Procuring Agency document repository and via email to the Procuring Agency Management and will be subject to agency review and acceptance. |
| INITIATION PHASE: PROCUREMENT DOCUMENT CONVERSION VENDOR SERVICES | Sub 7 | Contractor will facilitate in the development of the Document Conversion Vendor Procurement Documents in compliance with NM State Purchasing Division (SPD) and Department of Information Technology (DoIT) policies. Contractor will manage the procurement process thru vendor selection, Statement of Work and Contract development.  
Sub 7.1 | Contractor will facilitate in the management of all activities required in publishing the procurement documentation as per NM State Purchasing Division (SPD), and DoIT policies and procedures.  
Sub 7.2 | Contractor will develop a proposed Contract Statement of Work for document conversion vendor per DoIT SOW requirements and facilitate the contract approval process.  
Sub 7.3 | Contractor will develop and propose vendor selection criteria and a scoring methodology and will manage activities associated with the vendor selection process.  
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<td><strong>Sub 8.1</strong> Contractor will initiate coordination between the SPO executive and business team members, DoIT technical team and the integration and document conversion vendors to:</td>
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<td><strong>Sub 89.2</strong> Contractor will coordinate activities between DoIT and SPO teams and the integration and document conversion vendors to support the Requirements Gathering and Documentation including but not limited to:</td>
<td>• Workflow information, business rules processing, and image retrieval requirements.</td>
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<td><strong>Sub 8.3</strong> Contractor will coordinate activities between DoIT and SPO teams and the integration and document conversion vendors to support Software Design, Integration, Testing and Installation activities.</td>
<td></td>
</tr>
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<td><strong>Sub 8.4</strong> Contractor will coordinate activities between DoIT technical team members, SPO personnel and the integration and document conversion vendors to develop all the required and requested technical, administration, and operations documentation to support Training and Testing including but not limited to:</td>
<td>• Coordinate with integration vendor to provide all required training to the DoIT IT technical team and SPO executive and business teams on System Administration, Privileges and Security, Profile Administration; • Software administration procedures and technical training curriculum and training manuals; • Operations/Users procedures, training curriculum and training manuals;</td>
</tr>
<tr>
<td><strong>Sub 8.5</strong> Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support End User Training</td>
<td></td>
</tr>
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<td><strong>Sub 8.6</strong> Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support System Integration Testing including but not limited to:</td>
<td>• Document the system test procedure, test cases and scenarios, test pass/fail criteria, and test results report; • Verify that system testing meets pass/fail criteria, and test results report show zero (0) errors and defects.</td>
</tr>
</tbody>
</table>
Sub 8.7 Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support User Acceptance Testing (UAT) including but not limited to:
- Validating UAT documentation for conducting UAT procedures, test cases and scenarios, test pass/fail criteria, and test results report;
- Verify that UAT meets pass/fail criteria, and test results report show zero (0) errors and defects.

Sub 8.8 Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support “Go Live” activities including but not limited to:
- Go live to production and verification procedures;
- Verify go live to production and verification procedures test results to show zero (0) errors & defects.

Sub 8.9 Contractor will provide weekly status updates on SPO Digitization Deliverables. These shall be reviewed during status meetings and submitted electronically via email to the Procuring Agency Project Team, Executive Steering Committee, and IV&V.
- All documents will be stored with the procuring agency.
- The SPO Digitization deliverables will be subject to Procuring Agency review and acceptance.

**IMPLEMENTATION PHASE: CREATE, UPDATE AND MAINTAIN SPO IMAGING SYSTEM PLAN**

Sub 9 Contractor will create, update and maintain the SPO Imaging System Plan in compliance with 1.14.2.15 NMAC – IMAGING SYSTEM MANAGEMENT.
4.1.2 Deliverable Approval Authority Designations

Complete the following table to identify the deliverables this project is to produce, and to name the person or persons who have authority to approve each deliverable.
<table>
<thead>
<tr>
<th>Deliverable Number</th>
<th>Deliverable</th>
<th>Approvers (Who can approve)</th>
<th>Date Approved</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRJ-DEL-001</td>
<td>PROJECT MANAGEMENT INCLUDING- MAINTAINING THE PROJECT SCHEDULE, PROJECT MANAGEMENT PLAN, MANAGING ACTIVITIES ASSOCIATED WITH THE REQUIREMENTS TRACEABILITY MATRIX AND SOFTWARE IMPLEMENTATION</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-002</td>
<td>DoIT CERTIFICATION MONTHLY REPORTING</td>
<td>SPO Chief Information Officer</td>
<td>Monthly on the 10th day.</td>
</tr>
<tr>
<td>PRJ-DEL-003</td>
<td>PROJECT CERTIFICATION DOCUMENTS</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>One (1) month prior to scheduled DoIT PCC meeting.</td>
</tr>
<tr>
<td>PRJ-DEL-004</td>
<td>FACILITATE PROJECT STATUS MEETINGS</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-005</td>
<td>PROJECT STATUS REPORTING</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-006</td>
<td>INITIATION PHASE: PROCUREMENT INTEGRATION VENDOR SERVICES</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-007</td>
<td>INITIATION PHASE: PROCUREMENT DOCUMENT CONVERSION VENDOR SERVICES</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-008</td>
<td>IMPLEMENTATION PHASE: DEVELOPMENT, TESTING AND DEPLOYMENT OF THE SPO DIGITIZATION AND MODERNIZATION SOLUTIONS</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
<tr>
<td>PRJ-DEL-009</td>
<td>IMPLEMENTATION PHASE: CREATE, UPDATE AND MAINTAIN SPO IMAGING SYSTEM PLAN</td>
<td>SPO Digitization Project Executive Steering Committee</td>
<td>Weekly in Project Status Report and/or scheduled ESC meetings</td>
</tr>
</tbody>
</table>
### 4.1.3 Deliverable Acceptance Procedure

Describe the process that this project will use for the formal acceptance of all deliverables:

The SPO Digitization Project Executive Steering Committee meets as scheduled to review and approve deliverables. If the deliverable is rejected, the Project Director must inform the vendor submitting the deliverable of the committee’s action and must also identify, in writing, why the deliverable was rejected, and what actions must be addressed by the vendor before the deliverable is presented for acceptance again.

### 4.2 Product Life Cycle

“During the project management lifecycle, agencies shall select and implement a phase product development lifecycle methodology approved by the Department.

<table>
<thead>
<tr>
<th>Phase</th>
<th>Summary of Phase</th>
<th>Key Deliverables</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiating</td>
<td>The SPO requirements have been defined and documented. See Requirements at on the SPO SharePoint site</td>
<td>Requirements Documents</td>
</tr>
<tr>
<td>Planning</td>
<td>Business Process Reengineering documentation will be developed to define goals, business processes, workflow, critical factors, current environment, sizing requirements, # of users, work processing requirements.</td>
<td>Business Process Reengineering documents</td>
</tr>
<tr>
<td>Planning</td>
<td>The Vendor will be required to deliver design documents for authentication, reporting, and the database feeds.</td>
<td>Design Documents</td>
</tr>
<tr>
<td>Executing</td>
<td>SPO software will be an open source web application that will require no additional desktop software to run and minimal customization. It will have the ability to interface with SPO systems at minimal cost.</td>
<td>Systems Specifications</td>
</tr>
<tr>
<td>Executing</td>
<td>The system will be open architecture and be certified on standard operating platforms – Windows. Architecture will be scalable to allow for growth, provide interoperability with other systems, have a secure web front end, be security rules based and provide multiple security layers for user authentication.</td>
<td>Systems Architecture</td>
</tr>
<tr>
<td>Executing</td>
<td>The Program users will test system functionality, performance, reporting accuracy and response times. IT Technical Support Staff will test system operational performance.</td>
<td>System and Acceptance Testing</td>
</tr>
<tr>
<td>-----------</td>
<td>----------------------------------------------------------------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td>Executing</td>
<td>The Vendor will be required to deliver design documents for authentication, Reporting, and the Database feeds. Vendor will also integrate data from legacy system.</td>
<td>Operations Requirements</td>
</tr>
</tbody>
</table>

### 4.2.1 Technical Strategy

Discuss the key technical strategies for achieving success in this project:

- Developing a project strategy is a process of choosing an approach to the work that maximizes strengths, minimizes weaknesses, takes advantage of opportunities and mitigates threats while balancing the anticipated cost and potential benefit. A good strategy will minimize risk while maximizing return on investment.

- The strategic direction is to select and implement a Commercial-Off-the-Shelf (COTS) software product that has demonstrated its effectiveness in the marketplace. Using a package strategy rather than a custom development strategy has been proven effective in many situations, and is a common strategy in both the private and public sectors.

- A package strategy however, is not without its own risks. As a whole, the Information Technology (IT) industry has found the implementation of Enterprise Resource Planning (ERP), Customer Relationship Management (CRM), Supply Chain Management (SCM) and other large-scale automation packages to be very difficult in many situations. Many of the high profile IT project disasters documented by the IT trade press over the years have involved the implementation of software packages. The question then is how to take advantage of a software package strategy while avoiding the potential pitfalls that have plagued so many other package implementations over the years?

- The project strategy is based on the strategic direction established by the SPO Digitization Executive Steering Committee, and the lessons learned from others in the Information Technology industry that have implemented package software. Three principles guide the project strategy:

#### 1) Project Management

One of the common factors identified, as a contributing cause of many information technology project failures is the lack of effective project management. The State of New Mexico Department of Information Technology is implementing project management programs both in their organization and in each state agency implementing IT projects. This project will adhere to project management standards of practice as being implemented within state government and specified by the Project Management Institute (PMI) in their Project Management Body of Knowledge (PMBOK) guidelines. According to the Project Management Body of Knowledge:
“Project Management is the application of knowledge, skills, tools and techniques to project activities to meet project objectives. Project Management is accomplished using the processes such as initiating, planning, executing, controlling, and closing. The project team manages the work of the projects, and the work typically involves:

- Competing demands for: scope, time, cost, risk and quality.
- Stakeholders with differing needs and expectations.
- Identified requirements.

“It is important to note that many of the processes within project management are iterative in nature. This is in part due to the existence of and the necessity for progressive elaboration in a project throughout the project lifecycle, i.e., the more you know about your project, the better you are able to manage it.”

2) **Well-defined Objectives**

The project must be tightly focused on a well-defined set of objectives. The “keep it simple” approach minimizes risk and implementation time. It empowers the team to concentrate on those objectives that offer the maximum return on the invested time and effort while allowing the team to spend adequate time and energy on validation, testing and documentation – tasks that are the first to be sacrificed in a more complex and drawn out implementation plan. The net result is a successful package implementation on which further development and enhancements are more likely and have a better chance of ultimate success.

3) **Support Extensibility**

The objective is to procure a solution designed to easily allow the addition of new features later. This allows SPO Divisions to start with a limited subset of functionality, and limiting initial costs, with the option to expand to greater functionality in the future.

