

Project Investment Justification

Online Licensing and Portal Solution

GM21002

Department of Gaming

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1. GENERAL INFORMATION

PIJ ID: GM21002

PIJ Name: Online Licensing and Portal Solution

Account: Department of Gaming

Business Unit Requesting: Employee Certification, Vendor Certification

Sponsor: Ted Vogt, Rudy Casillas

Sponsor Title: Director, Deputy Director

Sponsor Email: tvogt@azgaming.gov

Sponsor Phone: (602) 771-4263

2. MEETING PRE-WORK

2.1 What is the operational issue or business need that the Agency is trying to solve? (i.e....current process is manual, which increases resource time/costs to the State/Agency, and leads to errors...):

Current system is antiquated and customers do not have the ability to apply for licenses online. This has a significant impact on licensees and tribal gaming offices. Due to lack of online applications/portals some customers are conducting business in person and through the US mail system. Some ADG employees are dedicated to data entry as a result, and their time and talents could be better utilized elsewhere. This project is in line with the governor's key goal of efficient and accountable government specifically related to the offering of online services.

2.2 How will solving this issue or addressing this need benefit the State or the Agency?

1 - Streamlined experience for customers and stakeholders by creating online services for customers allows them to interact with ADG without having to visit in-person or print and sign documents. This is beneficial to the agency and state because we'll be using modern processes and doing government work at the speed of business.

2 - Reduced wasteful labor hours related to data entry with licensing portals will allow customers to create their own profiles as opposed to us manually creating them and filling in their data. This will reduce labor hours and the potential for errors. It will also reduce incomplete applications and rework due to data integrity and required fields in the online apps.

3 - Both stakeholders and ADG will save on postage and paper costs because we'll be conducting business and sharing information online instead of on paper.

4 - Streamlined workflow for ADG staff will save on labor hours that are waste of waiting / inbox time are reduced when we all share the same, high-tech system that has a good dashboard to show what tasks belong to whom and when they're due.

5 - Eliminate the need for unsupported legacy applications by replacing the legacy systems we will have a higher tech solution in Salesforce and more customization as processes are changed/improved. We will also have access to stronger support through a partnership with a statewide contracted Salesforce vs. a mom and pop application in Redhorse.

2.3 Describe the proposed solution to this business need.

This is a custom Salesforce solution that will allow applicants to submit applications for gaming licenses and certifications online, and it will also allow gaming staff to process the licenses on the back end. The solution will be built based on the business requirements and processes we documented in phase one of this project.

2.4 Has the existing technology environment, into which the proposed solution will be implemented, been documented?

Yes

2.4a Please describe the existing technology environment into which the proposed solution will be implemented.

2.5 Have the business requirements been gathered, along with any technology requirements that have been identified?

Yes

2.5a Please explain below why the requirements are not available.

3. PRE-PIJ/ASSESSMENT

3.1 Are you submitting this as a Pre-PIJ in order to issue a Request for Proposal (RFP) to evaluate options and select a solution that meets the project requirements?

No

3.1a Is the final Statement of Work (SOW) for the RFP available for review?

3.2 Will you be completing an assessment/Pilot/RFP phase, i.e. an evaluation by a vendor, 3rd party or your agency, of the current state, needs, & desired future state, in order to determine the cost, effort, approach and/or feasibility of a project?

No

3.2a Describe the reason for completing the assessment/pilot/RFP and the expected deliverables.

3.2b Provide the estimated cost, if any, to conduct the assessment phase and/or Pilot and/or RFP/solicitation process.

3.2e Based on research to date, provide a high-level cost estimate to implement the final solution.

4. PROJECT

4.1 Does your agency have a formal project methodology in place?

Yes

4.2 Describe the high level makeup and roles/responsibilities of the Agency, Vendor(s) and other third parties (i.e. agency will do...vendor will do...third party will do).

The vendor will use our business requirements to build the salesforce solution. The agency will answer their questions, solicit stakeholder feedback, and test/validate the system. The agency will pay the vendor and PM based on the terms of our contract. The agency will ensure ASET and SPO are involved throughout the process to utilize statewide best practices and follow policy. A 3rd party Project Manager will manage the project and ensure timelines are adhered to, and that the Salesforce vendor is adhering to the terms of our contract.

4.3 Will a PM be assigned to manage the project, regardless of whether internal or vendor provided?

Yes

4.3a If the PM is credentialed, e.g., PMP, CPM, State certification etc., please provide certification information.

