# Project Initiation

## Request for Certification and Release of Funds Form

All certified projects must follow NM state policies and procurement code.

<table>
<thead>
<tr>
<th><strong>Project Name</strong></th>
<th>Division of Insurance Document Management and Workflow</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Agency CIO</strong></td>
<td>Juan Rios (Acting)</td>
</tr>
<tr>
<td><strong>Lead Agency / Agency Code</strong></td>
<td>PRC Ins Div 430</td>
</tr>
<tr>
<td><strong>Executive Sponsor(s)</strong></td>
<td>Morris J. Chavez, Supt of Ins</td>
</tr>
<tr>
<td><strong>Project Number</strong></td>
<td>Project Manager TBD</td>
</tr>
<tr>
<td><strong>Date</strong></td>
<td>09/15/2009</td>
</tr>
</tbody>
</table>

## Project Description

Provide a brief description and purpose for this project.

Analyze, evaluate, purchase and implement a document management and workflow system for the Insurance Division of the Public Regulation Commission.

<table>
<thead>
<tr>
<th>Planned Start Date</th>
<th>10/01/2009</th>
<th>Planned End Date</th>
<th>06/30/2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Requested amount this Certification</td>
<td>$92,000</td>
<td>Remaining Appropriation not Certified</td>
<td>$828,000</td>
</tr>
</tbody>
</table>

## Proposed Certification Schedule

<table>
<thead>
<tr>
<th>Phases</th>
<th>Planned Certification Date</th>
<th>Amount to be Requested</th>
<th>Major Deliverable(s) / Performance Measures</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiation:</td>
<td>09/23/2009</td>
<td>$92,000</td>
<td>Contract a Project Manager; create project plan; update project charter document; define high-level project requirements</td>
</tr>
<tr>
<td>Planning:</td>
<td>TBD</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>Implementation:</td>
<td>TBD</td>
<td>TBD</td>
<td></td>
</tr>
<tr>
<td>Closeout:</td>
<td>TBD</td>
<td>TBD</td>
<td></td>
</tr>
</tbody>
</table>

## Appropriation History

Include all funding sources, e.g., Federal, state, county, municipal laws or grants.

<table>
<thead>
<tr>
<th>Fiscal Year</th>
<th>Amount</th>
<th>Funding Source(s) (use specific citations to laws, grants, etc.)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>$920,000</td>
<td>Agent surcharge funds, Laws 1996, Ch. 6, as amended by Laws 2003, Ch. 306 and Laws 2005, Ch. 278; some provisions not codified; see 59A-6-1.1 for surcharge imposition; Current appropriation in Laws 2009, Ch. 124, Sec. 7, Item 7.</td>
</tr>
</tbody>
</table>

This is a controlled document; refer to the document control index for the latest revision.
IT SYSTEM ANALYSIS

On this document, or as an attachment, provide a summary response, including changes, to the following IT infrastructure topics relating to this project:

- Describe or estimate this project’s impact on the Enterprise/DoIT infrastructure.
  - Hardware
    
    *Existing scanning and storage hardware will be utilized to the fullest extent possible. Necessary purchases are still to be determined.*
  - Network (Include Diagram)
    
    *The existing PRC intranet will be utilized to the fullest extent possible. Necessary purchases are still to be determined.*
  - Software / Applications
    
    *The existing document imaging software may be expanded or replaced, still to be determined.*
  - Where is this system hosted?
    - If not hosted at DoIT Data Center what is your strategy to host at DoIT Data Center: (When, Why?)
      
      *Currently hosted on PRC network at former PERA building. Future plans TBD*
    - DoIT Migration Collaboration
      
      *TBD*

- Summarize your collaboration with DoIT on moving this project from initialization through close (full production). Identify points of contact, dates of discussions, and results

  *Collaboration with DoIT to date has focused on initialization certification.*

- Provide Application Architecture Schematic

  *TBD*
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BUSINESS CONTINUITY STRATEGY
On this document, or as an attachment, provide a summary response, including changes, of your business Continuity Strategy.

- Emergency and Disaster Management
  TBD
- Business Resumption
  TBD
- Operational Recovery Planning
  TBD

SECURITY STRATEGY (APPLICATION AND DATA SECURITY PROCESS, PLAN, OR STANDARD)

TBD

SIGNIFICANT RISKS AND MITIGATION STRATEGY

RISK 1: TBD
  MITIGATION 1: TBD

RISK 2:
  MITIGATION 2: