

Project Investment Justification

Unite Us Resources Platform

DC24012

Arizona Department of Corrections

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1. GENERAL INFORMATION

PIJ ID: DC24012

PIJ Name: Unite Us Resources Platform

Account: Arizona Department of Corrections

Business Unit Requesting: AZ Department of Corrections

Sponsor: Tara Diaz

Sponsor Title: Deputy Director

Sponsor Email: tdiaz@azadc.gov

Sponsor Phone: (602) 542-5497

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...):

The Arizona Department of Corrections manually provides post release resources and referrals for our returning citizens. These resources include medical, housing, financial and food assistance. This manual process is antiquated and widespread so tracking any meaningful information on post release care is difficult to log and store in one application.

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

A fully automated multi-faceted resource referral network of services will provide benefit to the agency in the following ways:

- 1) Centralize all network resource referrals in one database creating data distribution and collection efficiencies
- 2) Once a returning citizen utilizes services, it will automatically account for the use of the referral and provide the complex staff with a roadmap as to the returning citizen's ongoing care.
- 3) Provide reporting services for staff to monitor and view referral services used by returning citizens.

2.3 Describe the proposed solution to this business need.

The proposed solution would address all three issues faced by the Department of Corrections. The solution would address the issue that our network resource referrals are not centralized. While we are currently managing our returning citizen referrals manually, the proposed solution would automate that process and provide us with more up to date visibility into their ongoing care. The proposed solution would provide ADCRR staff with reporting features to view which services have been utilized by our returning citizens.

ADCRR is proposing a Proof of Concept (POC) approach to the project. This POC would enable ADCRR and the Governor's office to focus on the feasibility of the project, and determine if it is a good fit for its intended purpose long term. As a POC, this project would effectively run for one year from the date of contract, and the vendor would be required to meet or exceed specific metrics and Key Performance Indicators (KPI's) during that one-year time frame. The vendor's compliance with the aforementioned criteria would be a determining factor in whether the state and Governor's office would choose to move forward with and fund a subsequent multi-year operational contract with the vendor. The project has guaranteed funding for the initial POC, year one development and implementation of the platform.

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).

Department Of Corrections

Project Team

1. Sponsor , Tara Diaz, Deputy Director- Decision Maker
2. CIO, Stephen Baird Oversees Technology for the project.
3. Sen Program Manager, Nan Nesvig Oversee the Program/Project
4. Sen Project Manager, Keith Rezendes Day-to-Day project responsibilities
5. Services Administrator, Amber Marshall Business Unit level project mngtt

4.3 PM Name

Keith Rezendes

4.3 PM Email

krezendes@azadc.gov

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

No

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

1/22/2024 12:00:00 AM

5/31/2024 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
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Data Initial Analysis and User Access	01/23/24	02/15/24
Project Kick Off	01/24/24	01/24/24
Requirements Gathering	01/29/24	02/09/24
Social Network Access/Users/Training	02/24/24	03/15/24
System Security Plan	03/01/24	03/29/24
IT Integration and Testing	03/18/24	03/31/24
Testing Reporting Functionalities	04/09/24	04/16/24
Initial System Deployment	04/22/24	04/26/24
Secondary Deployment	05/06/24	05/10/24

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?

No

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

No

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.?

No

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

No

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.

There is not a statewide enterprise solution available

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

No

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

No

8.3a Describe how the software was selected below:

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?

No

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?

No

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

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

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?

The Agency provided specific user roles as requested by the vendor to determine how many licenses were necessary to utilize the platform. Anticipated licenses currently exceed 600 users.

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?

No

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?

No

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

8.16b Describe who will be customizing the solution below:

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

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

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:

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

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:

We are in the process of completing a System Security Plan in conjunction with the vendor's application for AZRamp approval.

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:

The vendor's platform is a web based application with Cloud storage. Data is retained in AWS.

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:

Vendor is using Cloud Services (AWS) to host solution. Vendor is also using AWS for cloud storage as well as for Database services.

Amazon AWS is known for high-level security infrastructure/controls to manage our data access and storage. AWS ensure safeguards in regards to data access and storage.