4.4 Is the proposed procurement the result of an RFP solicitation process?

Yes

4.5 Is this project referenced in your agency's Strategic IT Plan?

Yes

5. SCHEDULE

5.1 Is a project plan available that reflects the estimated Start Date and End Date of the project, and the supporting Milestones of the project?

Yes

5.2 Provide an estimated start and finish date for implementing the proposed solution.

Est. Implementation Start Date

Est. Implementation End Date

8/2/2021 12:00:00 AM

2/14/2022 12:00:00 AM

5.3 How were the start and end dates determined?

Based on project plan

5.3a List the expected high level project tasks/milestones of the project, e.g., acquire new web server, develop software interfaces, deploy new application, production go live, and estimate start/finish dates for each, if known.

Milestone / Task	Estimated Start Date	Estimated Finish Date
Development W5-W7	08/02/21	08/14/21
Pre Project Planning <ul style="list-style-type: none"> ● Detailed project plan ● Approved stories defined by the business practices ● Entity Relationship Diagram (ERD) ● Future state business process flow diagram ● Weekly status reports ● Salesforce Config Workbook - 25% completed ● Sales 	08/02/21	08/16/21
Discovery and Design W1-4	08/16/21	09/13/21
Development W8-W10	09/13/21	11/26/21
Development W11-W13	09/13/21	11/26/21

Development W14-W16	09/13/21	11/26/21
UAT and Training W17-W20	11/29/21	12/24/21
Deployment and GoLive and Support W21-W23	12/24/21	01/14/22
Final Vendor Invoice Payment	01/17/22	02/14/22

5.4 Have steps needed to roll-out to all impacted parties been incorporated, e.g. communications, planned outages, deployment plan?

Yes

5.5 Will any physical infrastructure improvements be required prior to the implementation of the proposed solution. e.g., building reconstruction, cabling, etc.?

No

5.5a Does the PIJ include the facilities costs associated with construction?

5.5b Does the project plan reflect the timeline associated with completing the construction?

6. IMPACT

6.1 Are there any known resource availability conflicts that could impact the project?

No

6.1a Have the identified conflicts been taken into account in the project plan?

6.2 Does your schedule have dependencies on any other projects or procurements?

No

6.2a Please identify the projects or procurements.

6.3 Will the implementation involve major end user view or functionality changes?

Yes

6.4 Will the proposed solution result in a change to a public-facing application or system?

Yes

7. BUDGET

7.1 Is a detailed project budget reflecting all of the up-front/startup costs to implement the project available, e.g, hardware, initial software licenses, training, taxes, P&OS, etc.?

Yes

7.2 Have the ongoing support costs for sustaining the proposed solution over a 5-year lifecycle, once the project is complete, been determined, e.g., ongoing vendor hosting costs, annual maintenance and support not acquired upfront, etc.?

Yes

7.3 Have all required funding sources for the project and ongoing support costs been identified?

Yes

7.4 Will the funding for this project expire on a specific date, regardless of project timelines?

Yes

7.5 Will the funding allocated for this project include any contingency, in the event of cost over-runs or potential changes in scope?

No

8. TECHNOLOGY

8.1 Please indicate whether a statewide enterprise solution will be used or select the primary reason for not choosing an enterprise solution.

The project is using a statewide enterprise solution

8.2 Will the technology and all required services be acquired off existing State contract(s)?

Yes

8.3 Will any software be acquired through the current State value-added reseller contract?

Yes

8.3a Describe how the software was selected below:

We've been instructed to use a Salesforce solution for our project. We've also received feedback to integrate our own custom version of Salesforce instead of simplygov.

8.4 Does the project involve technology that is new and/or unfamiliar to your agency, e.g., software tool never used before, virtualized server environment?

Yes

8.5 Does your agency have experience with the vendor (if known)?

No

8.6 Does the vendor (if known) have professional experience with similar projects?

Yes

8.7 Does the project involve any coordination across multiple vendors?

Yes

8.8 Does this project require multiple system interfaces, e.g., APIs, data exchange with other external application systems/agencies or other internal systems/divisions?

Yes

8.9 Have any compatibility issues been identified between the proposed solution and the existing environment, e.g., upgrade to server needed before new COTS solution can be installed?

No

8.9a Describe below the issues that were identified and how they have been/will be resolved, or whether an ADOA-ASET representative should contact you.

8.10 Will a migration/conversion step be required, i.e., data extract, transformation and load?

Yes

8.11 Is this replacing an existing solution?

Yes

8.11a Indicate below when the solution being replaced was originally acquired.

Redhorse - 2012

D3 - 2014

8.11b Describe the planned disposition of the existing technology below, e.g., surplus, retired, used as backup, used for another purpose:

Continued to be used by other sections within the agency until we have replaced those functions within Salesforce.

