ADOA-ASET
Arizona Strategic Enterprise Technology

Project Investment Justification

DPS Public Services Portal

PS19011

Department of Public Safety

Contents

1. General Information

PIJ ID: PS19011
PIJ Name: DPS Public Services Portal
Account: Department of Public Safety
Business Unit Requesting: Arizona Department of Public Safety
Sponsor: Eloyed F Griego Jr
Sponsor Title: Sergeant / Section Manager
Sponsor Email: egriegojr@azdps.gov
Sponsor Phone: (602) 223-2783

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 Public Safety (DPS) is legislatively mandated to provide various licensing and regulatory services to the State of Arizona and its citizens. The licensing and regulatory units vary greatly and are each governed by different statutes which determine each unit's business practices. The varying statutes and business practices can make it difficult for customers to conduct business with DPS in a standardized and systematic manner. Most of the business customers conduct with DPS is via paper communications using United States mail and/or in person at the DPS Public Services Center in Phoenix, AZ. Under current business practices, DPS can only accept payments from customers via business checks, cashiers' checks, money orders or intergovernmental electronic transfers, unless the customer travels to the only DPS business center located in Phoenix, in which case the customer can pay using a credit card.

The highly manual process results in loss of efficiency and can be prone to errors by employees physically entering data into the DPS back-end systems. Except for obtaining forms or information, customers do not have the ability to conduct business with DPS via an online portal. Customers do not have the ability to track the progress of their business with DPS or the ability to make changes to their personal data in a direct simplified manner. It must be done via mail, in person or with a phone call. When customers make mistakes while conducting business with DPS, the corrections have to be made in person or via mail, resulting in a delay of several days before their business can be concluded.

The current DPS public website is not well suited for customers to conduct business with DPS and can lead to confusion and misdirection to an improper business unit, which results in more delays and inefficiency.

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

Automating and digitizing the licensing and regulatory processes at DPS, via the Public Services Portal (PSP) will reduce processing times, increase efficiency, and reduce manual errors which lead to waste, excess and variance in many of the DPS processes. The proposed solution will result in a customer friendly, standardized and systematic process for customers and state agencies to conduct business with DPS.

Customers will have more control over their personal information and changes and corrections can be made in an instant, instead of via mail, a phone call, or travelling to Phoenix to conduct business in person. Customers will be able to directly track the progress and status of their requests, instead of relying on phone calls, personal visits and a difficult to navigate website.

The PSP will be developed from a customer service viewpoint with ease of use and accuracy being the primary focus. Customers will be guided to the proper business unit page and the data the customer provides will be transmitted to the relevant DPS back-end system for processing. Eliminating errors and misrouting on the front-end of the process will decrease processing times and avoid needless delays.

Every inefficiency and manual process costs DPS, the State of Arizona and the tax payers time, resources and money, which will be saved by automating and digitizing many of the processes at DPS.

The technology and process changes are in support of the state's digital transformation and move toward cloud based storage technology.

DPS finds this digital transformation and cloud based solution to be in the best interest of the State of Arizona.

2.3 Describe the proposed solution to this business need.

DPS will contract with a state authorized vendor to provide and manage a new, secure, cloud based, online Public Services Portal which will connect customers directly to DPS business units. The PSP will interact with the various back-end systems in use by the various licensing and regulatory business units.

The front-end PSP system will communicate with the DPS back-end systems using a variety of vendor created Application Program Interfaces (API), eliminating the need for manual entry. The PSP will provide for a manner for the system to conduct a quality control check prior to pushing the captured data to the DPS back-end systems and provide the customer with the ability to pay for services online.

The PSP will guide the customer to the proper business unit with an easily understood step by step process. The PSP will provide the customer with the proper requirements and walk the customer through the proper protocols, ensuring the customer receives and provides all the pertinent documentation and information required to proceed with their business in a timely manner.

The PSP will allow customers to create personal accounts which will make future transactions more efficient and provide the customer with an individualized landing page to conduct business, track progress, and update their information in a timely manner. The user interface will be more intuitive resulting in greater engagement satisfaction and fewer errors. Documents will be easily and securely transferred between the customer and DPS, relieving both the customer and DPS of going through a burdensome paper process.

Phase One of the proposed solution will include the DPS Security Guard / Private Investigator Licensing Unit, Public Records Unit, Department Records Unit and the Applicant Clearance Card Team.

Phase Two will include the Concealed Weapons Permit Unit, Applicant Processing Team, and the Student Transportation Unit.

The proposed solution will be scale-able to other DPS business units and will be available across all digital media platforms.

