

TITLE 1 GENERAL GOVERNMENT ADMINISTRATION
CHAPTER 12 INFORMATION TECHNOLOGY
PART 9 PROJECT CERTIFICATION OF TECHNOLOGY PROJECTS

1.12.9.1 ISSUING AGENCY. Information Technology Commission.
[1.12.9.1 NMAC - N, 10/17/2005]

1.12.9.2 SCOPE. This rule applies to certification of all information technology projects or programs undertaken by executive agencies.
[1.12.9.2 NMAC - N, 10/17/2005]

1.12.9.3 STATUTORY AUTHORITY. Sections 15-1C-5 and 15-1C-8 NMSA, 1978.
[1.12.9.3 NMAC - N, 10/17/2005]

1.12.9.4 DURATION. Permanent.
[1.12.9.4 NMAC - N, 10/17/2005]

1.12.9.5 EFFECTIVE DATE. October 17, 2005, unless a later date is cited at the end of a section.
[1.12.9.5 NMAC - N, 10/17/2005]

1.12.9.6 OBJECTIVE. The purpose of this rule is to set forth executive agency information technology project certification responsibilities.
[1.12.9.6 NMAC - N, 10/17/2005]

1.12.9.7 DEFINITIONS.

A. "Agency" means a state organizational entity of the executive branch, used interchangeably with department.

B. "Certification" means a process that releases project funds. The ITC certifies projects except as otherwise provided for in Section 1.12.9.10(c). The PCC is the subcommittee charged with making recommendations for certification to the ITC.

C. "Emergency condition" is a situation that creates a threat to public health, welfare, safety or property such as may arise by reason of floods, epidemics, riots, equipment failures or similar events. The existence of the emergency condition creates an immediate and serious need for services, construction or items of tangible personal property that cannot be met through normal procurement methods and the lack of which would seriously threaten the:

- (1) functioning of government;
- (2) preservation or protection of property; or
- (3) health or safety of any person.

D. "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.

E. "Information technology project" means the development, purchase, replacement, or modification of a hardware or software system.

F. "ITC" means information technology commission.

G. "Mission critical" means a system (either hardware or software) that is pivotal to supporting the mission of the agency and without which the agency would have difficulty providing key business services.

H. "PCC" means project certification committee a subcommittee of the ITC.

I. "Project costs" means all hardware, software, development, testing and training expenditures, both planned and actual.

J. "Project lifecycle" means the period of time commencing with conception of an information technology project and culminating with the acceptance and operation of products produced by the project.

K. "Program" means a group of related projects managed in a coordinated manner.

L. "Qualified" means demonstrated experience successfully managing information technology projects.

M. "Quality" means the degree to which a system, system component, or process meets specified requirements, customer needs, and user expectations.

N. "Quality assurance" means a planned and systematic pattern of all actions necessary to provide adequate confidence that a product or system component conforms to established requirements.

O. "Strategy" means a plan of action for achieving a goal.

P. "Validation" means ensuring a system meets documented performance outcomes and requirements of the project.

Q. "Verification" means application of an appropriate test yielding documentable, measurable evidence that ensures a process executed or the technical system developed produces required performance outcomes.

[1.12.9.7 NMAC - N, 10/17/2005]

1.12.9.8 RESPONSIBILITIES OF THE PCC. The PCC is a subcommittee of the ITC and shall perform the following responsibilities.

A. Have the authority to recommend certification of information technology projects that meet one or more of the following:

- (1) mission criticality;
- (2) project cost equal to or exceeding \$1,000,000;
- (3) impact to customer on-line access; or
- (4) projects the committee deems appropriate.

B. Develop procedural requirements on how to recommend certification or to recertify projects, including documentation requirements, meeting specifics, timelines and support services. The PCC shall convene at the call of the chair, but at least monthly to consider agency projects for certification.

C. Report certification recommendations to the ITC.

D. Review and comment on agency information technology project's consolidation efforts and opportunities.

[1.12.9.8 NMAC - N, 10/17/2005]

1.12.9.9 PCC MEMBERSHIP.

A. The PCC shall consist of members of the ITC appointed by the ITC chair.

B. The ITC chair shall appoint the chair of the PCC.

C. The PCC will select a vice chair from its membership.

[1.12.9.9 NMAC - N, 10/17/2005]

1.12.9.10 CERTIFICATION PROCESS.

A. PCC certification generally. At a minimum, project certification shall be required at a project's initiation, during its implementation and closeout. The PCC may require additional certification phases, events or deliverables based on the progress, complexity, risk or size of the project. Project certification shall be required before funds can be released for any of the above certification phases. Regarding phased release of funds, project managers shall present the distinct components of a phased approach, with approval of what constitutes appropriate phases for a particular project to then be approved or modified by the office and the PCC.

