**State of New Mexico**

**Human Services Department**

****

**Child Support Enforcement Division**

**And**

**Information Technology Division**

**Planning**

**Advance Planning Document**

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# EXECUTIVE SUMMARY

## Introduction

This Planning Advance Planning Document (PAPD) provides an updated plan on the New Mexico (NM) Human Services Department (HSD) Child Support Enforcement System Replacement (CSESR) project and outlines the budgeted needs for State Fiscal Years (SFY) 2022 & 2023. The goal of the CSESR project is to improve Child Support Enforcement performance in accordance with the Office of Child Support Enforcement (OCSE) outlined measures. While improving performance measures, the State’s aim is to also improve the sustainability, maintainability, data quality, and efficiency of the CSES.

HSD has made the decision to pursue the procurement of a Project Management Office (PMO) staffed by an experienced contractor to oversee the second phase of CSES replacement. The PMO will assist HSD with creating, maintaining, and executing project management plans, updating and creating advanced planning documents, helping to identify a preferred solution for CSES replacement, developing a request for proposals towards contracting a Design, Development & Implementation (DDI) vendor, and managing the Development Phase of the project through final acceptance and go live.

HSD is providing a draft of a Request for Qualifications (RFQ) for a PMO contract along with this PAPD for OCSE review and approval. An Independent Verification & Validation (IV&V) procurement and contract will follow for the required oversight of the project

Upon completing an approved contract with a PMO contractor, HSD will move towards defining a preferred solution that will be targeted to cost less than $50 million. HSD has conducted research within the broad child support enforcement systems market and has found new attractive solutions implemented by other states at or below our $50 million estimate.

The preferred solution will help define a request for proposal (RFP) for a DDI contractor to implement the new solution by a development contractor. The RFP will be followed by a selection process, draft contract, and review and approval of the contract by OCSE and the State of New Mexico.

Problem Statement

The current CSES user interface is a “green screen” for reading and entering text data only. It is not capable of integration with other HSD systems and currently requires a waiver from the IRS to allow for a data architecture that comingles Federal Tax Information (FTI) data with other CSES data.

The new CSES Replacement will achieve several primary objectives of HSD and CSED, including:

* Replace the current monolithic system with a modular system capable of integration with other major HSD systems including the state’s Medicaid Management Information System (MMIS), Automated System Program and Eligibility Network (ASPEN) and HSD Unified Portal. Additionally, the replaced CSES will be able to integrate to HSD shared services such as Electronic Content Management (ECM), New Mexico Courts and HSD reporting, as well as integrating automation services for court filings.
* Replace the current data architecture that comingles Federal Tax Information (FTI) data, currently requiring a waiver from the Internal Revenue Service.
* Replace the green screen interface with a modern graphical user interface. HSD anticipates using a Software as a Service (SaaS) for this interface.

## Background

Some of the key milestones for the CSESR project, which have been completed during the past 2 years, include:

* Completion of the first phase of CSES replacement by refactoring and replatforming the mainframe hosted code to a Java codebase and cloud environment.
* Adoption of an Electronic Content Management (ECM) system for converting paper files to digitally accessible files through an Enterprise ECM system. The rollout of the ECM system across 14 state CSED offices and the central CSED office is in progress.

# PROJECT STATUS REPORT

## CSES Refactor – Online CSES

The CSES Refactor Project went live on Feb 21, 2022. This project moved the CSES code from COBOL to Java and moved the CSES platform from a mainframe computer to a cloud hosted environment hosted by Amazon Web Services (AWS). The project and launch of CSES Refactor into production has been a success and HSD has now completed an Operations and Maintenance (O&M) contract with Deloitte LLC for augmenting the current HSD internal CSES Development team.

The CSES Refactor development project, prior to going live, included an extensive Business Continuity (BC) and Disaster Recovery (DR) exercise, as well as an internal Security review. Going forward, annual DR exercises will occur and an external security assessment including a penetration test was completed. Results from the external security assessment have been forwarded to OCSE for review.