4.2.2 **PROJECT MANAGEMENT DELIVERABLES**

Project Management Deliverables are work products or artifacts that are driven by the product requirements.

**Deliverable 1 - Project Management services for the SPO Digitization and Modernization Project**

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- Certification Request Forms;  
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- Identify initial dependencies (including hardware environment, software licenses, and secure access to servers). | |
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| **Sub 8.3** Contractor will coordinate activities between DoIT and SPO teams and the integration and document conversion vendors to support Software Design, Integration, Testing and Installation activities. | |
| **Sub 8.4** Contractor will coordinate activities between DoIT technical team members, SPO personnel and the integration and document conversion vendors to develop all the required and requested technical, administration, and operations documentation to support Training and Testing including but not limited to:  
- Coordinate with integration vendor to provide all required training to the DoIT IT technical team and SPO executive and business teams on System Administration, Privileges and Security, Profile Administration;  
- Software administration procedures and technical training curriculum and training manuals;  
- Operations/Users procedures, training curriculum and training manuals; | |
| **Sub 8.5** Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support End User Training | |
| **Sub 8.6** Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support System Integration Testing including but not limited to:  
- Document the system test procedure, test cases and scenarios, test pass/fail criteria, and test results report;  
- Verify that system testing meets pass/fail criteria, and test results report show zero (0) errors and defects. | |
| Sub 8.7 | Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support User Acceptance Testing (UAT) including but not limited to:
  - Validating UAT documentation for conducting UAT procedures, test cases and scenarios, test pass/fail criteria, and test results report;
  - Verify that UAT meets pass/fail criteria, and test results report show zero (0) errors and defects. |
| Sub 8.8 | Contractor will coordinate activities between the DoIT technical team, SPO executive and business teams, and the integration and document conversion vendors to support “Go Live” activities including but not limited to:
  - Go live to production and verification procedures;
  - Verify go live to production and verification procedures test results to show zero (0) errors & defects. |
| Sub 8.9 | Contractor will provide weekly status updates on SPO Digitization Deliverables. These shall be reviewed during status meetings and submitted electronically via email to the Procuring Agency Project Team, Executive Steering Committee, and IV&V.
  - All documents will be stored with the procuring agency.
  - The SPO Digitization deliverables will be subject to Procuring Agency review and acceptance. |
**IMPLEMENTATION PHASE: CREATE, UPDATE AND MAINTAIN SPO IMAGING SYSTEM PLAN**

<table>
<thead>
<tr>
<th>Sub</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>9</td>
<td>Contractor will create, update and maintain the SPO Imaging System Plan in compliance with 1.14.2.15 NMAC – IMAGING SYSTEM MANAGEMENT.</td>
</tr>
<tr>
<td>9.1</td>
<td>Contractor will ensure the SPO Imaging System Plan is updated and maintained to align with The Executive Records Retention and Disposition Schedule (ERRDS, State Personnel Office) 1.18.378 NMAC.</td>
</tr>
<tr>
<td>9.2</td>
<td>Contractor will work closely with the SRCA Records Management team to facilitate SRCA approval for each new version of the SPO Imaging System Plan.</td>
</tr>
</tbody>
</table>
| 9.3 | Contractor will provide status updates on the SPO Imaging System Plan deliverables. These shall be reviewed during status meetings and submitted electronically via email to the Procuring Agency Executive Steering Committee, and Agency CFO.  
- All documents will be stored with the procuring agency.  
- The SPO Imaging System Plan deliverables will be subject to Procuring Agency review and acceptance. |

**4.2.2.1 SOFTWARE CONFIGURATION VENDOR DELIVERABLES**

Insert Integration Vendor SOW after procurement process completed

**4.2.4 DELIVERABLE ACCEPTANCE PROCEDURE**

Describe the process that this project will use for the formal acceptance of all deliverables:

The SPO Digitization Project Executive Steering Committee meets to review and approve all deliverables. A formal Letter of Acceptance is submitted by the contractor is signed by the SPO Deputy Director, the SPO CFO, and the contractor.

**5.0 PROJECT WORK**

**5.1 WORK BREAKDOWN STRUCTURE (WBS)**

A WBS is a deliverable-oriented grouping of project elements that organizes and defines the total work scope of the project. Describe the work activities that comprise the work breakdown structure (WBS) or the work packages within the WBS. Identify the WBS element or other work package identifier and provide a general description of the tasks or activities, the definition or objectives, and the milestones and deliverables of each work package.
Use the chart below for highest level presentation, and provide a more detailed WBS as an attachment to this project plan.

**SPO Digitization and Modernization Project**  
**Work Breakdown Structure**

See Appendix E for more detailed WBS.

### 5.2 MAJOR PROJECT DELIVERABLES

| Proposed Major Deliverable Schedule and Performance Measures Phase 1 |
|----------------------------------------------------------|-------------------|-------------------|
| Major Project Deliverable & Performance Measure         | Due Date          | Project Phase     |
| PCC Planning Certification                              | August 2015       | Planning          |
| SW Integration Vendor Demonstration                     | November 2015     | Planning          |
| Select Integration Vendor                               | January 2016      | Planning          |
| IV&V Contract/SOW                                       | April 2016        | Planning          |
| SW Procurement                                          | June 2016         | Planning          |
| Integration Vendor Professional Services Contract/SOW   | August 2016       | Planning/Implementation |
| Technical Architecture Review Approval                  | September 2016    | Planning          |
| PCC Implementation Certification                       | September 2016    | Implementation    |
| HW Hosting Services                                     | September 2016    | Implementation    |
| Image, Repository, Workflow HW and SW Solution          | January 2017      | Implementation    |
requirements gathering, design, configure, install

<table>
<thead>
<tr>
<th>Document Conversion</th>
<th>February 2017</th>
<th>Implementation</th>
</tr>
</thead>
<tbody>
<tr>
<td>System Test, User Training, User Acceptance Test</td>
<td>May 2017</td>
<td>Implementation</td>
</tr>
<tr>
<td>System Go Live</td>
<td>June 2017</td>
<td>Implementation</td>
</tr>
</tbody>
</table>

### 5.2.1 Schedule Allocation - Project Timeline

The project timeline is a high-level view of project activities with a focus on project milestones. The project timeline does not replace the need for a detailed project schedule and it is to highlight key events such as deliverable due dates and when go/no-go decisions are made.

The visio diagram below should provide a high level view of the project time line.

### 5.3 Project Budget

Costs estimates are the costs applied to an activity in a project by assigning resources with associated rates or fees. Resources can include equipment, material, technology, processing cycles, or people. The total cost is critical and should be consistent with the proposal; include breakdowns as needed. Match these cost estimates with the actual billed amounts. Use an appropriate format for the project size and customer requirements (e.g., by WBS, milestone, or deliverable).
### Budget (In Thousands)

Comments: Hardware, Software, Professional Services, products and maintenance have not been procured and are estimates.

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<thead>
<tr>
<th>Description</th>
<th>FY15 &amp; Prior</th>
<th>FY16</th>
<th>FY17</th>
<th>FY18</th>
<th>FY19</th>
<th>FY20 &amp; After</th>
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### 5.4 Project Team

#### 5.4.1 Project Team Organizational Structure

Insert a graphical Organization Chart here. The Organizational Structure (OS) is a hierarchical configuration defining levels of program management and may identify all project personnel. The OS should be simple and straightforward. Include role names and people’s names. Consider identifying the core project team by shading their respective boxes on the chart. On complex projects, consider using a second OS to identify core project team. The OS can also be used for management reporting.
5.4.2 **PROJECT TEAM ROLES AND RESPONSIBILITIES**

List the team members, their role, responsibility and functional manager. Make sure to include a comprehensive listing including those from the organization managing the project, business members involved to ensure business objectives are met and the vendor members that may have a specific role.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
</table>

---

**List the team members, their role, responsibility and functional manager. Make sure to include a comprehensive listing including those from the organization managing the project, business members involved to ensure business objectives are met and the vendor members that may have a specific role.**

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Executive Sponsor</strong></td>
<td></td>
</tr>
<tr>
<td><strong>PCC and DoIT EPMO Oversight</strong></td>
<td></td>
</tr>
<tr>
<td><strong>Executive Steering Committee</strong></td>
<td></td>
</tr>
<tr>
<td><strong>SRCA</strong></td>
<td></td>
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<tr>
<td><strong>Task Force</strong></td>
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<tr>
<td><strong>Project Manager</strong></td>
<td></td>
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<tr>
<td><strong>Vendor</strong></td>
<td></td>
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<tr>
<td><strong>Project Director</strong></td>
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<tr>
<td><strong>Project Team</strong></td>
<td></td>
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<tr>
<td><strong>IV&amp;V</strong></td>
<td></td>
</tr>
<tr>
<td>Role</td>
<td>Responsibilities</td>
</tr>
<tr>
<td>------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Executive Steering Committee (ESC)       | ▪ Meet at least once monthly  
▪ Provide strategic direction and promote the vision for Enterprise Content Management  
▪ Advise project on policy issues  
▪ Review, evaluate, and provide direction to the Project Director and Project Team Members on implementation and deployment strategies  
▪ Monitor the project progress  
▪ Provide recommendations on issues escalated to the committee  
▪ Assist in mitigating strategic project risks  
▪ Direct the Project Director on issues and risks  
▪ Address, review, and approve all deliverables, such as project structure and team activities  
▪ Monitor the project activities, assuring adherence to the project plan  
▪ Ensure involvement of participants in order to meet deadlines  
▪ Review and approve expenditures of funds  
▪ Represent the point of view of key stakeholders including technology-enabled customers and state government executives |
| NM DoIT Consultants                      | ▪ Provide project implementation oversight  
▪ Ensure proper project management and cost reporting  
▪ Certify and approve funding prior to each phase of the project                                                                                                                                                           |
| Project Director                         | ▪ Monitor and report the activities of the SPO Project Team, assuring adherence to the project plan, budget and schedule  
▪ Ensure involvement of participants in order to meet deadlines  
▪ Ensure mitigation of project issues and risks  
▪ Maintain a current copy of the project budget  
▪ Facilitate development of Index and Search criteria  
▪ Procure hardware and software for SPO  
▪ Comply with approved IT Infrastructure policies & procedures  
▪ Provide contract and Vendor oversight  
▪ Assure Vendor deliverables meet the business & system requirements  
▪ Monitor the project and contract to ensure delivery of complete, accepted deliverables on schedule  
▪ Advise the Vendor Team(s) on issues and risks  
▪ Review and approve all Vendor documentation  
▪ Work closely with SRCA team to create an approved, published electronic-records management framework |
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
</table>
| **Project Manager / Business Analyst**   | • Prepare Steering Committee meeting agenda and meeting materials  
• Establish and maintain a coordinated project management plan that includes all IT and non-IT tasks and activities necessary to fully execute the project and to achieve project goals  
• Report to ESC on project status, issues, budget, and activities  
• Address, review, and submit deliverables to ESC from the SPO Project Team members  
• Facilitate defining document metadata and setting up document taxonomy  
• Lead Business Process Reengineering efforts  
• Plan system interfaces and document migration processes  
• Manage testing and validating SBS solution  
• Serve as a contact for the Vendor Team Manager, review and accept weekly status reports, project milestones, deliverables, and issues logs  
• Create SPO Imaging System Plan  |
| **SRCA Project Team Members**            | • Provide subject matter expertise for records management requirements  
• Participate in workgroups and status meetings to determine best course of action, options, and alternatives  
• Review ITC PCC documentation for certification  
• Work closely with Project Director to create an approved, published electronic-records management framework  
• Advise the Project Director in developing an SPO Imaging System Plan  |
| **SPO and other Agency Subject Matter Experts Project Team Members** | • Provide subject matter expertise for records management requirements  
• Participate in workgroups and status meetings to determine best course of action, options, and alternatives  
• Work closely with Project Manager and Project Director to create an approved, published electronic-records management framework  |
| **Agency Task Force Members**            | • Provide subject matter expertise for records management requirements  
• Participate in workgroups and status meetings to determine best course of action, options, and alternatives  
• Work closely with Project Manager and Project Director to create an approved, published electronic-records management framework  |
| **DoIT Hosting Specialists**             | • Provide IT subject matter expertise  
• Work with Project Director to determine hardware, software, network and technical requirements.  
• Work with Project Director to define technical system interface requirements.  
• Provide IT perspective and guidance for technology issues  |
<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor(s)</td>
<td>▪ Ensure compliance with the Contract and the approved work plan.</td>
</tr>
<tr>
<td></td>
<td>▪ Develop and submit all deliverables as required by the Contract.</td>
</tr>
<tr>
<td></td>
<td>▪ Meet the Project schedule and milestones as defined in the Work Plan and the Contract.</td>
</tr>
</tbody>
</table>