Once the solution is functioning as expected then the current solution will be retired.

8.12 Describe how the agency determined the quantities reflected in the PIJ, e.g., number of hours of P&OS, disk capacity required, number of licenses, etc. for the proposed solution?

Number of licenses was determined by the requirements gathering.

8.13 Does the proposed solution and associated costs reflect any assumptions regarding projected growth, e.g., more users over time, increases in the amount of data to be stored over 5 years?

Yes

8.14 Does the proposed solution and associated costs include failover and disaster recovery contingencies?

Yes

8.14a Please select why failover and disaster recovery is not included in the proposed solution.

8.15 Will the vendor need to configure the proposed solution for use by your agency?

Yes

8.15a Are the costs associated with that configuration included in the PIJ financials?

Yes

8.16 Will any app dev or customization of the proposed solution be required for the agency to use the project in the current/planned tech environment, e.g. a COTS app that will req custom programming, an agency app that will be entirely custom developed?

Yes

8.16a Will the customizations inhibit the ability to implement regular product updates, or to move to future versions?

No

8.16b Describe who will be customizing the solution below:

MTX

Internal Staff

8.16c Do the resources that will be customizing the application have experience with the technology platform being used, e.g., .NET, Java, Drupal?

Yes

8.16d Please select the application development methodology that will be used:

Agile/Scrum

8.16e Provide an estimate of the amount of customized development required, e.g., 25% for a COTS application, 100% for pure custom development, and describe how that estimate was determined below:

40%

8.16f Are any/all Professional & Outside Services costs associated with the customized development included in the PIJ financials?

Yes

8.17 Have you determined that this project is in compliance with all applicable statutes, regulations, policies, standards & procedures, incl. those for network, security, platform, software/application &/or data/info found at aset.az.gov/resources/psp?

Yes

8.17a Describe below the compliance issues that were identified and how they have been/will be resolved, or whether an ADOA-ASET representative should contact you:

8.18 Are there other high risk project issues that have not been identified as part of this PIJ?

No

8.18a Please explain all unidentified high risk project issues below:

9. SECURITY

9.1 Will the proposed solution be vendor-hosted?

Yes

9.1a Please select from the following vendor-hosted options:

Vendor's data center environment

9.1b Describe the rationale for selecting the vendor-hosted option below:

Salesforce does not offer another option.

9.1c Has the agency been able to confirm the long-term viability of the vendor hosted environment?

Yes

9.1d Has the agency addressed contract termination contingencies, e.g., solution ownership, data ownership, application portability, migration plans upon contract/support termination?

Yes

9.1e Has a Conceptual Design/Network Diagram been provided and reviewed by ASET-SPR?

Yes

9.1f Has the spreadsheet located at <https://aset.az.gov/arizona-baseline-security-controls-excel> already been completed by the vendor and approved by ASET-SPR?

No

9.2 Will the proposed solution be hosted on-premise in a state agency?

No

9.2a Where will the on-premise solution be located:

9.2b Were vendor-hosted options available and reviewed?

9.2c Describe the rationale for selecting an on-premise option below:

9.2d Will any data be transmitted into or out of the agency's on-premise environment or the State Data Center?

9.3 Will any PII, PHI, CGIS, or other Protected Information as defined in the 8110 Statewide Data Classification Policy be transmitted, stored, or processed with this project?

Yes

9.3a Describe below what security infrastructure/controls are/will be put in place to safeguard this data:

Multi Factor Authentication

In order to accomplish integrations with Department of Public Safety, Criminal Justice Information System and the existing payment gateway, MTX will create a custom integration using Dept of Gaming API to create a point-to-point connection with external systems to push/pull the information.

10. AREAS OF IMPACT

Application Systems

Arizona Enterprise Solution Platform (AESP) based Application

Salesforce

Database Systems

MS SQL Server

Software

COTS Application Acquisition

Hardware

Hosted Solution (Cloud Implementation)