## Project Management Office

The next step to the CSES Replacement project is to establish a contract with a vendor to meet the obligations of a Project Management Office (PMO) for managing the remainder of the project through its conclusion. The PMO will be responsible for the following:

* Create and execute Project Management Plans in the areas of requirements, risk & issue management, schedule management, and change, quality & communications management.
* Update New Mexico CSES functional requirements based on CSED business needs.
* Update Advanced Planning Documents (APD) and other required New Mexico state and Federal required documents.
* Create a Recommended Solution for CSES Replacement including requirements, a business case, and alternatives, cost and benefits analyses.
* Create an Implementation APD.
* Develop Request for Proposals (RFP) for the Design, Development & Implementation (DDI), Quality Assurance Services and Training Services of the Recommended CSES Replacement.
* Manage the DDI project of the CSES Replacement solution from contracting through final acceptance and go live.

Separate deliverables for each of the above items will be detailed in a PMO contract.

HSD is planning to select a qualified PMO contractor from the New Mexico statewide pricing agreement (SPA). HSD is planning to use a Request for Quotes (RFQ) to solicit proposals from the SPA.

Once the RFQ is reviewed and approved by the Office of Child Support Enforcement (OCSE), HSD will issue the RFQ to the contractor community to solicit quotes. After a thorough selection process, HSD will select the contractor that gives the best value to the State of New Mexico. Once contract negotiations are complete and a contract is drafted, HSD will submit the final contract to OCSE for review and approval. The anticipated date by which HSD will submit a completed PMO contract is January 2023.

## Independent Verification and Validation procurement

In parallel with procuring Project Management Office services, HSD will pursue procurement of a contractor to provide Independent Verification and Validation (IV&V) services. This contractor will provide reviews of project documents and provide advice to the project team. Additionally, IV&V will report directly to OCSE, the New Mexico Department of Information Technology (DoIT), and the HSD project executive team on the status of the project. This procurement is targeted for completion soon after the onboarding of the PMO.

## Feasibility Study

HSD submitted a feasibility study for this project in 2017 that required substantial revisions after OCSE review. Due to resource constraints, we were not able to respond to the OCSE review and address all issues listed in the review. Since that time, OCSE has streamlined the feasibility study requirements.

HSD’s current plans are to comply with the streamlined feasibility study guidelines by identifying the status of NM CSES, statement of need/problem, desired benefits and system objectives, requirements analysis, alternatives analysis, cost and benefits analysis, risk assessment, and preferred alternative which will be supported by the analyses and yield a preferred solution. HSD’s intention is to ensure we leverage our recently replatformed/refactored system where appropriate, based on the analysis done during the streamlined feasibility study. HSD will then proceed with procurements to implement the preferred solution. The anticipated date at which the preferred solution is fully defined is targeted to occur by April 2023.

## Request for Proposal

HSD and the PMO contractor will begin work toward development of the CSESR request for proposals (RFP), based upon the preferred solution. Activities to be performed include: finalizing acquisition approach and timeline, definition of additional types of requirements as needed to support procurement(s), and beginning development of RFP content. The procurements will include a DDI contractor and any necessary subcontractors for implementing the replacement system. The DDI RFP will include:

* Business, Functional and Technical requirements
* Requirements Traceability Matrix
* Project Testing Plan
* Draft Contract, including proposed deliverables

The completed draft RFP’s will be submitted to OCSE for review and approval. Once approved, the RFP will be released to the systems development community of contractors in the hopes of receiving multiple competitive proposals for design, development and implementation of the CSES Replacement preferred solution. The anticipated completion and submission of the DDI RFP’s to OCSE is targeted to occur by October 2023.

## Implementation Advanced Planning Document

Once HSD finalizes the preferred solution for CSES Replacement, and obtains OCSE approval of a feasibility study, if necessary, HSD with the help of the PMO contractor will develop and draft an Implementation Advanced Planning Document (IAPD). The IAPD will include:

* Business requirements
* Gap Analysis
* Solution Architecture
* Conceptual System Design
* Implementation Budget

The anticipated completion and submission of the IAPD to OCSE is targeted to occur by October 2023 and will be submitted together with the DDI RFP’s.

# PROJECT MANAGEMENT PLAN

HSD’s ongoing Medicaid Management Information System Replacement (MMISR) project has created an overall Project Management Plan (PMP), Risk & Issues Management Plan, Change Control Plan and Roles and Responsibilities Matrix. These plans will be modified and updated by the PMO, once they are on board, and be used to manage the CSES Replacement project.

