Project Investment Justification

Access Voter Information Database ("AVID")

ST18001

Secretary of
State

Contents

1. GENERAL INFORMATION PIJ ID:

ST18001 **PIJ Name:** Access Voter Informa on
Database ("AVID") **Account:** Secretary of State
Business Unit Requesting: Elec on Services
Division **Sponsor:** Michele Reagan **Sponsor
Title:** Arizona Secretary of State **Sponsor Email:**
mreagan@azsos.gov **Sponsor Phone:** (602)
542-4285

2. MEETING PRE-WORK 2.1 What is the opera onal issue or business need that the

Agency is trying to solve? (i.e....current process is manual, which increases resource me/costs to the State/Agency, and leads to errors...): "The Arizona Secretary of State (AZSOS) is opera ng its current voter registra on system, VRAZ-II, on an aging pla orm that is based on a core technology (PowerBuilder) provided by Elec on Systems & So ware (ES&S), a technology that reached its peak use in the late 1990's. Within this context, it is cri cal to note that the Department of Homeland Security has designated all States' elec ons and voter registra on systems as cri cal na onal infrastructure. The State's voter registra on system was also the recipient of an aggressive foreign intrusion a empt in 2016. Given the need to address a system that is based on decades-old technology and no longer able to meet the current and emerging needs of our County partners and ci zens, combined with the need to ensure Arizona is opera ng a modern and secure voter registra on system, the Secretary of State is seeking to replace the current VRAZ II system.

Addi onally, Secretary of State contracted with an independent and objec ve outside party to assess the current capabili es of VRAZ II and the underlying technology. This contractor also noted that the base pla orm of the current VRAZ II system (wri en in PowerBuilder code base) could be considered viable for another 3 years, but a er that, would be increasingly difficult to maintain and not meet the growing cybersecurity and business requirements of a 21st century Arizona."

2.2 How will solving this issue or addressing this need benefit the State or the Agency? An updated voter registra on system would reduce user frustra on in the Coun es and achieve efficiencies such as a pla orm that will con nue to be stable past 3 years, more efficient integra on with county partners, reduce duplicate voter registra ons, and provide a smart front-end system that will perform data checks.

2.3 Describe the proposed solu on to this business need. The landscape of current vendors capable of implemen ng a Commercial Off the Shelf (COTS) Voter Registra on solu on is quite small. The Secretary of State determined that it was not an acceptable risk to procure the services of a technology vendor with limited experience in this arena, thus we did not seek bids from the system integrator community. Through a delibera ve, 9-month long process, Secretary of State iden fied current-state challenges and inefficiencies, followed by assessing solu on alterna ves, and then completed future-state business and technical requirements for the new voter registra on solu on. This led to the development and release of an RFP to procure a new solu on - this solu on will be a modern and secure VR system that is cloud-based (consistent with the State CIO's 'Cloud First' policy) and the new solu on will be the future

voter registra on solu on for the next two decades. It is based on a flexible N- er architecture that will be able to more easily meet emerging needs and legisla ve changes in the years ahead.

2.4 Has the exis ng technology environment, into which the proposed solu on will be implemented, been documented? Yes

2.4a Please describe the exis ng technology environment into which the proposed solu on will be implemented.

2.5 Have the business requirements been gathered, along with any technology requirements that have been iden fied? Yes

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

3. PRE-PIJ/ASSESSMENT 3.1 Are you submi ng this as a Pre-PIJ in order to issue a

Request for Proposal (RFP) to evaluate op ons and select a solu on that meets the project requirements? Yes

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

3.2 Will you be comple ng an assessment/Pilot/RFP phase, i.e. an evalua on 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 comple ng the

assessment/pilot/RFP and the expected deliverables.

3.2b Provide the es mated cost, if any, to conduct the assessment phase and/or Pilot and/or RFP/solicita on process.

3.2e Based on research to date, provide a high-level cost es mate to implement the final solu on.

4. PROJECT 4.1 Does your agency have a formal

project methodology in place? Yes

4.2 Describe the high level makeup and roles/responsibili es of the Agency, Vendor(s) and other third par es (i.e. agency will do...vendor will do...third party will do). Agency = Provide subject ma er experts

Vendor = Implementa on, Training, So ware
Procedures

Third Party = Project Management, Contract
oversight

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 creden aled, e.g., PMP, CPM, State cer fica on etc., please provide cer fica on
informa on.

