ADOA-ASET
Arizona Strategic Enterprise Technology

Project Investment Justification

Child Care eLicensing

HS210010

Department of Health Services

Contents

1. GENERAL INFORMATION

PIJ ID: HS210010
PIJ Name: Child Care eLicensing
Account: Department of Health Services
Business Unit Requesting: Bureau of Child Care Facilities Licensing
Sponsor: Thomas Salow
Sponsor Title: Branch Chief, Division of Licensing
Sponsor Email: thomas.salow@azdhs.gov
Sponsor Phone: (602) 364-1935

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…):

PROBLEM STATEMENT

The Bureau of Child Care Facilities Licensing currently utilized 4 separate systems that are more than 20 years old and remains very paper-based. With a new system, staff and customer efficiencies will be realized and the Division of Licensing will gain an additional licensing type on the eLicensing platform (Salesforce) to simplify division-wide reporting, metrics, and KPIs.

VISION

The Agency vision of licensure processing consists of a centralized system that significantly minimizes the use of processes that use paper. Since 2019, the Agency has supported this vision to deliver a modernized solution built on the Salesforce platform. Incorporating child care facilities licensing into the Salesforce platform directly aligns with this vision.

The ADHS and DES Relationship: The Department of Economic Security and ADHS have a close relationship as it related to Child Care. ADHS currently provides data to DES via a scheduled job. Modernizing the system will allow DES self service features and better overall data quality to assist in the mission and enhance their Federal reporting requirement processes. Therefore, DES has agreed to fund this project up to $1 million.

SOLUTION

To align with the ADHS Division of Licensing's strategic direction and leverage the $14 million invested thus far, ADHS and DES will integrate child care facility licensure processing into the existing eLicensing Salesforce platform that currently supports marijuana licensing and formerly COVID 19 complaints, and COVID 19 inspections. Benefits include a single platform, making it easier to add additional licensing types, consolidating and modernizing the Division of Licensing's technology, improving the staff and public experience and efficiencies, and improving the overall ease of data analysis.

 1. Public experience enhancements reduce the number of support calls

 2. Staff efficiencies allow for higher quality inspections and corrective action processes

 3. An information system allows for easier key performance indicator monitoring across all available licensing types and the ability to easily analyze data across multiple lines of business to react faster to continuous improvement opportunities.

SOLUTION PARTNERS

Slalom Consulting LLC will serve as the integration team and be responsible for design, development, and deployment of the Child Care license type integration. More specific responsibilities can be found in the responsibilities section and the statement of work.

NEW FUNCTIONALITY

The new child care facilities licensing functionality includes:

 1. e-Licensing portal access for business owners of child care centers, child care small group homes, and child care public school programs.

 2. Electronic facility application processes to apply for operating a child care facility in the State of Arizona.

 3. Electronic facility certificate processes

 4. Integrated public complaint and internal case processing into the Salesforce platform

 5. Inspections/Complaints processing by the public about a regulated facility

 6. A reporting platform for self-service data analysis for capturing specific key performance indicators

 7. A public records portal containing child care related deficiencies found against facilities or providers

 8. Migration of active license data to new eLicensing portal

 9. Arizona Department of Administration payment portal integration

 10. DES System/Data Access with bulk download capabilities to allow fulfillment of federal grant requirements

 11.Internal case processing for staff members to allow for the processing of inspections and enforcement related activities.

In addition to delivering functionality, the project team will:

 1. Assist with coordinating public messaging about the new technology

 2. Train staff members to use the new technology and provide training materials

 3. Provide post-go-live support including necessary hotfixes after a major application release to fix or tweak functionality

 4. Transition support activities to the IT Salesforce maintenance and operations team after the project team completes each major release.

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

This will further integrate an additional licensing type within a single platform thereby further consolidating and modernizing the Division of Licensing's technology, improving the user experience, improving staff efficiencies, and improving the overall auditability of data.

2.3 Describe the proposed solution to this business need.

This solution will reside on the existing ADHS eLicensing Salesforce platform currently hosting Marijuana and COVID Compliance portals. The vision of this platform is to become the standard licensing platform for the Agency.

This solution will deliver child care facilities licensing benefits in the following areas:

1. e-Licensing portal access for business owners

2. Electronic facility application processes

3. Electronic facility certificate processes

4. Integrated public complaint and internal case processing

5. A reporting platform for self-service data analysis

6. Public records application integration

7. Migration of existing licensees to new eLicensing portal

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?