## Project Plans and Tools

HSD has implemented tools for managing the CSES Replacement project. SharePoint is used as the project document library. Jira and JAMA are used as the requirements and testing tool. Microsoft Project Online is used as the repository for all project schedules. All of these tools have been implemented and used throughout the two-year duration of the just completed CSES Refactor project and will continue to be used during the Replacement project.

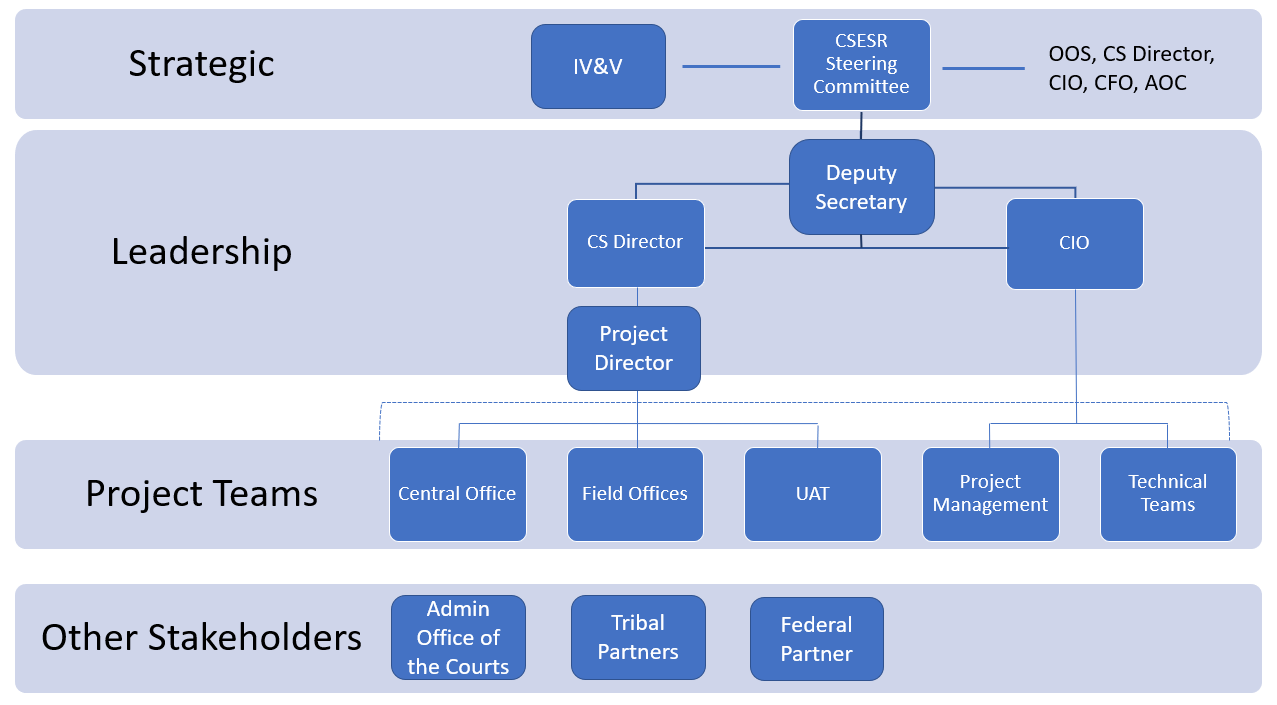
## CSES Replacement Governance

HSD has committed staff from Child Support Enforcement Division (CSED) and from the Information Technology Division (ITD), complemented by contractors in specified roles, to support this project.

Estimated staff costs of the combined CSED and ITD is $6.4M.

Figure 3.1 shows the organizational structure for the CSESR project.

Figure 3.1 Organizational Structure for the CSESR project



The project Governance is directed by an Executive Steering Committee (ESC) which meets monthly to oversee and give guidance to the project. The ESC is led by HSD Deputy Secretary Kari Armijo, ITD CIO Sean Pearson and CSED Acting Director Betina McCracken and is authorized to make executive decisions required by the project. Table 3.1, below, shows personnel already assigned to the project and those still to be determined.

Table 3.1 Executive Steering Committee

|  |  |
| --- | --- |
| **Executive Steering Committee (Voting Members)** | |
| **Name** | **Title / Role** |
| Kari Armijo | Deputy Secretary |
| Sean Pearson | Chief Information Officer |
| Betina McCracken | Acting Director |
| Carlos Moya | Project Director |

Table 3.2 Key Personnel

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Team/Key Personnel** | | | |
| **Name** | **Title / Role** | **Job Description** | **Lead Planning Responsibility** |
| Carlos Moya | Project Director | Makes strategic decisions and provides leadership and direction to project manager and project team | Reviews the critical path, dependencies, monitors project progress, oversees finance and project quality |
| David Martell | IT Project Manager | Manages all aspects of the project, set deadlines, assign responsibilities, monitors, and summarizes progress | Plans and develops the project, manages timelines, evaluates project performance, and solves issues |
| Patrick Durkin | ITD System Admin Bureau Chief | Oversees Sys Admin personnel responsible for network & system design and changes. | Reviews all network and environment plans and changes. Assigns personnel to tasks. |
| Lisa Jaramillo | CSES Technical Lead | Oversees CSES development team. | Reviews requirements and design of new system. |
| Jeff Creecy | CSED Programs – UAT Lead | Manages CSED programs and how they interrelate with CSESR | Reviews requirements and design of new system. |
| To be determined | CSED Field Lead | Manages CSED Field office and acts as SME for CSESR | Reviews requirements and design of new system. |
| To be determined | CSED Business Project Lead | Manages IV-D efforts during CSESR project | Reviews requirements and design of new system. |
| To be determined | Contract Manager | Manages execution of CSESR contracts | Reviews all financial and contractual documents from the project |

# PROJECT SCHEDULE

A detailed project schedule is included in Appendix C. Note the dates are subject to change through the planning phase. Also, following the schedule is a Gantt chart depicting the project schedule from 2020 through 2026.

# BUDGETS AND ESTIMATED FUNDING

## CSESR Planning Budget and Funding Estimates

The New Mexico Legislature has appropriated $4.88 million for State Fiscal Year (SFY) 2023, with an anticipated federal match of $9.46 million. The New Mexico Governor signed and approved these funds on March 9, 2022.

The tables below describe funding request by Federal Partners and budget estimates for the planning phase for State Fiscal Years (SFY) 2023 and 2024:

Table 5.1 Funding Request by Federal Partners

|  |  |  |  |
| --- | --- | --- | --- |
| Funding Source | **SFY 2023** | **SFY 2024** | **Total** |
| **OCSE** | $ 1,282,522 | $ 1,367,263 | $ 2,649,785 |
| **State General Fund** | $ 660,693 | $ 704,348 | $ 1,365,041 |
| **Grand Total** | **$ 1,943,215** | **$ 2,071,611** | **$** **4,014,826** |

Table 5.1.1 Projected Planning Budget for SFY23 by Quarter



Table 5.1.2 Projected Planning Budget for SFY24 by Quarter



## CSESR Total Project Budget and Funding Estimates

Note: Estimates and Projections used are subject to change through Planning Stage.

Table 5.2 CSESR Total Project Budget and Funding Estimates

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Category** | **Estimated Budget**  **SFY 2023** | **Estimated Budget**  **SFY 2024** | **Estimated Budget**  **SFY 2025** | **Estimated Budget**  **SFY 2026** | **Total** | **Federal**  **Share**  **of Total** | **State**  **Share**  **of Total** |
| Planning | $ 1,943,215 | $ 2,071,611 | $     0 | $     0 | $   4,014,826 | $ 2,649,785 | $ 1,365,041 |
| Implement | $ 0 | $ 10,031,877 | $ 21,387,951 | $ 20,964,547 | $ 52,384,375 | $ 34,573,688 | $ 17,810,687 |
| **Grand Total** | **$ 1,943,215** | $ **12,103,488** | **$ 21,387,951** | **$ 20,964,547** | **$ 56,399,201** | **$ 37,223,473** | **$ 19,175,728** |

* State Staff is based on cost allocations for the key personnel identified in Section 3 of this document. However, these are estimates and additional staff will be added as required through the project.

Additionally, the State expects to request State appropriations and Federal match for State Fiscal Year Budgets 2025 and 2026, as summarized in the table above. The budget for the CSES Replacement project will be managed separately from the ongoing OAPD costs.