## 5.5 STAFF PLANNING AND RESOURCE ACQUISITION

### 5.5.1 PROJECT STAFF

The responsibility assignment matrix (RAM) is a table that relates the project organization structure to the work breakdown structure to ensure that each element of the project’s scope of work is assigned to a responsible organization or individual. Larger projects may define responsibility assignment matrices at multiple levels. A high-level RAM may define which group or organizational unit is responsible for each component of the work breakdown structure, while lower-level RAM’s are used within the groups to assign roles and responsibilities for specific activities to specific individuals. The codes are defined as follows: A = Approval, O = Oversight, R = Responsible, S = Provide Support, W = Does the Work.

<table>
<thead>
<tr>
<th>Responsible Organization</th>
<th>SRC A</th>
<th>DoIT</th>
<th>SPO Project Team</th>
<th>ESC</th>
<th>Project Management Vendor</th>
<th>Software Configuration Vendor</th>
<th>IV&amp;V Vendor</th>
</tr>
</thead>
<tbody>
<tr>
<td>WBS Task</td>
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<td>A</td>
<td>R/W</td>
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<td>R/W</td>
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<td>Plan including Scope &amp; WBS</td>
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<td>Responsible Organization</td>
<td>SRC A</td>
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<td>SPO Project Team</td>
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<td>Project Management Vendor</td>
<td>Software Configuration Vendor</td>
<td>IV&amp;V Vendor</td>
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<td><strong>Software Selection</strong></td>
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<td>R/W</td>
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<td>R/W</td>
<td>--</td>
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<td>R/W</td>
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<td><strong>App/Tech Infrastructure.</strong></td>
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<td>R</td>
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</tr>
<tr>
<td>Sign License Agreement</td>
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<td>R</td>
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</tr>
<tr>
<td>Responsible Organization</td>
<td>SRCA</td>
<td>DoIT</td>
<td>SPO Project Team</td>
<td>ESC</td>
<td>Project Management Vendor</td>
<td>Software Configuration Vendor</td>
<td>IV&amp;V Vendor</td>
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<tr>
<td>&amp; Acquire SPO Solution Package</td>
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<tr>
<td>Select Software Configuration Vendor</td>
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<td>R</td>
<td>A</td>
<td>S/R</td>
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<tr>
<td>Infrastructure Analysis &amp; Design</td>
<td>--</td>
<td>R</td>
<td>A</td>
<td>S/R</td>
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<tr>
<td>Hardware/Software Procurement</td>
<td>--</td>
<td>S</td>
<td>R</td>
<td>A</td>
<td>S/R</td>
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<td>O</td>
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<tr>
<td>Functionality Analysis &amp; Design</td>
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<td>R</td>
<td>A</td>
<td>S/R</td>
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<tr>
<td>System Development &amp; Customization</td>
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<td>A</td>
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<tr>
<td>Transition</td>
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<td>S</td>
<td>R</td>
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<tr>
<td><strong>Business Process Reengineering</strong></td>
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<td>Define</td>
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<td>A</td>
<td>S/R</td>
<td>S</td>
<td>W</td>
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<tr>
<td>Measure</td>
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<td>S</td>
<td>A</td>
<td>S/R</td>
<td>S</td>
<td>W</td>
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<tr>
<td>Analyze</td>
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<td>S</td>
<td>A</td>
<td>S/R</td>
<td>S</td>
<td>W</td>
</tr>
<tr>
<td>Improve</td>
<td>--</td>
<td>--</td>
<td>S</td>
<td>A</td>
<td>S/R</td>
<td>S</td>
<td>W</td>
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<td>Control</td>
<td>--</td>
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<td>S</td>
<td>A</td>
<td>S/R</td>
<td>S</td>
<td>W</td>
</tr>
<tr>
<td><strong>Implementation</strong></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Implementation Plan for Reengineered Business Processes</td>
<td>--</td>
<td>S</td>
<td>A</td>
<td>S</td>
<td>W/R</td>
<td>W</td>
<td>O</td>
</tr>
<tr>
<td>Training Plan Training Manuals</td>
<td>--</td>
<td>S</td>
<td>A</td>
<td>S</td>
<td>W/R</td>
<td>W</td>
<td>O</td>
</tr>
<tr>
<td>System Integration</td>
<td>--</td>
<td>S</td>
<td>A</td>
<td>S</td>
<td>W/R</td>
<td>W</td>
<td>O</td>
</tr>
<tr>
<td>Content Migration</td>
<td>--</td>
<td>S</td>
<td>A</td>
<td>S</td>
<td>W/R</td>
<td>W</td>
<td>O</td>
</tr>
</tbody>
</table>
Use this section to list services or product (HW/SW and such) needed for project

<table>
<thead>
<tr>
<th>Resource</th>
<th>Cost Estimate</th>
<th>Estimated units/hours</th>
<th>Availability</th>
<th>Source</th>
<th>Work Product/Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>ECM Software</td>
<td>$243,600</td>
<td>one</td>
<td>Yes</td>
<td>Lexmark</td>
<td>ECM Software</td>
</tr>
<tr>
<td>Desktop Scanners</td>
<td>$104,800</td>
<td>one</td>
<td>Yes</td>
<td>SPA</td>
<td>Hardware</td>
</tr>
<tr>
<td>ECM HW Server/Storage</td>
<td>$54,000 per year</td>
<td>one</td>
<td>Yes</td>
<td>DoIT Hosting</td>
<td>Hardware</td>
</tr>
</tbody>
</table>
5.6 PROJECT LOGISTICS

Logistics describes how the project manager, project team, the business owner/customer and any vendor resources will physically work together. Include anything to do with moving or starting resources. Training specifically related to project team members should be included here.

Training for IT, Users and all SPO staff will be developed and delivered by the software and configuration vendor as described in the SOW sections of the PMP.

5.6.1 PROJECT TEAM TRAINING

Describe training if any needed by project team members. This is not to include training for end users, system administrators or business owners; those should be handled within a training document or part of the transition to operations planning.

Training for IT, Users and all SPO staff will be developed and delivered by the software and configuration vendor as described in the SOW sections of the PMP.

<table>
<thead>
<tr>
<th>Resource</th>
<th>Cost Estimate</th>
<th>Estimated Hours</th>
<th>Availability</th>
<th>Skill Set</th>
<th>Work Product/Deliverable</th>
</tr>
</thead>
<tbody>
<tr>
<td>TBD (train the trainer, Super User, IT)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

6.0 PROJECT MANAGEMENT AND CONTROLS

6.1 RISK AND ISSUE MANAGEMENT

6.1.1 RISK MANAGEMENT STRATEGY

To monitor and manage the potential and consequences of risks the following strategy will be adopted in the SPO project. The sequence in the risk monitoring diagram below to define the risk management and monitoring strategy is as follows:

- Risk Identification
- Risk Analysis
- Risk Planning
- Risk Resolution
6.1.2 **PROJECT RISK IDENTIFICATION**

Risk Identification is performed at the beginning and continuously through out every phase of the SPO Digitization and Modernization Project. Risk Identification is on-going activity. Potential risks can be identified by the project teams, Executive Staff, stakeholders, vendor, IV&V, ESC, and SME input up front and at any time through the lifecycle of the project an documenting the specific characteristics of each risk. The documentation and tracking of identified risks is captured on a risk evaluation tool, built with an excel spreadsheet. This is the primary tool to be used to list and categorize SPO Digitization project risks.

6.1.3 **PROJECT RISK ANALYSIS**

The risk analysis process is to determine a score based upon the risk probability of occurring and the impact of the risk if it occurs. The scoring process may employ both qualitative and quantitative techniques as deemed necessary to objectively evaluate potential risks to the project. Risks are assigned individually a probability score and an impact score of 5=high, 3= medium, and 1= low.

The risks that fall into the high probability of occurrence and a high to medium impact should be considered significant risks and will have contingency plans to mitigate the risks.

6.1.4 **PROJECT RISK PLANNING**

Risk Planning or Response Strategies is determining ahead of time what actions are going to be taken should an identified risk occur. This should be kept concise and not attempt to solve a problem that hasn’t occurred yet. A responsible party will be identified to take the corrective action along with a due date for this action. Each recommended corrective action should be specific to the identified risk which has occurred and should be actionable.
6.1.5 Risk Monitoring, Reporting and Escalation Strategy

Risk Monitoring and Control – The process of tracking, evaluating and responding to ongoing developments relative to project plans, risk mitigation plans and specific contingency plans. Risk management is an integral component of integrated project control. This is an ongoing process for the duration of the project and will be part of every project status meeting.

Risk identification is the responsibility of all members of the project team. The Project Director and Project Managers are responsible for tracking risks and for developing mitigation strategies and contingency plans that address the risks identified by the team.

The SPO Digitization project will follow a continuous risk management strategy. Risk will be assessed routinely to ensure that identified risks are being dealt with appropriately and that new risks are identified and dealt with as early as possible.