No

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

Pre-project discovery will be performed prior to the project start date, but will not include detailed requirements (approved user stories) until the project begins. On project approval, the following will be accomplished to document the system requirements:

1. Identify and document core MVP requirements (User Stories and Epics) in alignment with ADHS' Child Care Licensing processes and related Arizona Department of Economic Security reporting needs.

2. Identity/document to-be process flows in conjunction with future state processes.

3. Generate high level architectural design documentation associated with build efforts.

4. Identify project stakeholders and high-level communication/training strategies.

5. Refine scope and project timeline estimates.

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).

ADHS IT - Project Management, Quality Assurance Management, User Acceptance Coordination, Maintenance & Operations

Knowledge Services - Quality Assurance Engineers

ADHS Business Unit - Project Sponsorship, Product Vision, Requirements Approval, User Acceptance Testing

Vendor - Requirements Gathering, Solution Development, Organizational Change Mgmt, Training, Transition to Maintenance

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?

No

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

No

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
7/15/2021 12:00:00 AM	3/31/2022 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
Project Kickoff	07/15/21	07/28/21
communication/training strategies	08/02/21	08/06/21
User Stories and Epics	08/05/21	08/08/21
scope & timeline estimates	08/09/21	08/13/21
process flows	08/12/21	08/15/21
architectural design documentation	08/19/21	08/22/21
Development and QA	09/09/21	11/24/21
Retire Legacy Systems	11/24/21	12/31/21
Transition to Maintenance	11/25/21	02/24/22
Closeout	02/25/22	03/31/22

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?

Yes

6.2a Please identify the projects or procurements.

The Arizona Department of Economic Security is funding this through a federal grant. The funding is planned to be available on July 1, 2021 and expire June 30, 2022.

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:

It was recommended by ASET

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?

No

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

Yes

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.

All systems were acquired circa 2001:

- AMS (The Child Care Bureau will no longer use, but other non-salesforce licensing types will continue to use)

- Child Care Licensing Portal

- ASPEN (The Child Care Bureau will no longer use, but other non-salesforce licensing types will continue to use)

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

All systems exclusively in use by the Bureau of Child Care Facilities Licensing 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?

1. Subject matters experts

2. Reviewed by all IT project managers

3. Reviewed by all IT managers

4. Reviewed by all business units managers and above

3. Reviewed by system integrator

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:

This solution is a shared, custom application built on the existing ADHS eLicensing Salesforce platform and will be developed by the vendor and maintained by the internal ADHS IT Salesforce Maintenance and Operations Team.

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:

65%. Many common eLicensing elements will be shared and/or copied. Some of these common functions are inspections, complaints, certifications, enforcements, and applications.

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?

Yes

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

ADOA-ASET has acknowledged the risk of the agency running multiple project streams at once.

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:

1. Alignment with State guidelines

2. Alignment to use State approved vendors

3. Alignment with ADHS Division of Licensing eLicensing technology

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?

No

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?

Yes

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:

Utilizing current ADHS policies, procedures, and tools and protections within the Salesforce Government Cloud, and the Salesforce Shield data security product.

10. AREAS OF IMPACT

Application Systems

New Application Development

Database Systems

Software

Hardware

Hosted Solution (Cloud Implementation)

Vendor Hosted

Security

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
Internal Personnel	Other	Development	1	1	$12,873	$12,873	0.00 %	$0	$12,873
Youreka Licenses	Software	Development	1	20	$342	$6,840	860.00 %	$588	$7,428
BAs	Professional & Outside Services	Development	1	1	$144,648	$144,648	0.00 %	$0	$144,648
SF Developers	Professional & Outside Services	Development	1	1	$554,400	$554,400	0.00 %	$0	$554,400
T&O Change Consultants	Professional & Outside Services	Development	1	1	$94,206	$94,206	0.00 %	$0	$94,206
Data Engineering	Professional & Outside Services	Development	1	1	$21,756	$21,756	0.00 %	$0	$21,756
QA Analyst-KS	Professional & Outside Services	Development	1	1	$29,750	$29,750	0.00 %	$0	$29,750
SF User Licensing(20),Data Storage,File Storage	Software	Development	1	1	$34,102	$34,102	860.00 %	$2,933	$37,035
SF UL(20),Youreka(20),DS,FS	Software	Operational	2	1	$40,942	$40,942	860.00 %	$3,521	$44,463
SF UL(20),Youreka(20),DS,FS	Software	Operational	3	1	$40,942	$40,942	860.00 %	$3,521	$44,463
SF UL(20),Youreka(20),DS,FS	Software	Operational	4	1	$40,942	$40,942	860.00 %	$3,521	$44,463
SF UL(20),Youreka(20),DS,FS	Software	Operational	5	1	$40,942	$40,942	860.00 %	$3,521	$44,463