# State Project Certification Committee (PCC)

The State Project Certification Committee (PCC) consists of designated members from several state agencies, including the NM Department of Information Technology (DoIT), the Department of Finance and Administration (DFA), and the Legislative Finance Committee (LFC), among others. The Committee is responsible for oversight of IT projects that require a review and approval process in order for IT project funds to be released. IT projects that must go through the PCC process include:

* Projects funded by appropriations or grants
* Projects in excess of $100,000
* Projects deemed appropriate by the Secretary of DoIT

Certified projects must pass four phase gates:

* Initiation Phase
* Planning Phase
* Implementation Phase
* Closeout

Projects that have architecture changes are required to present documentation a Technical Architecture Review Committee (TARC) to ensure compliance with State standards and guidelines. CSES Refactor architecture was submitted to TARC and approved on January 28, 2022. CSES Replacement architecture will be similarly submitted to TARC at the same time the IAPD is submitted to OCSE for approval.

## Planned Procurement of other Contract Support Services

As outlined above, HSD anticipates procuring services of an Independent Verification and Validation (IV&V) contractor in early 2023 to assist in oversight of the planning phase. The project may also include one or more other procurements such as subscriptions to cloud environment infrastructure and/or software as a service.

## Quality Assurance Procurement

In order to provide independent oversight of the CSES Replacement project, CSED proposes to acquire a Quality Assurance provider to ensure the correct technical implementation of the selected functions. CSED will develop in collaboration with the PMO vendor an RFP and conduct a procurement process in accordance with State and Federal guidelines.

# PAPD Summary

New Mexico HSD focused on completing the first stage of the CSES Replacement project which involved refactoring CSES. With this stage complete, HSD is ready to move forward to complete the planning stage of CSES Replacement in State Fiscal Years 2023 and 2024 and move toward implementation of the project including the submission of an Implementation Advanced Planning Document (IAPD) in SFY 24.

In summary, the projected request for funding of CSES Replacement project for SFY 23 and SFY 24 Planning Activities is $4,014,826, of which 34% ($1,365,041) will be funded by the State of New Mexico and 66% ($2,649,785) will be funded by OCSE.

# Appendix A - CSESR NM Project Certification & TARC approval





# Appendix B - Glossary of Acronyms

|  |  |
| --- | --- |
| **Acronym** | **Description** |
| APDU | Advance Planning Document Annual Updates |
| ASD | Administrative Services Division |
| ASPEN | Automated System Program and Eligibility Network (NM IV-A Program System) |
| BHSD | Behavioral Health Services Division |
| BRD | Business Requirements Document |
| CBA | Cost Benefit Analysis |
| CFO | Chief Financial Officer |
| CIO | Chief Information Officer |
| CMS | Centers for Medicare & Medicaid Services |
| COBOL | Common Business Oriented Language |
| COTS | Commercial Off The Shelf |
| CSED | Child Support Enforcement Division |
| CSES | Child Support Enforcement System |
| CSESR | Child Support Enforcement System Replacement |
| DBA | Data Base Administrator |
| DoIT | Department of Information Technology |
| EFT | Electronic Funds Transfer |
| FFP | Federal Financial Participation |
| FFY | Federal Fiscal Year |
| GUI | Graphical User Interface |
| HSD | Human Services Department |
| HSD-ITD | Human Services Department Information Technology Division |
| IAPD | Implementation Advance Planning Document |
| ISD | Income Support Division |
| IT | Information Technology |
| ITD | Information Technology Division |
| IV&V | Independent Verification and Validation |
| MAD | Medical Assistance Division |
| MMIS | Medicaid Management Information System |
| MMISR | Medicaid Management Information System Replacement |
| NHSIA | National Human Services Interoperability Architecture |
| NM | New Mexico |
| OCSE | Office of Child Support Enforcement |
| PAPD | Planning Advance Planning Document |
| PCC | Project Certification Committee |
| PMO | Project Management Office |
| PMP | Project Management Plan |
| QA | Quality Assurance |
| SDU | State Disbursement Unit |
| SFY | State Fiscal Year |
| SME | Subject Matter Expert |
| TBD | To Be Determined |

# Appendix C- Project Schedule

**CSESR Implementation Timeline**