6.1.6 Issue and Action Item Management

When the project team identifies an issue it is identified as an Action Item and will be added to the Action Items table in the Project Status Report. An issue can also be identified by anyone affiliated with the project although the project team will be primarily responsible for tracking issues/action items through to resolution. The ESC and project team will review the action item status during regularly scheduled meetings. The action item status will be reviewed at any time by the Project Manager. The process of tracking an action item is outlined here:

1) An issue is identified.
2) It is added to the action item table, assigned an action item number, description, assigned to, date assigned, date due/completed, and status.

Listed below are examples of how an issue can be resolved:

- An issue can become a task added to the project plan with proper approval, if new, or within scope of the project.
- It could be resolved by an action taken.
- A document can be created which addresses the issue.
- A resolution could create new issues that need to be addressed.
- A new policy or business rule could be created which addresses the issue.

The project team is primarily responsible to resolve issues or follow-up to be sure action is being taken to resolve an issue.

6.1.7 Internal Issue Escalation and Resolution Process

As defined in the Project Governance section of this document the SPO Project team and stakeholders, and Executive Steering Committee will utilize the scope, schedule & budget baselines as a reference for impact and to manage the action items, issues, and risks during regularly scheduled or ad-hoc meetings. For issues and risks that impact scope, schedule and/or budget of the SPO project, the SPO PD and PM will work with the Executive Steering Committee, project team, task force, and stakeholders to identify actions to resolve or approve.
changes required to address issue and risks. The table below summarizes CERR Core Team’s Issue/ Risk Governance and Escalation Timeframes and Process.

**SPO Project Issue, risk, action item governance overview**

<table>
<thead>
<tr>
<th>Area Impacted</th>
<th>Variance Threshold</th>
<th>Escalation Timeframes and Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Scope</td>
<td>Any changes/ additions to scope of work</td>
<td>Meet with proper team/stakeholders within 5 business days to identify corrective actions/ change requests to present to Executive Sponsors.</td>
</tr>
<tr>
<td>2 Schedule</td>
<td>Any changes that extend the date of a critical milestone in the project Any changes that extend the end date past the end date of the project</td>
<td>Executive Sponsors to approve/ define addition actions within 5 business days</td>
</tr>
<tr>
<td>3 Budget</td>
<td>Any changes that increase the budget of a critical milestone in the project Any changes that increase the overall budget of the project by more than 5%</td>
<td></td>
</tr>
</tbody>
</table>

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6.2 INDEPENDENT VERIFICATION AND VALIDATION - IV&V

Independent Verification and Validation (IV&V) means the process of evaluating a system to determine compliance with specified requirements and the process of determining whether the products of a given development phase fulfill the requirements established during the previous stage, both of which are performed by an organization independent of the development organization. Describe the process that will be employed to meet IV&V requirements.

Burger Carroll and Associates is the project IV&V vendor
## Deliverable One – IV&V Project Management Plan

<table>
<thead>
<tr>
<th>Deliverable 1</th>
<th>Due Date</th>
<th>Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV &amp; V Project Management Plan</td>
<td>Ten (10) business days after contract execution or mm/dd/yyyy whichever is later</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task Item</th>
<th>Sub Tasks</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management Plan</td>
<td>Sub 1.1</td>
<td>The IV&amp;V contractor shall develop an IV&amp;V project management plan for this project. This plan will describe all IV&amp;V activities for the project, including the IVV contractor’s approach to IV&amp;V projects, including best practices and project management standards. IVV Contractor will list the vendor personnel assigned to this project (Contractor will include additional Subject Matter Experts may be brought in at different times during the project as needed) and detail an IV&amp;V project schedule, to include meetings with the Project Stakeholders as needed. This project management plan will also include an assumptions, dependencies and constraints section which detail the needed activities to successfully complete the engagement.</td>
</tr>
<tr>
<td></td>
<td>Sub 1.2</td>
<td>The IV&amp;V Management Plan will include a deliverable schedule and activity matrix.</td>
</tr>
<tr>
<td></td>
<td>Sub 1.3</td>
<td>The IV&amp;V contractor shall use the report template Quality Assurance IV&amp;V Template along with the Quality Assurance IV&amp;V Guidelines found on the DoIT web site: <a href="http://www.doit.state.nm.us/project_templates.html">http://www.doit.state.nm.us/project_templates.html</a></td>
</tr>
</tbody>
</table>

**DoIT**

**New Mexico Department of Information Technology**

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Deliverable Two: IV&V Initial Assessment

<table>
<thead>
<tr>
<th>Deliverable 2</th>
<th>Due Date</th>
<th>Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV &amp; V Initial Assessment</td>
<td>Thirty (30) calendar days after contract execution or mm/dd/yyyy whichever is later</td>
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</table>

<table>
<thead>
<tr>
<th>Task Item</th>
<th>Sub Tasks</th>
<th>Description</th>
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</table>
| Initial Assessment Report      | Sub 2.1    | Preparation and delivery of an Initial IV&V report of the activities required of the project and the effectiveness of the Project Management. The IV&V Report shall indicate the initial status of the project, whether clear definition and process/procedures are documented in adherence to best practices to manage key areas, including but not limited to:  
  - Objectives, Scope Definition and Management  
  - Project Timeline and schedule management  
  - Project Budget Management  
  - Project Management and Planning  
  - Risk and Issue management  
  - Stakeholder management  
  - Communication management  
  - Change management  
  - Requirements Definition, Traceability and Management  
  - Process Definition  
  - Procurement Management  
  - Contract and Vendor management  
  - System Design Documentation  
  - Operations and Support Plan  
| Sub 2.2                         |            | Verify project objections are clearly defined and documented. |
| Sub 2.3                         |            | Assess participation, support and commitment by the Executive sponsor(s) and Business Owner(s), and verify that open pathways of communication exist between Project Management and Executive sponsor(s). |
| Sub 2.4 | The initial report shall include a Risk Assessment of the Project Management activities. The initial report will include a risk assessment by identifying risks presented by the project and management team. |
| Sub 2.5 | The IV&V contractor shall use and complete the Quality Assurance IV&V Template along with the Quality Assurance IV&V Guidelines to complete this report. These can be found on the DoIT web site: [http://www.doit.state.nm.us/project_templates.html](http://www.doit.state.nm.us/project_templates.html). |
Deliverable Three: Conduct Monthly Report

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<th>Deliverable 3</th>
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<th>Compensation</th>
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<tr>
<td>Conduct Monthly Report</td>
<td>Due Monthly, by the Fifth (5th) Each Month. Beginning the following month after Deliverable Two Ending mm/dd/yyyy</td>
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<thead>
<tr>
<th>Task Item</th>
<th>Sub Tasks</th>
<th>Description</th>
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</thead>
</table>
| Periodic Review Reports | Sub 3.1   | The Contractor shall prepare and deliver to the Procuring Agency written interim IV&V reports on the status of project activities relevant to the review period, including but not limited to activities identified in following sections and the progress toward accomplishment of activities since the prior report (i.e. re-evaluate all areas identified in the SOW and covered in prior reports).

The Contractor shall evaluate the activities identified below as applicable during a reporting period. The monthly reviews shall include recommendations related to any findings and risks. The contractor shall also, review previous reports and report on previous risk mitigations actions and ensure that recommendations are enacted on and report to the Procuring Agency progress accomplishments from the previous recommendations and a current status of outstanding issues as identified in previous reports.