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**
$1,000,000	$0	85%
Other Non-Appropriated (Available)	**Other Non-Appropriated (To Be Req)**	**Other Non-Appropriated % of Project**
$177,850	$0	15%

Total Budget Available	Total Development Cost
$1,177,850	$902,096
Total Budget To Be Req	**Total Operational Cost**
$0	$177,852
Total Budget	**Total Cost**
$1,177,850	$1,079,948

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 Bureau reviews the following performance indicators and will continue to do so in the new solution:

1. active complaints counts

2. caseload distribution

3. inspections due (for each Surveyor)

4. survey backlogs (yearly and mid-year)

5. enforcement/legal action

6. open survey logs

7. expired licenses

8. licenses due

9. the number of Licensees by county

10. the number of Licensees by program

11. the number of Licensees by capacity

12. temporarily closed facilities

13. closed licenses

14. pending licenses

15. new licenses

16. unlicensed

17. top 10 citations

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 August 15, 2021.

14. OVERSIGHT SUMMARY

Project Background
Arizona Department of Health Services (ADHS) is responsible for leading Arizona's public health system including responding to disease outbreaks, licensing health and childcare facilities, operating the Arizona State Hospital, and improving the overall health and wellness of all Arizonans. The Bureau of Child Care Licensing, part of the Division of Licensing Services at ADHS, regulates and monitors licensed child care facilities, public school child care programs and certified child care group homes statewide.

DHS is seeking approval to leverage the Agency's existing Salesforce eLicensing platform, via a system integrator, to develop the child care facility licensing feature sets. This initiative includes solution development, organizational change management, training, and formal transition to the ADHS Salesforce Maintenance and Operations.

Business Justification
Currently, the Agency is using four independent and aging systems to manage child care facility licensing. The current process remains very paper based. The Bureau believes the new system will improve the timeline about 25% compared to the paper process. This will further integrate an additional licensing type within a single platform thereby further consolidating and modernizing the Division of Licensing's technology, improving the user experience, improving staff efficiencies, and improving the overall ease of audit of the data.

Implementation Plan
The vendor will be responsible for requirements gathering, solution development, organizational change management, training, and transition to maintenance. The agency IT team will be responsible for project management, quality assurance management, UAT testing, and maintenance and operations. Knowledge services will provide quality assurance engineers. The ADHS Business Unit will be responsible for project sponsorship, requirements approval, and UAT testing. ADOA-ASET has acknowledged the risk of the agency running multiple project streams at once.

ADOA-ASET has confirmed that the Salesforce platform is AZRamp and FedRAMP Authorized for use with state data. There is no expected downtime for the initial release. Future releases usually require downtime, but the releases will be off hours.

Vendor Selection
For the system integrator, the agency received quotes from four vendors. The proposals were evaluated based upon the proven ability of the respondent to satisfy the requirements of the request for project services in a cost-effective manner. The chosen vendor, Slalom, although not providing the most cost-effective quote, better demonstrated in the other areas of the evaluation and therefore earned the contract. It is in the opinion of ADOA-ASET the agency is in compliance with the due diligence requirements.

Budget or Funding Considerations

Milestones are based on the agency's project plan; taking into account funding, scope, risk and quality thresholds. The Arizona Department of Economic Security is funding this through a federal grant. The funding is planned to be available on July 1, 2021 and expire June 30, 2022. Funding for this effort is 85% Federal funds and 15% other non-appropriated funds.

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor
Thomas Salow

Agency CIO (or Designee)
Paula Mattingly

Agency ISO (or designee)
John Stark

OSPB Representative

ASET Engagement Manager

ASET SPR Representative
Thomas Considine

Agency SPO Representative
Christine Ruth

Agency CFO
Marianne Marrow