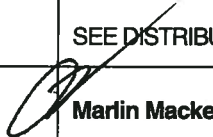




Bill Richardson, Governor

Marlin Mackey, Cabinet Secretary

MEMORANDUM

DATE:	June 30, 2010
TO:	SEE DISTRIBUTION
FROM:	 Marlin Mackey, Secretary
SUBJECT:	APPROVAL PROCESS: Information Technology (IT) Project Certifications

PURPOSE: To delineate the process and requirement for information technology (IT) project certification for executive branch agencies as required under the Department of Information Technology ("DoIT") Act.

SCOPE: All executive branch agency IT projects meeting one or more of the following criteria must follow the certification process in order for IT projects funds to be released, regardless of the source of those funds:

- A. project is required to undergo phased certifications as a result of the appropriation or grant;
- B. project is a subsequent or interrelated project to a previously certificated project;
- C. project cost is equal to or in excess of \$100,000;
- D. project is one deemed appropriate by the Secretary of the DoIT.

1. CERTIFICATION REQUEST CATEGORIES: Requests for certification fall into one of the following four categories, each of which has certification specific requirements:

- A. Regular requests for certification/release of funds for any of the four established phases; Initiation Phase, Planning Phase, Implementation Phase and Closeout

Phase. (See DoIT Project Certification Timeline and Gates at <http://www.doit.state.nm.us/oversight.html>)

- B. Previously certified projects wherein a change in scope/funding requires a modification to the original approved certification.
- C. Retroactive certification wherein funding has been expended prior to the project being certified.
- D. Emergency certification wherein an urgent requirement for certification/release of funds is needed outside the time when the certification review/approval process is scheduled to meet.

2. REQUEST FOR CERTIFICATION:

- A. Project certification requests should be submitted with sufficient time to accommodate both the agency's need for project funds release and meet the milestones of the certification calendar timeline. A Request for Project Certification ("Request") must be completed and submitted to the assigned DoIT certification staff analyst (forms are posted on the DoIT Oversight webpage).
- B. For previously certified projects wherein a change in scope/funding is required, agencies are to use the "Scope Change Request Form."
- C. In the rare instance where a retroactive certification of a project is necessary; the agency is required to submit a letter of justification/explanation plus the required certification request.
- D. The DoIT certification staff analyst agency assignments will be posted on the DoIT website.

The DoIT will review the Request for technical sufficiency and may require a presentation by the agency. The agency business owner (an executive or program sponsor), with the support of IT staff, will make the presentation. For certain projects phases, additional documentation may be required as outlined in the next section.

3. PROJECT CERTIFICATION PHASES:

The following defines phases in the certification process:

- A. **Initiation Phase** funding is requested by an agency for use in developing project phases, developing Independent Verification and Validation (“IV&V”) plan and contract; address project review issues and/or to develop an overall project management plan. **Note:** Waiver of the IV&V requirement requires specific written approval by the Secretary of the DoIT.
- B. **Planning Phase** is the project planning or development phases. The draft project management plan and the IV&V plan must be included with the request for release of funds. Projects are required to complete Technical Architecture Review during this phase.
- C. **Implementation Phase** is the execution or deployment phase. The updated project management plan, most recent IV&V report, and a results report of prior phase deliverables must be submitted with the certification Request.
- D. **Closeout Phase** is the termination or completion phase. The lessons learned, final IV&V report and Project Closeout Report must be submitted with the Request. The template for that report is posted on the DoIT website.

4. **DoIT PROJECT CERTIFICATION COMMITTEE (“PCC”):**

- A. The DoIT Secretary shall serve as chair of the PCC. PCC members consist of a designee from the Information Technology Commission, DoIT Deputy Cabinet Secretary, DoIT Strategic Planner, the DoIT Administrative Services Director, the DoIT Director of the Project Oversight and Compliance, one advisory member from DFA, and one advisory member from LFC. For DoIT Project Certifications, the DoIT Secretary shall recuse himself from the certification vote, and the DFA Deputy Secretary shall stand in his place.
- B. Agencies are requested to schedule their certification needs with their assigned DoIT consultant. Required documentation is to be provided preferably two

weeks in advance of requested certification meeting date. Documentation not provided at least one week in advance will result in rescheduling of agency.