The Contractor shall furnish such reports to the DoIT, Executive Level Representatives (ELRs) as required by the date specified by the Agency. However, the DoIT and/or ELR may require such reports on a more frequent basis; such changes will be documented in writing and agreed upon by Agency and Contractor. |
<p>| Stakeholder Management | SH 1      | Contractor will collaborate with the ESC regarding the stakeholder strategies, assessment, management and execution. Verify that project team are communicating risks to stakeholders and involve stakeholders in risk mitigation or reducing impact. Verify that all stakeholders, including those from external agencies are identified and involved in the project as necessary. |
| Project Sponsorship    | PM 1      | Assess participation, support and commitment by the Executive sponsor(s) and Business Owner(s), and that open pathways of communication exist between Project Management and Executive sponsor(s). |</p>
<table>
<thead>
<tr>
<th>Management Assessment</th>
<th>PM - 2</th>
<th>Verify that there is a Project Governance plan and an active Executive Steering Committee whose role it is to acknowledge all changes impacting Project objectives, scope, cost, or schedule.</th>
</tr>
</thead>
<tbody>
<tr>
<td>PM - 3</td>
<td>Verify and assess Project management and organization; verify that lines of reporting and responsibility provide adequate technical and managerial oversight of the Project.</td>
<td></td>
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<tr>
<td>PM - 4</td>
<td>Evaluate Project progress, resources, budget, schedules, work flow, and reporting.</td>
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<tr>
<td>PM - 5</td>
<td>Assess coordination, communication and management to verify that agencies and departments are following the communication plan and are not working independent of one another.</td>
<td></td>
</tr>
<tr>
<td>Project Management</td>
<td>PM-6</td>
<td>Verify that a project management plan is being followed. Evaluate the project management plans and procedures to verify that they are developed, communicated, implemented, monitored and complete.</td>
</tr>
<tr>
<td>Risk Management</td>
<td>PM-7</td>
<td>Verify that the project is managing risks through reporting, logging and acting on reducing risk. Ascertain that the project is following the state’s requirement for an initial and then periodic risk assessment reports. Evaluate the project’s risk management plans and procedures to verify that risks are identified and quantified and that mitigation and contingency plans are developed, communicated, implemented, monitored, and complete.</td>
</tr>
<tr>
<td>PM-8</td>
<td>Verify that risk triggers are regularly monitored, communicated and managed to minimize probability and/or impact, should those risk events materialize.</td>
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</tr>
<tr>
<td>Change Management</td>
<td>PM-9</td>
<td>Verify that a change management plan is created and being followed. Evaluate the change management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete, and that project managers anticipate and prepare for changes in project artifacts/baselines as well as manage organizational resistance to change to improve buy in and user adoption.</td>
</tr>
<tr>
<td>Scope Management</td>
<td>PM-10</td>
<td>Verify that a scope management plan is created and being followed. Evaluate the scope management plans and procedures to verify they are developed, communicated, implemented, monitored, and complete. Verify that the project is managed within scope with well managed change control process to avoid scope creep.</td>
</tr>
<tr>
<td>Financials and Budget Management</td>
<td>PM-11</td>
<td>Verify that a budget management plan is created and being followed. Evaluate the project financials and budget management plans and procedures to verify they are developed, communicated, implemented, baselined, monitored, and met.</td>
</tr>
<tr>
<td>Schedule Management</td>
<td>PM-12</td>
<td>Review schedules to verify that adequate time and resources are assigned for planning, development, review, testing and rework. Verify milestones and completion dates are planned, baselined, monitored, and met. Verify that schedule is proactively managed for potential risks and issues due to resource allocation or other.</td>
</tr>
<tr>
<td>PM-13</td>
<td>Examine relevant supporting data to determine if the project team has accurately estimated the time, labor and cost of software development efforts. Verify that project schedule is proactively managed to avoid slippages and risks related to overruns.</td>
<td></td>
</tr>
<tr>
<td>Communication Management</td>
<td>PM-14</td>
<td>Verify that a communication plan created and being followed. Evaluate the communication plans and strategies to verify they support communications, stakeholder management and work product sharing; assess communication plans and strategies for effectiveness, implementation, monitoring and completeness.</td>
</tr>
<tr>
<td>Procurement Management</td>
<td>PM-15</td>
<td>Review procurement planning, execution and management activities to ensure critical items are addressed adequately to mitigate any potential risks. Verify appropriate stakeholders are involved in the Procurement process, including but not limited to verifying whether requirements from various stakeholder groups are incorporated, verify if appropriate stakeholders and subject matter experts are involved in solution selection and other stages of the procurement process.</td>
</tr>
</tbody>
</table>
| **Contract/Vendor Management** | **PM-16** | Review planning, development and management or contracts to ensure critical items are addressed adequately to mitigate any potential risks in areas of contract development, administration and vendor management.  
Verify that the obligations of the vendor, sub-contractors and external staff (such as terms, conditions, statement of work, requirements, technical standards, performance standards, development milestones, acceptance criteria, delivery dates, etc.) are clearly defined. This includes verifying that performance metrics have been included allowing the tracking of Project performance and progress against criteria set by the State.  
Evaluate and make recommendations on the project’s process and procedures for managing contracts, external resources and deliverables. |
| **Requirements Management** | **PM-17** | Verify that business, technical system and other requirements are clearly defined, tracked and managed  
**PM-18** | Evaluate and make recommendations on the project’s process and procedures for managing and tracking requirements. Requirements are well-defined, understood and documented. |
| **System Integration Test** | **PM-19** | Verify that an appropriate level of test coverage is achieved by the test process, that test results are verified, that the correct code configuration has been tested, and that the tests are appropriately documented, including formal logging of errors found in testing  
**PM-20** | Verify that user acceptance testing has been completed to the user requirements. |
| **User Acceptance Test** | **PM-21** | Evaluate the plans, requirements, environment, tools, and procedures for acceptance testing the system.  
**PM-22** | Verify that a sufficient number and type of case scenarios are used to ensure comprehensive but manageable testing and that tests are run in a realistic, model office-like environment. |
| **Interface Testing** | **PM-23** | Evaluate interface testing plans. |
| **User Training and Documentation** | **PM-24** | Verify that all training is given on-time and is evaluated and monitored for effectiveness, with additional training provided as needed.  
**PM-25** | Verify that all training is adequately done to the project’s requirements |
<table>
<thead>
<tr>
<th></th>
<th>PM-25</th>
<th>PM-26</th>
<th>PM-27</th>
<th>PM-28</th>
<th>PM-30</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Implementation Planning</strong></td>
<td>Verify that all training materials, end user and system administrator for using the contractor-supplied and or contractor customized software is taken through a testing and user acceptance process to assure than it matches the actual finished and delivered software solution</td>
<td>Review and evaluate implementation plan, including consideration of training, agency productivity and scheduling and other factors that could interfere with a successful implementation.</td>
<td>Verify that the proposed and acquired software is compatible with the agency’s existing hardware and software environment, if it is maintainable, and if it is easily upgradeable. This evaluation may include operating systems, middleware, and network software including communications and file-sharing protocols as applicable</td>
<td>Evaluate operational plans and processes are properly documented for turn over to operations teams.</td>
<td>Verify that adequate steps are taken to ensure ongoing maintenance and support and whether the Project considered any existing measurement and capacity planning; i.e. system’s capacity to support future growth.</td>
</tr>
</tbody>
</table>
Deliverable Four: Closeout Report

<table>
<thead>
<tr>
<th>Deliverable 4</th>
<th>Due Date</th>
<th>Compensation</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV&amp;V Closeout Report</td>
<td>On Project Close mm/dd/yyyy</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Task Item</th>
<th>Sub Tasks</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Closeout Report</td>
<td>Sub 4.1</td>
<td>Contractor shall present a written report of the status of the project relating to the success of the completed project. The report shall:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Identify and evaluate project accomplishments, and major deliverables; and how well project objectives, were met.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Verify lessons learned have been identified and areas which the project could have improved its actions and methods,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Evaluate methods used to obtain user satisfaction feedback to determine areas for future improvements,</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Evaluate the implementation of the integrated systems for effectiveness and efficiency.</td>
</tr>
</tbody>
</table>

6.3 SCOPE MANAGEMENT PLAN

Describe the process that is going to be used to manage the scope of the project. Make sure to address managing stakeholder expectations.

Project control is the mechanism by which the Project Director in conjunction with the project team assesses progress relative to the project plan. The project control process is implemented through a bi-weekly project status meeting. The meeting will be designed to identify variances from the project plan and to identify and initiate corrective actions where appropriate.

- **Cost Control** – The project director maintains a copy of the current budget and is to notify the SPO ESC of budget variances as they are identified.
- **Schedule Control** – The project team is responsible for establishing and maintaining a project schedule. The project team will assess the current project schedule status and report variances as they are identified. Additionally, the team will identify and implement the appropriate corrective actions to eliminate or minimize schedule variances.
• Quality Management – SPO Digitization project quality management will be established for each deliverable based on the quality mechanisms of the responsible organization, and the SPO Quality Management Plan.

• Risk Management – Risk management is an ongoing process of identification and assessment. Risk Assessment is included as part of the routine status process of the project. This maintains an awareness of risk and the associated risk assessment and monitoring tasks required to manage the project effectively.

These four parameters of the project are integrally linked and any significant change in one will likely cause changes in the others. Project control establishes the mechanism to routinely track and report on these parameters. If issues arise that result in significant variances in these parameters, the project team will prepare and submit a Project Change Request form through the Project Change Control process.

The process below is designed to capture project status information on a weekly basis. The information is then used to trigger corrective action, risk mitigation and a variety of reporting processes. This process is critical to successful project communication and is the foundation on which a successful project control system will be built. The process should allow for flexibility in dealing with project control issues while ensuring that project status information is captured and documented.

**6.3.1 Change Control**

**6.3.1.1 Change Control Process**

Change Control establishes how change will be managed, including capturing, tracking, communicating, and resolving change. Due to much ambiguity regarding change, it is vital that we document and discuss the change process with the executive sponsor.

A formal change control process is an essential component of a successful IT project. The key to controlling project change, is managing the impact to the project plan, budget, and implementation schedule.

Some changes are unavoidable – instances where changes have to be made to comply with legal, federal/state regulations, policy changes, compliance with changes in the business direction of the enterprise, or where technology may dictate change. Other non-essential changes can be avoided through management of a formal change control process.

Scope changes (sometimes referred to as scope creep) are the continual addition of functional enhancements to the product requirements throughout the project life cycle. Excessive scope changes are directly related to poorly defined product requirements and specifications. A well thought out change control process will assist the project management team in controlling “scope creep”.

Three (3) steps are necessary to control scope changes:

1. Establish the baseline product.
2. Obtain agreement from the project “approvers”.
3. Enforce a formal change control process.
Establish the baseline product
The SPO project plan is developed around a “package” strategy. Further, the strategy specifically specifies minimal modifications to the package. Functional modifications are to be limited in the SBS product.

Agreement from the SPO ESC
The baseline product described above and strategy for implementation is to be reviewed and approved by the SPO Executive Steering Committee. Requests to change the scope will also be reviewed and approved by the SPO ESC.

Enforce a formal change control process
The software package/implementation process is never static. Some changes are to be expected during the SBS implementation, and a formal process has been defined and is to be followed to make sure all changes to the product are made in an orderly manner. As scope change requests are made, a change control process ensures

- Only necessary changes are made,
- Changes are communicated to all affected parties, and
- Changes are implemented in an orderly fashion.

6.3.1.2 Change Control Board (CCB)
All change requests must follow the following process
- Using a change request form, submit a change request to the SPO Project Director and Project Manager.
- The change request will be logged into the change request log and entered into control process
- The change request will be presented to the Executive Steering Committee for evaluation and disposition. Request may be logged as issue or action item and follow the Issue and Action Item escalation process
- Change Request approval may require project budget and/or project schedule change to accommodate the change request.
- Change request disposition logged into change request log
SPO Digitization Project
Change Control Process

1. Change Request Form
   - Change Request

2. Baseline SPO Plan
   - Baseline Plan
   - Revised Baseline Plan
   - Revised Plans

3. Change Request Evaluation Process
   - Corrective Action Required?
     - Yes
     - Revised Plans
     - SPO Document Archive - Website - Change Control Request Accepted
     - No - Revised Plans

4. Corrective Action Planning Process
   - Does Corrective Action Exceed Authorized Variance?
     - Yes - Cost Schedule Scope Quality
     - No - Continue Planned Work

5. JAT Review & Approval Process
   - Change Control Request Accepted
   - Change Control Request Rejected

6. Current Status
   - Cost Schedule Scope Quality
   - Weekly Status Information

7. Project Work
   - No - Revised Plans

8. Integration points:
   - Change Acceptance
   - Cost Schedule Scope Quality
   - Weekly Status Information
6.4 PROJECT BUDGET MANAGEMENT

Costs estimates are the costs applied to an activity in a project by assigning resources with associated rates or fees. Resources can include equipment, material, technology, processing cycles, or people. The total cost is critical and should be consistent with the proposal; include breakdowns as needed. Match these cost estimates with the actual billed amounts. Use an appropriate format for the project size and customer requirements (e.g., by WBS, milestone, or deliverable).

6.4.1 BUDGET TRACKING

Budget is reported on weekly budget summary statement on the status report and reviewed in scheduled ESC meeting.

6.5 COMMUNICATION PLAN

Communication planning involves determining the information and communication needs of the stakeholders, executive sponsors, project team and others as needed. The communication plan needs to address who needs what information, when they will need it, how it will be given to them, and by whom. The complexity of the project may require a separate communication plan; however a high level summary of that plan will need to be included here and a reference made to the appropriate Appendix.

Communication is fundamental to effective project management. The Communications Plan outlines the roles and responsibilities of participants in the dissemination, review and approval of project information. A communications plan that is well implemented will help manage expectations of the project, assure appropriate levels of communication with internal and external project stakeholders, provide relevant, accurate, consistent information at all times and help generate and sustain enthusiasm and support for the project.

The communication strategy covers all the informational needs of the project stakeholder community. Many will receive routine information about the project. Others will be able to visit the project website and obtain the specific information that they are seeking and all may receive ad hoc communication from the project team at any time depending on the need.