The proposed solution is also scale-able and able to become a statewide enterprise solution for other Arizona state agencies.

Accenture was selected as the vendor, DPS is looking for a solution that is produced, serviced, and managed completely by the vendor. ICM proposal was more of a document management proposal.

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?

Yes

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

The assessment was completed for DPS to properly create the Scope of Work needed to engage and direct state vendors in their proposal and to assist the DPS team in assessing the proposals provided by the state vendors.

The assessment was provided to vendors.

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

300000

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

8285530

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).

Project Management - AZDPS and Vendor

Product Configuration - Vendor

Integration Testing - AZPDS and Vendor

End User Testing - AZDPS and Vendor

Security Testing - AZDPS, Vendor

Training - AZDPS and Vendor

On-Going Maintenance – Vendor

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?

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
1/6/2020 12:00:00 AM	7/6/2020 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 Initiation and detailed planning	01/06/20	01/20/20

Detailed planning and design sprints	01/20/20	04/13/20
Development sprints, including developing APIs, reprogramming existing IT infrastructure and developing integration protocols.	02/03/20	05/18/20
System(s) integration testing	05/04/20	05/25/20
User acceptance testing	06/01/20	06/29/20
Production deployment/release	06/29/20	07/06/20
Post implementation hyper-care and maintenance	07/06/20	07/27/20
Ongoing maintenance and operations through first year from start of contract	08/03/20	12/28/20

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?

No

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)?

Yes

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)?

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?

No

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., surplused, 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 quantities reflected are based on the number of customers served and the data required to support application and processing services by each section. This was based on known historical data, current customer loads, reasonably predicted future customers and data discovered during the assessment phase conducted by Accenture. The selected vendor vetted the provided information and determined the final needs to complete the project.

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:

Customization will be completed by DPS staff, in consultation with the vendor.

APIs - Accenture uses API standards and recommends the owners/creators of other platforms also use API standards. Accenture is available to develop and test the API's if desired and can provide a quote for that when/if desired, but it is not required for Accenture to be involved if DPS or another company or agency complete the work.

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:

Approximately 20% of the DPS systems will need to be customized to work with the proposed solution. The estimate of 20% is due to DPS reprogramming back-end systems to be compatible with the API solutions provided by the vendor.

There is no expected additional costs associated with the customized development, as the personnel who will be completing the programming are already on staff.

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

No

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:

Commercial data center environment, e.g AWS, Azure

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

It was determined the most efficient and secure way to operate the PSP in a cloud environment was to have the vendor utilize the AWS government secure cloud. The DPS IT bureau does not have the infrastructure to support such a large cloud presence. Additionally DPS would have to hire a new employee or contractor to maintain cloud operations, making a DPS hosted cloud financially impracticable.

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:

Meets all Arizona Baseline Security Controls

Maintain security patches on underlying Reach platform systems

Monitor for Reach platform system vulnerabilities and re-mediate as necessary

Monitor for threats and respond accordingly on the Reach platform

Monitor for security incidents on the Reach platform. Communicate and re-mediate incidents

Maintain security compliance for sensitive data for the Reach platform

Conduct security testing that is comprised of Static Analysis, Penetration Testing, Vulnerability assessment and compliance to OWASP. Scope of security testing includes application security testing only covering the integration adapters and does not include DPS owned network/data center/infrastructure/firewall security

Accenture will conduct NIST 800-53 assessment every 12 months, address any gaps with security, application and infrastructure leads.

All data that is retained in the REACH System, transmittal to DPS, will be secured in the same manner.

10. Areas of Impact

Application Systems

Internal Use Web Application

Database Systems

Database Consolidation/Migration/Extract Transform and Load Data;DB2;MS SQL Server

Software

COTS Application Customization;PC/LAN Systems Software;Virtualization

Hardware

LAN/WAN Infrastructure;Storage Area Network Devices

Hosted Solution (Cloud Implementation)

State Data Center;Amazon (AWS) GovCloud;Microsoft Azure

Security

Encryption;Firewall;Intrusion Prevention System (IPS);Physical Controls (Badging Systems, Iris Scanners, Other)

Telecommunications

Network Communications Infrastructure;Cabling;Wireless Access Points

Enterprise Solutions

Business Intelligence System;E-Signatures;Other Imaging - Photos, Fingerprints, etc.;Document Management/Imaging;Disaster Recovery/Business Continuity