- C. The PCC will meet the fourth Wednesday of the month. Agencies with DoIT staff pre-approved requests for certification will be notified of their schedule presentation date and time. Agencies are limited to a fifteen (15) minute presentation followed by a question and answer period. Slide type presentations are recommended.

5. COMBINED INITIATION/PLANNING PHASE CERTIFICATION:

Under certain circumstances, agencies may request to proceed immediately to the planning phase as the first certification for a project. Circumstances may include, but are not limited to: No expenditures required for the initiation phase requirements of the project, initiation phase requirements were met during the appropriation or grant process, and/or subsequent related project's included the initiation phase requirements for the current project. Combined certifications will be considered on a case by case basis.

6. CERTIFICATION FOR IT PROJECTS:

For IT Projects the PCC will make a recommendation to the Secretary of the DoIT regarding certification of the requested phase. The project will be required to undergo:

- A. Technical Architectural Review: architectural review to ensure compliance with State standards and guidelines;
- B. Presentation to PCC: The agency is required to make a presentation not to exceed fifteen (15) minutes to the PCC followed by a questions/answer session with members. Format of the presentation is at the agency's discretion. The business owner (an executive or program sponsor), with support of IT staff, should make the presentation. The PCC will notify the agency of its

recommendation to certify or not certify the release of funds for the particular phase requested.

- C. Secretary, DoIT, Determination: The Secretary will evaluate the recommendations made by the PCC. If the Secretary denies the Agency's request to certify release of funds, the Secretary will notify the agency of the reasons and any recommended actions. The requesting agency may appeal the decision by submitting a written intent to the Secretary within five (5) days of receipt of the denial or the agency may resubmit the Request in compliance with the processes described in this document and any additional recommended steps provided by the Secretary. If the Secretary certifies the release of funds for the phase requested, the Secretary will notify the DFA and copy the requesting agency. The Secretary, DoIT may impose contingencies or requirements on the certification. If a contingency is imposed funds will not be released until the agency has satisfied the contingency. If a requirement is imposed funds will be released and the agency will be required to satisfy the requirement within the time specified.

7. CERTIFICATION FOR NON-CRITICAL/LOW RISK IT PROJECTS:

For IT Projects that are identified as Non-Critical, Low Risk and the requested dollars exceed \$100,000, an abbreviated Request for Certification process may be followed as approved by the Secretary. The requesting agency may be requested to make a presentation not to exceed fifteen (15) minutes. The PCC will make the determination whether or not to certify the release of funds. If the PCC does not certify the release of funds, the PCC will notify the agency of its reasons and recommended actions. The requesting agency may submit the Request in compliance with the process herein outlined. If the PCC certifies release of the funds, the PCC will notify the DFA and copy the requesting agency. The PCC may impose contingencies or requirements on the certification. If a contingency is imposed funds will not be released until the agency has satisfied the contingency. If a requirement is imposed fund will be released and the agency will be required to satisfy the requirement within the time specified by the PCC.

8. EMERGENCY CERTIFICATION REQUESTS:

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- A. Agencies, that require an urgent certification outside of the time the PCC is scheduled to meet, are to submit a written request justifying the urgency of need, along with a completed certification request to the Secretary along with a carbon copy to the Project Oversight and Compliance Director.

- B. The Secretary, DoIT, will make the decision to issue or deny certification.

POINT OF CONTACT: Mike.Baca@state.nm.us

This IT Project Certifications Process supersedes July 2, 2007 DoIT Project Certification Memorandum.

DISTRIBUTION:

Cabinet Level Chief Information Officers, Executive Agency IT Leads, DFA