All project documents are archived in the share drive locations below.

Note: All project Documentation is located on SPO Sharedrive S:

6.5.1 COMMUNICATION MATRIX

Stakeholders: PD = Project Director, PM = Project Manager

<table>
<thead>
<tr>
<th>Deliverable/Description</th>
<th>Target Audience</th>
<th>Delivery Method</th>
<th>Frequency</th>
<th>Responsible Party</th>
</tr>
</thead>
<tbody>
<tr>
<td>SPO Project Status</td>
<td>ESC</td>
<td>Email</td>
<td>Weekly</td>
<td>PM</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Face-to-Face</td>
<td>As Scheduled</td>
<td></td>
</tr>
<tr>
<td>SPO ESC meeting agenda</td>
<td>ESC</td>
<td>Email</td>
<td>As Scheduled</td>
<td>PM</td>
</tr>
</tbody>
</table>
### 6.5.2 Status Meetings

The Executive Steering Committee will meet at a minimum on a monthly basis in order to review project progress, deliverables/milestones, provide direction to the Project Director, and team. The Project Director is required to provide formal status reports to the ESC and will present the report during the ESC meetings. The Project Director is also required to report on the overall status of the project on a monthly basis, per standard DoIT procedures.

Specific requests for expenditure authorization should be forwarded to the ESC representatives for the agencies. If funding approval is an agenda item on the regular ESC meeting, the request and associated justification for spending should be circulated to committee members at least seven (7) days in advance of the ESC meeting. If funding approval is required in a timeframe that does not coincide with the ESC meeting schedule, it is the responsibility of the Project Director to send a request and justification directly to the ESC committee members. A reminder notice should be sent out after seven (7) days if there has been no response from ESC committee members. A final attempt to contact ESC members should be made at fourteen (14) days if there has been no response. Summary of any such action should be documented in team status reports and reported to the ESC at the next meeting.

### 6.5.3 Project Status Reports

The Project Manager submits through email a weekly summary project status report to all Project Stakeholders and review the status report during the bi-weekly Executive Steering Committee meeting. All project documents are archived in the share drive locations below. Note: All project documentation is located on SPO Sharedrive S:

### 6.6 Performance Measurement (Project Metrics)

The Project Manager and Executive Sponsor define the project metrics that will be used to control the project. Each project will need to have an established metrics program. Metrics are
collected for measuring the progress of a project against its planned budget, schedule, resource usage, and error rates, and of establishing a historical database, which will aid in planning and forecasting future projects. At a minimum metrics must be established for time (schedule), cost (budget) and quality.

6.6.1 BASELINES

<table>
<thead>
<tr>
<th>Project Area</th>
<th>Category</th>
<th>Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Management</td>
<td>Project Manager deliverables</td>
<td>Schedule &amp; Quality</td>
</tr>
<tr>
<td>Project Management</td>
<td>Configuration Vendor deliverables</td>
<td>Schedule, Cost, Quality</td>
</tr>
</tbody>
</table>

6.6.2 METRICS LIBRARY

Metrics are reported in the weekly status report and during the bi-weekly Executive Steering Committee and logged/recorded on the SPO Web Based Project Share drive site.

6.7 QUALITY OBJECTIVES AND CONTROL

Quality Management includes the processes required to ensure that the project will satisfy the needs for which it was undertaken. It includes all activities of the overall management function that determine the quality policy, objectives, quality assurance, quality control, and quality improvement, within the quality system. If a separate Quality Plan is used, include a high level summary in this document and refer to the appropriate appendix.

6.7.1 QUALITY STANDARDS

Describe the agency, industry or regulatory project performance standards that will be followed and assessed by the project. These quality standards will be used to assess whether the quality objectives were achieved.

Identify each of the project quality standards that are directly related to the project and not to the performance of the actual product and/or service. For each quality standard, identify the tracking tool or measure such as number of project reviews or Project Status.

<table>
<thead>
<tr>
<th>No.</th>
<th>Quality Standard</th>
<th>Tracking Tool or Measure</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Project phase is completed by the established finish date.</td>
<td>• Project Schedule</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Project Status</td>
</tr>
<tr>
<td>2</td>
<td>Project is completed within budget.</td>
<td>• Project Charter</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Project Status</td>
</tr>
<tr>
<td>3</td>
<td>Quarterly project reviews show contractors deliver requirements specified in the contract by due dates or pay penalties.</td>
<td>• Vendor Contract</td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Final Customer Acceptance</td>
</tr>
<tr>
<td>4</td>
<td>Project issues are resolved and documented within 10 calendar days of identification or extensions are justified.</td>
<td>• Issues Tracking</td>
</tr>
</tbody>
</table>
Project will be completed based on the original project scope and approved scope changes.

- Project Charter
- Project Plan
- Control Change Request

### 6.7.2 Project and Product Review and Assessments

<table>
<thead>
<tr>
<th>Review Type</th>
<th>Quality Standard</th>
<th>Reviewer</th>
<th>Reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requirements</td>
<td>Defined in SOW</td>
<td>PM and ESC</td>
<td>Weekly Status</td>
</tr>
<tr>
<td>Plans</td>
<td>Defined in SOW</td>
<td>PM and ESC</td>
<td>Weekly Status</td>
</tr>
<tr>
<td>Milestones</td>
<td>Defined in SOW</td>
<td>PM and ESC</td>
<td>Weekly Status</td>
</tr>
<tr>
<td>Testing</td>
<td>Defined in SOW</td>
<td>PM and ESC</td>
<td>Weekly Status</td>
</tr>
</tbody>
</table>

### 6.7.3 Agency/Customer Satisfaction

The project manager should assess the on-going sense of the customer agency about how they feel the project is going, and how team members are acting on the project. This feedback would be helpful to the success of the project and the professional growth of the project team members.

**Examples:**

<table>
<thead>
<tr>
<th>Areas of feedback</th>
<th>When</th>
<th>How Often</th>
</tr>
</thead>
<tbody>
<tr>
<td>Agency awareness</td>
<td>Business Owner Meetings</td>
<td>Monthly minimum or as needed</td>
</tr>
<tr>
<td>Quality of communications</td>
<td>ESC Steering committee meetings</td>
<td>Monthly minimum or as needed</td>
</tr>
<tr>
<td>Manages project tasks</td>
<td>ESC Steering committee meetings</td>
<td>Monthly minimum or as needed</td>
</tr>
<tr>
<td>Productive Meetings</td>
<td>ESC Steering committee meetings</td>
<td>Monthly minimum or as needed</td>
</tr>
</tbody>
</table>

### 6.7.4 Product Deliverable Acceptance Process

How the client takes procession of the product. Delivery of media; manuals; contracts; licenses; services agreements; configuration settings; status of patches to COTS products; in-house or vendor developed code; test cases, routines, and scripts; and other items required to operate the product.
### 6.8 CONFIGURATION MANAGEMENT

Configuration Management determines how project information (files, reports, designs, memos, documents, etc.) will be managed (tracked, approved, stored, secured, accessed, version control, etc.) and owned by (e.g., Agency managing the project or the Customer). Standards and team awareness are critical.

#### 6.8.1 VERSION CONTROL

SPO will implement a software solution to manage version controls for documentation and products. The software will secure documents and products for access by a single individual. The software will track usage, stalled workflow, and version. The proposed software will have the ability to also merge changes to a central repository.

#### 6.8.2 PROJECT REPOSITORY (PROJECT LIBRARY)

“Provide to the Department all project management and product deliverables. Deliverables shall include but not limited to the project plan, project schedule, initial and periodic risk assessments, quality strategies and plan, periodic project reports, requirements and design documents for entire project. The lead agency must make available all deliverables in a share drive repository with open access for the Department.

#### 6.9 PROCUREMENT MANAGEMENT PLAN

Projects often have some element of procurement, i.e. the requirement to purchase goods and/or services from outside the organization. The procedures to be used to handle these procurements should be included here. Activities such as a make-or-buy analysis; writing requirements; solicitation planning, evaluation and selection; inspection and acceptance; contract closeout should all be included.

The procurement process included:
- Complete requirements definition, business requirements, and procurement justification
- Complete Scope of Work
- Survey industry for best fit candidates to meet requirements
- From three top candidates, acquire three cost estimates.
- Complete analysis, present to ESC
- Receive ESC recommendation
- Follow SPD requirements for procurement

7.0 PROJECT CLOSE

Project Close will always consist of administrative project activities and possibly contractual project activities and an external vendor is employed. Completing both sets of activities is a mandatory step in the project life cycle. Administrative activities complete the internal needs for the Agency/Unit that is responsible for managing the project, such as lessons learned, recording the last hours against the project, and providing transition for the staff to other assignments. Contractual activities meet the contractual needs, such as executing a procurement audit and formal acceptance of the project work products.

7.1 ADMINISTRATIVE CLOSE

Administrative Close occurs at both the end of phase and end of project. This closure consists of verification that objectives and deliverables were met. Acceptance is formalized and phase activities are administratively closed out. Administrative closure occurs on a “by-phase” basis in accordance with the WBS and should not be delayed to project end. At that point, the burden of closing is too great and audits inaccurate. The specific project close activities for a given project are contingent on the project’s complexity and size. Project managers should work with the project’s project management consultant to tailored Project Close procedures to compliment the project’s objectives.

7.2 CONTRACT CLOSE

Contract close is similar to administrative close in that it involves product and process verification for contract close.
APPENDIX A – SPO PHASE 1-5 PROJECT TIMELINE

APPENDIX B – SPO DIGITIZATION PROJECT DEFINITIONS

"Administrator" means the state records administrator (Section 14-3-2 NMSA 1978).

"Agency" means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2 NMSA 1978).

“Application” means a software program designed for end user to do work, such as word processing, accounting, or illustrating. Software programs such as WordPerfect, Excel, and PowerPoint are examples of end user applications.

“Archives” Archives has three meanings:

1. Documents preserved because of their historical or informational value.
2. “Archives” means the building or part of a building where archival materials are located, also referred to as an archival repository.
3. The agency or program responsible for selecting, preserving, and making available archival material. Archives and Historical Services is a Division of the State Commission of Public Records (General Services Department). This Division is responsible for selecting, preserving, and making available permanent records, historical manuscripts, photographs and other materials that contribute to the understanding of New Mexico history.

“Audit” means a periodic examination of an organization to determine whether appropriate procedures and practices are followed.

“C-1” means a project request for a base budget

“C-2” is a single agency project request for funding

“C-3” is a multi-agency project request for funding

“COMMISSION OF PUBLIC RECORDS” means the governing body of the NM General Services Department

“Computer” This includes, but is not limited to, mainframe computers, minicomputers, and microcomputers, personal computers, portable computers, pocket computers, tablet computers, telephones capable of storing information, PDAs, and other devices.

“Content” is a metadata concept that encompasses document images, papers, books, maps, email, web sites, HTML, XML, photographs, forms, audio, video, text, and reports.
“Custodial agency” means the agency responsible for the maintenance, care, or keeping of public records, regardless of whether the records are in that agency’s actual physical custody and control.

“Data” is the plural for “datum” which means a single piece of information. Data refers to a collection of information, electronic or non-electronic. Data can also refer to raw facts, figures, or symbols.

“Database” means a collection of information stored in magnetic or hardcopy form (with or without any particular structure).

“Destruction” means the disposal of records of no further value by shredding, burial, incineration, pulping, electronic overwrite, or some other process, resulting in the obliteration of information contained on the record.

“Disposition” means final action that puts into effect the results of an appraisal decision for a series of records (i.e., transfer to archives or destruction).

“Electronic records” means records whose informational content has been encoded and recorded on a medium like magnetic tape, drums, discs, or punched paper tape and can be retrieved by finding aids known as software documentation. The encoded information is retrievable only with the help of a computer.

“Electronic records management” Records management technology enables an enterprise to assign a specific life cycle to individual pieces of corporate information. The information classified as records can come from many applications, including e-mail, Web pages, scanned documents, enterprise resource planning, homegrown applications, fax documents and paper. Some records management systems rely on Integrated Document Management systems to work while others can be used stand-alone.

“Enterprise Content Management (ECM)” is generally considered to be an amalgamation of a number of distinct but interrelated applications:

- Integrated Document Management (IDM)
- Web Content Management (WCM)
- Digital Asset Management (DAM)
- Enterprise Records & Retention Management (ERRM)
- Collaboration Content Management (CCM), Collaboration technology, a subset of SPO, is becoming increasingly important in organizations, allowing the participants in a business process to come together to optimize the process to mutual benefit. This brings partners, suppliers, customers and agencies together in a controlled way, manages, and leverages collaboration content such as discussion threads, voting results, and documents.

“Enterprise Records & Retention Management (ERRM)” is a process that monitors documents (for example, papers, books, maps, e-mail, Web site content, photographs and messages) throughout their life cycle; from the time they are created to the time they are destroyed. Records are documents used to maintain information created or received while conducting an organization’s activities. They are held for several reasons, including business continuity, legal or statutory requirements, or as permanent records of the enterprise. In many cases, ERRM is a mandatory program, and enterprises have no choice but to spend money to meet legal or regulatory requirements. Penalties for lack of compliance can range from censure to fines or, in extreme cases, to suspension of business activities. (From Gartner Research)

(Note: see also the definition for “Public Record,” and note the distinction for record destruction vs. record disposition.)

“Forms capture and processing” Forms-capture and forms-processing software apply recognition technologies such as OCR, ICR and bar code against an electronic document (such as scanned paper and electronic fax) to increase the data entry throughput with a lower labor component. In
the simplest case, a document is scanned, and key fields (for example, name, account number, age, purchase amount, tax owed) are recognized and translated, verified and passed to a database or line-of-business application. The leading forms processing and capture vendors are providing multichannel, multiprotocol (paper, Web, fax, e-mail) capture and export capabilities.

“General schedule” means a records retention and disposition schedule that specifies the disposition of support records common to many offices or agencies within government. See also: records retention and disposition schedule.

“Human readable form” means information that can be recognized and interpreted without the use of technology.

“Information system” means an electronic framework by which hardware and software resources are coordinated to manipulate and convert inputs into outputs in order to achieve the objective of an enterprise.

“Life cycle” means the life span of a record from its creation or receipt to its final disposition.

“Medium, media” means the physical material on which information can be recorded.

“Microforms” means microfilm media, including reels, fiche, jackets, and computer output microfilm (COM) containing micro images.

“NARA” – National Archives and Records Administration

“Network Attached Storage (NAS)” is a LAN-attached storage server with a small, optimized system software package dedicated to performing storage related tasks. It includes preconfigured disk capacity that can be quickly installed on popular network platforms. NAS provides this expanded capacity without sacrificing either file access speed or system throughput, which would be affected by network storage add-ons such as tape libraries, CD towers, or optical jukeboxes. Instead, NAS storage devices are usually magnetic disks or RAID arrays that provide seamless, high performance file access and filing by operating at full hard disk speed. And the cost in time, resources, and inconvenience is far less than that of increasing internal storage space within the server or implementing a SAN. (See Storage Area Network (SAN).)

“Non-record” means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity, and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts or other material summarized in final or other form and which have no value once action has been taken; blank

“Operating system,” means the master control software that runs a computer. When the computer is turned on, the operating system is the first program that gets loaded into the memory of the machine.

“Paper scanning, optical character recognition/intelligent character recognition (OCR/ICR) and imaging” One of the oldest Enterprise Content Management technologies, document imaging is more than 20 years old. It has evolved from proprietary stand-alone systems to standards-based applications. Imaging is used heavily in the financial service industries, banking and insurance. Government agencies are also heavy users of scanning technology. Because of its longevity, imaging technology has become highly commoditized and, therefore, presents a difficult market for stand-alone imaging vendors to succeed in. Imaging is now most often paired with integrated document management (IDM) solutions. Imaging applications are distinguished by their volume requirements. Although most imaging applications are more modest, high-volume scanning and imaging systems process more than 100,000 images per day.
“Pending litigation” means a proceeding in a court of law whose activity is in progress but not yet completed.

“Program” means a coded set of instructions, written by humans, that directs a computer’s functions. The program can be stored on disk (in which case the program is software) or in a chip (which is firmware).

“Public record” means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of the government, or because of the informational and historical value of data contained therein.

“Records custodian” means the statutory head of the agency or his or her designee.

“Records Liaison Officer (RLO)” means the individual in the custodial agency designated by the records custodian to cooperate with, assist, and advise the General Services Department in creating efficient and effective records management programs. The RLO in an agency is responsible for implementing the records retention and disposition schedules within his or her agency. The records liaison is also responsible for authorizing the storage and or destruction of his or her agency’s records.

“Records management” means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

“Records retention period” means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

“Records retention and disposition schedules,” means document that specifies actions for the retention and disposition of current, inactive, and non-current records series of an organization or agency.

“Records series” means file units, documents, or electronic records arranged according to a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or share some other relationship arising from their creation, receipt, or use.

“Storage” The State Commission of Public Records (SRCA) provides secure storage for in-active public records maintained by state agencies. The SRCA maintains two records center facilities; the Albuquerque facility has a storage capacity of 45,000 cubic feet and the records center in Santa Fe has a storage capacity of 75,000 cubic feet. The Record Center Services Bureau staff monitors and handles the transfer, receipt, storage, and withdrawal of in-active records housed in the record facilities for state agencies. When those records have met their legal retention, the staff executes the disposition of the records. The disposition would be one of two situations, 1) transfer to Archives or 2) destruction.

“Storage Area Network (SAN)” is a technology designed to overcome throughput and data-sharing issues that are common in existing data networks. SANs are fully scalable, fault-resilient shared data repositories providing unlimited mixing and matching of storage devices, storage space, and even files (under certain conditions) across the network. They are fast becoming the architecture of choice for centrally managed network storage tasks. SANs are high-speed, high-bandwidth I/O channels (usually Fiber Channel) that connect to the back end of local area network (LAN) servers. They remove cumbersome storage functions from the server, thus improving overall LAN and WAN performance. A typical SAN includes a blend of storage devices (such as automated tape libraries or RAID) capable of communicating with multiple hosts and with each other over a fast, fault-tolerant storage pipeline (the SAN). The SAN is actually a dedicated storage access I/O channel (containing network properties) optimized for handling storage tasks.
“Scheduling” means the action of establishing retention periods for records and providing for their proper disposition at the end of active use.

“Transfer” means moving inactive records to a records center or archives. Moving records into the state archives also includes the transfer of custody from the custodial agency to the state archives.

“TIFF” means tagged image file format, a standardized format for storage of digitalized images, which contains a header or tag that defines the exact data structure of the associated image.

“Vital records” means records essential to the continuing operation of an agency. They are either intrinsically irreplaceable or irreplaceable because copies do not have the same value as the originals. They are essential to the continuity of services during a disaster or to the restoration of daily business when it has been interrupted. They are the records that would be required to protect the legal and financial interests of an agency, preserve the rights of the people, and resume operations after a major disaster like fire or flood.

“Voice mail” means a telecommunication message that is digitized and can be stored and subsequently retrieved in audio or visual format.

“Website” means a presence on the internet or intranet containing information that represents an agency or presents information on specific subjects or allows transactions to be conducted through the use of links or web pages. A website is normally hosted and maintained by an agency or by another entity sharing internet resource or through an internet service provider.

“Work process management” - aka workflow, work management, process automation or e-process management software — is a tool for automating business processes and handling the interrelationships between the components of a business process, participants, procedures, information, tasks and management. Document-centric workflow was pioneered in the 1980s as a means of routing images of documents through a processing or approval cycle in an organization. The goal is to create an ideal document route through an enterprise, not simply to automate an established paper-based process.
APPENDIX C – SPO DIGITIZATION PROJECT ACRONYMS

BA – Business Analyst
BPR – Business Process Re-engineering
CAO – Chief Administrative Officer
CERR – Centralized Electronic Records Repository
CIO – Chief Information Officer
DFA – Department of Finance and Administration
DoIT – Department of Information Technology
ESC – Executive Steering Committee
IDEAL – SPO Legacy Insurance System
IT – Information Technology
NAIC – National Association of Insurance Commissioners
SPO – Office of Superintendent of Insurance
PCC – Project Certification Committee
PM – Project Manager
PMBOK – Project Management Book of Knowledge
PMI – Project Management Institute
PRC – Public Regulation Commission
RFP – Request for proposal
SBS – State Based System
WBS – Work breakdown structure
APPENDIX D - PROJECT MANAGEMENT DEFINITIONS

Below is a list of project management terms. These definitions were supplied by the NM Department of Information Technology office.

Acceptance Criteria
The criteria that a system or component must satisfy in order to be accepted by a user, customer, or other authorized entity. [IEEE-STD-610]

Acceptance Testing
Formal testing conducted to determine whether or not a system satisfies its acceptance criteria and to enable the customer to determine whether or not to accept the system. [IEEE-STD-610]

Assumptions
Planning factors that for planning purposes, will be considered true, real, or certain. Assumptions generally involve a degree of risk. They may be documented here, or converted to formal risks.

Baseline
A specification or product that has been formally reviewed and agreed upon that thereafter serves as the basis for further development, and that can be changed only through formal change control procedures. [IEEE-STD-610]

Commitment
A commitment is a pact that is freely assumed, visible, and expected to be kept by all parties.