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Initial Development and Implementation of the DPS Public Services Portal, including the REACH software, APIs, Integration and the Chat Bot. For ACCT, Licensing, DRU and PRU.	Professional & Outside Services	Development	1	1	$2,128,250	$2,128,250	0.00 %	$0	$2,128,250
Monthly maintenance and support.	License & Maintenance Fees	Development	1	12	$86,821	$1,041,856	860.00 %	$89,600	$1,131,456
Phase two implementation for CWPU, Student Transportation and APT.	Professional & Outside Services	Development	2	1	$500,000	$500,000	0.00 %	$0	$500,000
Monthly maintenance and support.	License & Maintenance Fees	Operational	2	12	$86,821	$1,041,856	860.00 %	$89,600	$1,131,456
Monthly maintenance and support.	License & Maintenance Fees	Operational	3	12	$86,821	$1,041,856	860.00 %	$89,600	$1,131,456
Monthly maintenance and support	License & Maintenance Fees	Operational	4	12	$86,821	$1,041,856	860.00 %	$89,600	$1,131,456
Monthly maintenance and support.	License & Maintenance Fees	Operational	5	12	$86,821	$1,041,856	860.00 %	$89,600	$1,131,456

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	$1,626,450	20%
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**
$6,659,080	$0	80%

Total Budget Available	Total Development Cost
$6,659,080	$3,759,706
Total Budget To Be Req	**Total Operational Cost**
$1,626,450	$4,525,824
Total Budget	**Total Cost**
$8,285,530	$8,285,530

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 PSP is a new application project for a system that does not currently exist at DPS. Initial success will be demonstrated by the production and implementation of the proposed solution in accordance with projected completion and implementation dates. Once implemented, success will be measured by a system up-time and customer engagement and satisfaction.

Success of the implementation phase will be demonstrated by a live, publicly accessible Public Services Portal that is system error free, on or before the scheduled implementation date. Ongoing success will be demonstrated by the system being operational 99.9% over a rolling 30 calendar day period, excluding scheduled maintenance.

DPS's current online customer engagement is negligible beyond simply providing FAQs and some documents for download. Each business unit will establish a baseline customer usage of the PSP within the first quarter of the implementation date. After the first quarter, success will be measured by each business unit showing a measurable increase of PSP use of 10% over baseline for the next three quarters then 5% per year.

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.

14. Oversight Summary

Project Background

DPS is the State of Arizona's law enforcement agency, the licensing unit provides various licensing and regulatory services. Most of the business customers communicate with DPS via paper, either via mail or in person. The current process is very manual and prone to errors by employees physically entering data into the DPS back-end systems. The current website is not well suited for customers to conduct business with DPS and can lead to confusion and misdirection to an improper business unit, which results in more delays and inefficiency.

Accenture will build a Public Services Portal (PSP) which will be developed from a customer service viewpoint with ease of use and accuracy being the primary focus.

Business Justification

Automating and digitizing the licensing and regulatory processes at DPS, via the Public Services Portal (PSP) will reduce processing times, increase efficiency, and reduce manual errors which lead to waste, excess and variance in many of the DPS processes. Customers will have more control over their personal information and changes and corrections can be made in an instant, instead of via mail, a phone call, or travelling to Phoenix to conduct business in person. The PSP will guide the customer to the proper business unit with an easily understood step by step process. The PSP will provide the customer with the proper requirements and walk the customer through the proper protocols, ensuring the customer receives and provides all the pertinent documentation and information required to proceed with their business in a timely manner.

Implementation Plan

DPS will contract with a state authorized vendor to bring together artificial intelligence, secure cloud hosting, multi-channel integration, and virtual agent analytics. These capabilities will help increase AZDPS staff capacity to ultimately improve service delivery outcomes. The online Public Services Portal which will connect customers directly to DPS business units.
DPS and the vendor will manage the project, be responsible for integration testing, security testing, and training. The vendor will provide on-going maintenance.

Vendor Selection

DPS was looking for a solution that is produced, serviced, and managed by the vendor. They evaluated two vendors: ICM's proposal was more of a document management solution, Accenture was able to provide a whole solution. DPS selected Accenture based on previous experience and being able to provide a complete solution.

Budget or Funding Considerations

DPS is funding this project using 80% non appropriated funds and 20% other appropriated funds.

15. PIJ Review Checklist

Agency Project Sponsor

Frank Griego

Agency CIO (or Designee)

Lt. Col. Timothy E. Chung

Agency ISO (or designee)

Roger Baune

OSPB Representative

ASET Engagement Manager

Charles Brown

ASET SPR Representative

Thomas Considine

Agency SPO Representative

Randy Williams

Agency CFO

Phil Case