10. AREAS OF IMPACT

Application Systems

Internal Use Web Application

Database Systems

Database Consolidation/Migration/Extract Transform and Load Data

Software

Other

SaaS application

Hardware

Other

None

Hosted Solution (Cloud Implementation)

Vendor Hosted

Security

Security Controls/Systems - Other

AWS security/controls

Telecommunications

Other

None

Enterprise Solutions

Other

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
POC Year One - Development and Implementation costs	Professional & Outside Services	Development	1	1	\$1,473,000	\$1,473,000	0.00%	\$0	\$1,473,000

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
\$0	\$0	0%
APF (Available)	APF (To Be Req)	APF % of Project
\$0	\$0	0%
Other Appropriated (Available)	Other Appropriated (To Be Req)	Other Appropriated % of Project
\$0	\$0	0%
Federal (Available)	Federal (To Be Req)	Federal % of Project
\$1,473,000	\$0	100%
Other Non-Appropriated (Available)	Other Non-Appropriated (To Be Req)	Other Non-Appropriated % of Project
\$0	\$0	0%

Total Budget Available	Total Development Cost
\$1,473,000	\$1,473,000
Total Budget To Be Req	Total Operational Cost
\$0	\$0
Total Budget	Total Cost
\$1,473,000	\$1,473,000

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

The following percentage success criteria is based on what ADCRR foresees occurring with the implementation of the Unite Us platform. These measurements work in unison with the success criteria as provided below by Unite Us:

1. Within 3 months, ADCRR anticipates a 50% increase in our staff's ability to track returning citizen's activities and provide more comprehensive service referrals to them.
2. Within 3 months, ADCRR anticipates a 50% increase in our ability to track extended care for our returning citizens.
3. Within 6 months of project implementation, the agency hopes to increase referral platform usage by 20% over the current count of user services engagement.
4. Within 12 months, ADCRR anticipates an increase in returning citizen platform usage by 50%.

In order for ADCRR to determine/measure project POC success, the following are Goals and Deliverables - Data Collection, Cost Methodology Development, and Onboarding criteria which have been provided by and must be met or exceeded by Unite Us to determine project success:

1. Onboard ADCRR and collaborating organizations serving returning citizens onto the platform.
2. Facilitate ADCRR's integration with the platform to serve approximately 1,200 inmates scheduled for release each month.
3. Develop agency/organization-specific metrics for quarterly reporting throughout the grant and POC period.
4. Generate agency/organization-specific metrics to report on a quarterly basis throughout the grant and POC period of performance

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 June 15, 2024.

14. OVERSIGHT SUMMARY

Project Background

What is the role of the agency? What does the agency do?

The purpose of the State Department of Corrections (Department) is to encompass the current and future institutions, facilities, and programs that are part of Arizona's correctional program. The Arizona Department of Corrections, Rehabilitation and Reentry (ADCRR) maintains and administers a statewide system of prisons for adult and minor offenders legally committed to the department. The department is also responsible for the supervision of offenders on parole and other prison release mechanisms, as specified by law. Corrections refers to the supervision of persons arrested for, convicted of, or sentenced for criminal offenses. Correctional populations fall into two general categories: institutional corrections and community corrections. Correctional officers play a pivotal role in protecting public safety.

What is the role of a specific unit within the agency (if applicable)?

What problem is the agency resolving with this PIJ?

The agency will be moving from a manual process that is antiquated and widespread so tracking any meaningful information on post release care is difficult to log and store in one application.

Business Justification

What metrics will improve by adopting the new solution and by how much?

Within 3 months, ADCRR anticipates a 50% increase in our staff's ability to track returning citizens' activities and provide more comprehensive service referrals to them.

Within 3 months, ADCRR anticipates a 50% increase in our ability to track extended care for our returning citizens.

How does implementing this solution benefit the State?

Centralize all network resource referrals in one database creating data distribution and collection efficiencies

Once a returning citizen utilizes services, it will automatically account for the use of the referral and provide the complex staff with a roadmap as to the returning citizen's ongoing care.

Provide reporting services for staff to monitor and view referral services used by returning citizens

Implementation Plan

Vendor hosting the data (AuditBoard) is AZRAMP Authorized. System Security Plan is required.

Project Manager: Keith Rezendes

Agency Responsibilities:

- Gather Requirements
- Project Management
- Identify Platform Users
- Data Migration
- User Acceptance Testing
- Train the Trainer

Vendor Responsibilities:

- Requirement Gap Analysis
- Project Management
- Data Analysis
- Data Transfer
- Platform Build

Training
Deployment

Vendor Selection

The proposal was received by the Governor's Office and agreement was entered into under the authority of A.R.S. §41-2702-2703
A solicitation waiver was issued 10/20/22 by ADOA which authorizes grant agreements.

Budget or Funding Considerations

100% Federal
Start Date: 6/30/2023
End Date: 6/30/2025

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

Tara Diaz

Agency CIO (or Designee)

Stephen Baird

Agency ISO (or designee)

Brian Makris

OSPB Representative

ASET Engagement Manager

ASET SPR Representative

Emily Gross

Agency SPO Representative

Agency CFO

Richard Evitch