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

1.12.9.1 ISSUING AGENCY. Department of Information Technology.

1.12.9.2 SCOPE. This rule applies to certification of all information technology projects or programs undertaken by executive agencies.

1.12.9.3 STATUTORY AUTHORITY. Section 9-27-6(B)(5), (C)(11)-(13), (J) and (K) NMSA, 1978.

1.12.9.4 DURATION. Permanent.

1.12.9.5 EFFECTIVE DATE. October 1, 2026, unless a later date is cited at the end of a section.

1.12.9.6 OBJECTIVE. The purpose of this rule is to set forth executive agency information technology project certification responsibilities.

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 state CIO certifies projects except as otherwise provided for in Section 1.12.9.9(c).

C. **"Information technology project"** means the development, purchase, replacement, or modification of a hardware or software system, including cloud-based assets such as software as a service (SaaS) and infrastructure as a service (IaaS).

D. **"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.

E. **"Project costs"** means all hardware, software, development, testing, training expenditures, and other IT Professional Services required to complete the project including project management costs, both planned and actual.

F. **"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.

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

H. **"Qualified"** means demonstrated experience successfully managing information technology projects.

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

J. **"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.

K. **"Strategy"** means a plan of action for achieving a goal.

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

M. **"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.

1.12.9.8 RESPONSIBILITIES OF THE OFFICE. The office 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 $100,000;
(3) impact to customer on-line access; or
(4) projects the state CIO deems appropriate.

B. Develop procedural requirements on how to recommend certification or to recertify projects, including documentation requirements, meeting specifics, timelines and support services.

C. Report certification recommendations to the state CIO.

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

1.12.9.9 CERTIFICATION PROCESS.

A. C**ertification generally.** At a minimum, project certification shall be required prior to a project's initiation, during its implementation and closeout. The office 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.

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 office. The office shall determine the components of the reports and criteria for issuing certification.

C. Verification. The office shall verify that the project has been reviewed for compliance with architectural standards as appropriate.

D. Recommendation. The office shall make a recommendation to the state CIO to issue or deny project certification or may provide contingent certification subject to the agency providing specific information. The office 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 office 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 may release "phase zero" pre-certification planning phase funds to develop project phasing or an overall project plan.

1.12.9.10 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 $100,000, high-risk projects or at the request of the office;

(2) provide documentation in a timely manner to the office;

(3) 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;

(4) 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

(5) 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 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) project deliverables;

(10) a project schedule; and

(11) appropriate security planning for at least data, disaster recovery, statewide cybersecurity standards, 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 shall make recommendations to the state CIO for certification. The office will review the documentation and provide the agency an opportunity to present the information technology project for certification, if required. The office will identify areas of improvement to the agency if the plan does not meet initial approval. The office shall make their recommendation to the state CIO.

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 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 state CIO.

HISTORY OF 1.12.9 NMAC: [Reserved]