Configuration Management (CM)
A discipline applying technical and administrative direction and surveillance to identify and document the functional and physical characteristics of a configuration item, control changes to those characteristics, record and report change processing and implementation status, and verify compliance with specified requirements. [IEEE-STD-610]

Configuration Management Library System
These are the tools and procedures needed to access the contents of the software baseline library.

Constraints
Factors that will (or do) limit the project management team’s options. Contract provisions will generally be considered constraints.

Contingency Planning
Contingency Planning is the development of a management plan that identifies alternative strategies to be used to ensure project success, if specified risk events occur.

Crashing
Crashing is taking action to decrease the total duration after analyzing a number of alternatives to determine how to get the maximum duration compression for the least cost.
Critical Path

Critical Path is a series of activities that determines the duration of the project. The critical path usually defined as those activities with float less than or equal to specified value often zero. It is the longest path through the project.

Dependencies, Discretionary

Dependencies defined by the project management team. They should be used with care and usually revolve around current Best Practices in a particular application area. They are sometimes referred to as soft logic, preferred logic, or preferential logic. This may also encompass particular approaches because a specific sequence of activities is preferred, but not mandatory in the project life cycle.

Dependencies, Mandatory

Dependencies inherent to the work being done. In some cases, they are referred to as hard logic.

Dependency Item

A product, action, piece of information, etc., that must be provided by one individual or group to a second individual or group so they can perform a planned task.

Deliverable

Any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part of a project that is subject to approval by the project sponsor or customer.

Duration

The number of work periods (not including holidays or other nonworking periods) required to complete an activity or other project element.

Duration Compression

Shortening the project schedule without reducing the project scope. Often increases the project cost.

End User

The individual or group who will use the system for its intended operational use when it is deployed in its environment.

Effort

The number of labor units required to complete an activity or other project element, usually expressed as staff hours, staff days, or staff weeks.

Fast Tracking

Compressing the project schedule by overlapping activities that would normally be done in sequence, such as design and construction.

Float

The amount of time that an activity may be delayed from its early start without delaying the project finished date.
Formal Review
A formal meeting at which a product is presented to the end user, customer, or other interested parties for comment and approval. It can also be a review of the management and technical activities and of the progress of the project.

Integrated Project Plan
A plan created by the project manager reflecting all approved projects and sub-projects.

Lessons Learned
The learning gained from the process of performing the project. Lessons learned may be identified at any point during the execution of the project.

Method
Method is a reasonably complete set of rules and criteria that establish a precise and repeatable way of performing a task and arriving at a desired result.

Methodology
A collection of methods, procedures, and standards that defines an integrated synthesis of engineering approaches to the development of a product.

Milestone
A scheduled event for which some individual is accountable and that is used to measure progress.

Non-technical Requirements
Agreements, conditions, and/or contractual terms that affect and determine the management activities of an architectural and software project.

Performance Reporting
Collecting and disseminating performance information. This includes status reporting measurement, and forecasting.

Procurement Planning
Determining what to procure and when.

Product Scope
The features and functions that characterize a product or service.

Project Leader (Technical)
The leader of a technical team for a specific task, who has technical responsibility and provides technical direction to the staff working on the task.

Project Management
The application of knowledge, skills, tools, and techniques to project activities to meet the project requirements. Project Management is also responsible for the oversight of the development and delivery of the architecture and software project.
Program
A group of related projects managed in a coordinated way. Programs include an element of ongoing work.

Program Management Office
An organizational entity responsible for management and oversight of the organization’s projects. As a specific reference in this document, the Office of the Chief Information Officer.

Project Manager
The role with total business responsibility for an entire project. The individual who directs, controls, administers, and regulates a project. The project manager is the individual ultimately responsible to the customer.

Project Charter
A document issued by senior management that formally authorizes the existence of a project. It provides the project manager with the authority to apply organizational resources to project activities.

Project Management Plan
A formal, approved document used to guide both project execution and project control. The primary uses of the project plan are to document planning assumptions and decisions, facilitate communication among stakeholders, and documents approved scope, cost, and schedule baselines. The Project Management Plan (PMP) is a project plan.

Project Schedule
A tool used to indicate the planned dates, dependencies, and assigned resources for performing activities and for meeting milestones. Software products such as ABT’s Workbench and Microsoft Project are tools used to develop project schedules.

Project Scope
The work that must be done to deliver a product with the specified features and functions.

Project Sponsor
The individual that provides the primary sponsorship for an approved project. This individual will play a key role in securing funding, negotiating for resources, facilitating resolution of critical organizational issues, and approving key project deliverables.

Quality
The degree to which a system, component, or process meets specified requirements.
The degree to which a system, component, or process meets customer or user needs or expectations. [IEEE-STD-610]

Quality Management
The process of monitoring specific project results to determine if they comply with relevant standards and identifying ways to eliminate causes of product non-compliance.
**Risk**
Possibility of suffering loss.

**Risk Management**
An approach to problem analysis, which weighs risk in a situation by using risk probabilities to give a more accurate understanding of the risks involved. Risk Management includes risk identification, analysis, prioritization, and control. Risk mitigation seeks to reduce the probability and/or impact of a risk to below an acceptable threshold.

**Risk Management Plan**
The collection of plans that describes the Risk Management activities to be performed on a project.

**Scope Change**
Any change to the project scope. A scope change almost always requires an adjustment to the project cost or schedule.

**Software Life Cycle**
The period of time that begins when a software product is conceived and ends when the software is no longer available for use. The Software Life Cycle typically includes a concept phase, requirements phase, design phase, implementation phase, test phase, installation, and checkout phase, operation and maintenance phase, and, sometimes, retirement phase.

**Stakeholder**
Individuals and organizations that are actively involved in the project, or whose interests may be positively or negatively affected as a result of project execution or project completion. They may also exert influence over the project and its results.
APPENDIX E – WORK BREAKDOWN STRUCTURE

SPO Digitization Project
Work Breakdown Structure

SPO Project

- Project Management
  - Planning
    - Project Charter
    - Needs Assessment
    - Project Control Plans
    - Scope Document
    - WBS
    - Project Schedule
    - Software Selection Criteria Checklist
    - Project Manual Document
  - Communication
    - Communication Plan
    - Weekly ESC Meetings
    - Weekly ESC Status Reports
    - Monthly DoIT Status Report
    - Weekly ESC Meeting Agenda & Notes
    - All Project notices to OSI and Vendor as needed
  - Resource Management
    - Software Vendor PO
    - Software Configuration Vendor Contract
    - IV&V Contract
    - HW, SW PO’s
  - Funding
    - Budget Report
      - Certified funds
      - HW & SW
      - Professional Services
      - PCC Certification
      - Implementation Report
      - Implementation Certification
      - Close-out Certification
  - Control
    - Project Manual Document
    - Risk Management Plan
    - Issue Management Plan
    - Quality Control Plan
    - Communication Plan
    - Change Control Plan
    - Budget
    - DoIT HW exception
    - TAHIC approval
    - PCC Initiation Certification
    - PCC Planning Certification
    - PCC Implementation Certification
    - PCC Close Out Certification

- Supporting Organizational Infrastructure
- Business Process Reengineering
- Professional Services
- PCC Certification
- Implementation Report
- Implementation Certification
- Close-out Certification

Risk Management
- Risk Management Plan
- Mitigation Plans
- Contingency Plans
- IV&V Reports
What are the steps to improve the process?
Generate Solution Ideas
Determine Solution Impacts - Benefits
Evaluate & Select Solutions
Design "TO-BE" process map
Update policy & procedure manuals
Develop & present Storyboard
Communicate Solutions to all Stakeholders
Develop Pilot Plan & Pilot Solution

How might we improve our day to day process?
Define Scope and Boundaries
Define Issues and Solutions
Team Charter and Champion
Estimate BPR Impact
Create "AS-IS" process map
Identify "Quick Hits" solutions

How do we guarantee performance?
Verify Improvement Resulted from Solution
Identify whether additional solutions are needed to achieve goal
Identify & Develop Standardization & Replication Opportunities
Integrate and Manage Solutions integration into daily work processes
Integrate Lessons Learned
Identify teams next steps and plans for remaining opportunities

Define
- How might we improve our day to day process?
- Define Scope and Boundaries
- Define Issues and Solutions
- Team Charter and Champion
- Estimate BPR Impact
- Create "AS-IS" process map
- Identify "Quick Hits" solutions

Measure
- How can we gather performance measurements for our day to day process now?
- Identify Input, Process & Outputs
- Define Operational Vision
- Develop Measurement Plan
- Collect Baseline Measurement Data
- Collect current policy & procedure manuals
- Detail "AS-IS" process map

Analyze
- What are the methods to separate the whole into component parts?
- Stratify Process
- Stratify Data & Identify specific problems
- Identify Root Causes
- Validate Root Causes
- Comparative Analysis
- Regression Analysis
- Design of Experiments
- Refine SWOTI Analysis

Improve
- What are the steps to improve the process?
- Generate Solution Ideas
- Determine Solution Impacts - Benefits
- Evaluate & Select Solutions
- Design "TO-BE" process map
- Update policy & procedure manuals
- Develop & present Storyboard
- Communicate Solutions to all Stakeholders
- Develop Pilot Plan & Pilot Solution

Control
- How do we guarantee performance?
- Verify Improvement Resulted from Solution
- Identify whether additional solutions are needed to achieve goal
- Identify & Develop Standardization & Replication Opportunities
- Integrate and Manage Solutions into daily work processes
- Integrate Lessons Learned
- Identify teams next steps and plans for remaining opportunities
SPO Digitization Project
Work Breakdown Structure

Project Management
Application & Technology Infrastructure
Business Process Reengineering
Implementation
Supporting Organizational Infrastructure

Implementation Plan for Reengineered Business Processes
Training
System Integration
Content Security
Content Migration
Development & Implementation

GSD RMD Release 1.0
- Functional Design
- Technical Design
- Build
- Unit & System Testing
- Integration Test
- User Acceptance Testing

Training Plan
- Training Documents
  - User Manuals
  - Quick Reference Guides

System Integration Plans
- Functional Interface Requirements
- Technical Interface Requirements
- Interface Development
- Unit & System Testing
- Integration Testing
- User Acceptance Testing

Activate Security features for content
Test Security

Content Migration Plans
- Cost/Benefit for Imaging for "backlog" documents
- Identify EDMS export / import criteria

Activate Security
Test Security
Content Security

Implementation Plan for Reengineered Business Processes
Training
System Integration
Content Security
Content Migration
Development & Implementation

GSD RMD Release 1.0
- Functional Design
- Technical Design
- Build
- Unit & System Testing
- Integration Test
- User Acceptance Testing

Activate Security
Test Security
Content Security
This is an organizational infrastructure to support the SPO project after the initial Implementation Project ends.

- SRCA
  - Communication of updated information regarding statute changes
- SPO
  - Trained Bureau End Users
  - Trained eDocket End-Users
  - Trained Legal End Users
  - Trained IT staff