B. Agency request. A report by the agency requesting approval of a project requiring certification must be submitted in writing for all certification phases specified by the PCC. The PCC shall determine the components of the reports and criteria for issuing certification.

C. Verification. The PCC shall verify that the project has been reviewed by the architectural committee and the office as appropriate.

D. PCC recommendation. The PCC shall make a recommendation to the ITC to issue or deny project certification or may provide contingent certification subject to the agency providing specific information. The PCC shall notify the agency submitting the project in writing of its decision. In the case of recommendation for denial of the project for certification, the PCC will cite the reasons for its decision and the recommended actions needed to be taken by the agency for resubmission of the project for certification.

E. Office pre-certification. The office shall release "phase zero" pre-certification planning phase funds to develop project phasing, IV&V or an overall project plan.

F. Emergency Certification Review. The PCC will make every effort, within reason, to review projects in a timely manner. If at any time the PCC cannot convene, and a project faces significant time constraints and major risks to the project an emergency certification review may be implemented. The emergency review is for

circumstances outside of control of the agency and every effort should have been made to work within the existing process. All members of the PCC will be provided an opportunity for comment. Documentation will be sent to the PCC electronically with notification of response timeline. Any comments from the PCC members must be sent electronically to the chair of the PCC. The CIO, PCC chair and the ITC chair shall have the authority to issue or deny certification for a particular phase of the project. If a certification is approved or denied, without convening the PCC, justification of the action shall be provided at the next regularly scheduled meeting of the ITC. [1.12.9.10 NMAC - N, 10/17/2005]

1.12.9.11 AGENCY RESPONSIBILITIES.

- A.** An executive agency shall:
- (1) prepare a written project certification report prior to certification for large projects that are equal to or exceeding \$1,00,000, high-risk projects or at the request of the PCC;
 - (2) schedule a certification review and provide documentation in a timely manner to the PCC;
 - (3) prepare a presentation to the PCC and answer questions prior to certification for large or high-risk projects or at the request of the PCC;
 - (4) shall keep a copy of each project status report on file;
 - (5) prepare a written risk assessment report at the concept phase of the project, at the end of each project phase, and following the culmination of each development lifecycle phase, or more frequently for large and high-risk projects;
 - (6) provide an independent verification and validation (IV&V) report to the PCC;
 - (7) be prepared to identify the value of the information technology project, as well as, relationship in support and consolidation with other information technology projects and agencies; and
 - (8) keep a copy of each risk assessment report on file.
- B.** The agency project manager, the contract project manager, if appropriate, and the project team shall regularly review the status and progress of an information technology project throughout its lifecycle. [1.12.9.11 NMAC - N, 10/17/2005]

1.12.9.12 PROJECT PLANS.

- A. Plan Required.** An agency shall prepare, in accordance with instructions contained in the project management guidelines and best practices document prepared by the office, a project plan for every IT project regardless of its scope or cost. The agency project manager shall document the plan and all revisions to the plan, and shall keep it on file until the system is removed from operation.
- B. Plan contents.** The plan shall contain at a minimum:
- (1) a description of the project;
 - (2) a description of the functions the system will provide;
 - (3) a description of the development lifecycle methodology;
 - (4) an initial risk assessment;
 - (5) risk management strategies, including mitigation actions;
 - (6) quality assurance strategies or plan;
 - (7) human and financial resource requirements and allocation;
 - (8) a project review schedule;
 - (9) IV&V plan and reports;
 - (10) project deliverables;
 - (11) a project schedule; and
 - (12) appropriate security planning for at least data, disaster recovery, and system back-up.
- C. Plan approval.** For projects meeting the selection criteria, the agency shall submit the plan to the office prior to initiation of the project or release of funding by the department of finance and administration. The office shall review the internal plan for sufficiency and in accordance with criteria specified by the PCC, and shall make recommendations to the PCC for certification. The PCC will review the documentation and provide the agency an opportunity to present the information technology project to the PCC for certification. The PCC meets monthly and will schedule presentation at each meeting. It is the agency's responsibility to assure timely submission of materials and schedule certification review. The PCC will identify areas of improvement to the agency if the plan does not meet initial approval of the PCC. The PCC shall make their recommendation to the ITC.
- D. Right to appeal.** If an agency requesting certification for any phase is denied certification, the agency may appeal the decision by submitting a written intent to appeal within five (5) business days of receipt of denial. The written intent to appeal shall be submitted to the chair of the ITC with a courtesy copy provided to the

chair of the PCC. It shall be the responsibility of the agency to comply with the ITC agenda and meeting rules to present its appeal.

[1.12.9.12 NMAC - N, 10/17/2005]

HISTORY OF 1.12.9 NMAC: [RESERVED]