Amazon (AWS) GovCloud

Security

Encryption

Telecommunications

Enterprise Solutions

eLicensing

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
MXT - Project Management, design, configuration, dev, security, conversion, testing, knowledge transfer & training, maint & Support, disaster recovery.	Professional & Outside Services	Development	1	1	\$486,841	\$486,841	0.00 %	\$0	\$486,841
Contractor - Project Manager	Professional & Outside Services	Development	1	1	\$180,800	\$180,800	0.00 %	\$0	\$180,800
SalesForce License	License & Maintenance Fees	Development	1	1	\$519,089	\$519,089	860.00 %	\$44,642	\$563,730
SalesForce License	License & Maintenance Fees	Operational	2	1	\$496,648	\$496,648	860.00 %	\$42,712	\$539,360
SalesForce License	License & Maintenance Fees	Operational	3	1	\$496,648	\$496,648	860.00 %	\$42,712	\$539,360
SalesForce License	License & Maintenance Fees	Operational	4	1	\$496,648	\$496,648	860.00 %	\$42,712	\$539,360
SalesForce License	License & Maintenance Fees	Operational	5	1	\$496,648	\$496,648	860.00 %	\$42,712	\$539,360

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
\$381,371	\$2,157,441	75%
APF (Available)	APF (To Be Req)	APF % of Project
\$850,000	\$0	25%
Other Appropriated (Available)	Other Appropriated (To Be Req)	Other Appropriated % of Project
\$0	\$0	0%
Federal (Available)	Federal (To Be Req)	Federal % of Project
\$0	\$0	0%
Other Non-Appropriated (Available)	Other Non-Appropriated (To Be Req)	Other Non-Appropriated % of Project
\$0	\$0	0%

Total Budget Available	Total Development Cost
\$1,231,371	\$1,231,372
Total Budget To Be Req	Total Operational Cost
\$2,157,441	\$2,157,440
Total Budget	Total Cost
\$3,388,812	\$3,388,812

12. PROJECT SUCCESS

Please specify what performance indicator(s) will be referenced in determining the success of the proposed project (e.g. increased productivity, improved customer service, etc.)? (A minimum of one performance indicator must be specified)

Please provide the performance objective as a quantifiable metric for each performance indicator specified.

Note: The performance objective should provide the current performance level, the performance goal, and the time period within which that performance goal is intended to be achieved. You should have an auditable means to measure and take corrective action to address any deviations.

Example: Within 6 months of project completion, the agency would hope to increase "Neighborhood Beautification" program registration by 20% (3,986 registrants) from the current registration count of 19,930 active participants.

Performance Indicators

Customer Satisfaction, Online Services will increase by 17.6%, approximately 6,000 labor hours will be saved from data entry, Lead time for licensing will decrease the time it takes from the time an applicant is licensed from the time of application to issuance of license.

13. CONDITIONS

Conditions for Approval

Should development costs exceed the approved estimates by 10% or more, or should there be significant changes to the proposed technology scope of work or implementation schedule, the Agency must amend the PIJ to reflect the changes and submit it to ADOA-ASET, and ITAC if required, for review and approval prior to further expenditure of funds.

Monthly reporting on the project status is due to ADOA-ASET no later than the 15th of the month following the start of the project. Failure to comply with timely project status reporting will affect the overall project health. The first status report for this project is due on November 15, 2021.

14. OVERSIGHT SUMMARY

Project Background

Arizona Department of Gaming (ADG) is responsible for regulating tribal gaming, racing, and pari-mutuel/simulcast wagering and unarmed combat sports. Currently the licensing process is manual and requires customers to submit applications in person or through the US mail system. ADG currently employs individuals who are decided to manually enter applications for gaming licenses which is time consuming.

Business Justification

With the completion of this project, ADG will be able to eliminate the data entry portion of the process by allowing customers to create their own profiles and apply for their gaming licenses on line. With the elimination of data entry employees re-allocate time to tasks such as processing gaming applications, assisting customers with questions or concerns. Customer service satisfaction will increase as a result of a streamlined internal and external process.

Implementation Plan

The agency be responsible for soliciting stakeholder feedback, and test/validate the system is working as expected. The vendor will be responsible for using ADG business requirements to build the salesforce solution. A third party Project Manager will manage the project and ensure timelines are adhered to, and that the Salesforce vendor is adhering to the terms of our contract.

Vendor Selection

Selected through the RFP process with SPO and met with 7 vendors who provided demos. SPO & ASET were included in the vendor presentations and determined Salesforce was the solution that best fit the needs of the agency.

MTX through Carahsoft

PCG

SalesForce

Budget or Funding Considerations

The development of the project is being funded by APF. The operational costs for years 2-5 consist of 500K in salesforce licensing plus 39,360 in MTX M&O totaling 539,360 per year as operational.

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

Ted Vogt

Agency CIO (or Designee)

Scott Swanson

Agency ISO (or designee)

Aaron Knoll

OSPB Representative

ASET Engagement Manager

ASET SPR Representative

Thomas Considine

Agency SPO Representative

Fely Hopper

Agency CFO

Jason LaForest