4.4 Is the proposed procurement the result of an RFP solicita on
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 es mated Start Date and End Date of the project, and the suppor

ng Milestones of the project? No 5.2 Provide an es mated start and finish date for implemen ng the

proposed solu on. Est. Implementa on Start Date Est. Implementa on End Date 11/1/2017 12:00:00 AM
6/30/2019 12:00:00 AM

5.3 How were the start and end dates
determined? Other

5.3a List the expected high level project tasks/milestones of the project, e.g., acquire new web server, develop so ware interfaces, deploy new applica on, produc on go live, and es mate start/finish dates for each, if known.

Milestone / Task Es mated Start Date Es mated Finish Date

5.4 Have steps needed to roll-out to all impacted par es been incorporated, e.g. communica ons, planned outages, deployment plan? No 5.5 Will any physical infrastructure improvements be required prior to the implementa on of the proposed solu on. e.g., building reconstruc on, cabling, etc.? No 5.5a Does the PIJ include the facili es costs associated with construc on?

5.5b Does the project plan reflect the meline associated with comple ng the construc on?

6. IMPACT 6.1 Are there any known resource availability conflicts that could impact the project? Yes

6.1a Have the iden fied conflicts been taken into account in the project plan? No 6.2 Does your schedule have dependencies on any other projects or procurements? Yes

6.2a Please iden fy the projects or procurements. In 2018, the statewide primary and general elec on are occurring along with jurisdic onal elec ons. This prohibits any changes to the current voter registra on system and limits the amount of me available on training.

6.3 Will the implementa on involve major end user view or func onality changes? Yes

6.4 Will the proposed solu on result in a change to a public-facing applica on or system? Yes 7.

BUDGET 7.1 Is a detailed project budget reflec ng all of the up-front/startup costs to implement the project available, e.g, hardware, ini al so ware licenses, training, taxes, P&OS, etc.? Yes

7.2 Have the ongoing support costs for sustaining the proposed solu on over a 5-year lifecycle, once the project is complete, been determined, e.g., ongoing vendor hos ng 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 iden fied? Yes

7.4 Will the funding for this project expire on a specific date, regardless of project melines? No 7.5 Will the funding allocated for this project include any con ngency, in the event of cost over-runs or poten al changes in scope? Yes **8. TECHNOLOGY** 8.1 Please indicate whether a statewide enterprise solu on will be used or select the primary reason for not choosing an enterprise solu on. There is not a statewide enterprise solu on available

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

8.3 Will any so ware be acquired through the current State value-added reseller contract? No 8.3a Describe how the so ware was selected below:

8.4 Does the project involve technology that is new and/or unfamiliar to your agency, e.g., so ware 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 coordina on across mul ple
vendors? Yes

8.8 Does this project require mul ple system interfaces, e.g., APIs, data exchange with other external
applica on systems/agencies or other internal systems/divisions? Yes

8.9 Have any compa bility issues been iden fied between the proposed solu on and the exis ng
environment, e.g., upgrade to server needed before new COTS solu on can be installed? Yes

8.9a Describe below the issues that were iden fied and how they have been/will be resolved, or whether
an ADOA-ASET representa ve should contact you. The compa bility issues iden fied do not involve
ADOA-ASET; the issues lie with the current voter registra ons system integra ng with those systems of
Pima and Maricopa County. The interfaces required were iden fied in the future state analysis and have
been integrated into the RFP. It is an cipated that there will be some changes required (such as table
names, etc.) if migra ng to a new system.

8.10 Will a migra on/conversion step be required, i.e., data extract, transforma on and
load? Yes

8.11 Is this replacing an exis ng solu
on? Yes

8.11a Indicate below when the solu on being replaced was originally
acquired. The original solu on (VRAZ) was acquired through RFP on
11/10/2005.

8.11b Describe the planned disposi on of the exis ng technology below, e.g., surplused, re red, used as
backup, used for another purpose: The hardware has almost met the end of useful life and will be re
red through surplus once all proper 'cleaning' has occurred.

8.12 Describe how the agency determined the quan es reflected in the PIJ, e.g., number of hours of
P&OS, disk capacity required, number of licenses, etc. for the proposed solu on? N/A

8.13 Does the proposed solu on and associated costs reflect any assump ons regarding projected
growth, e.g., more users over me, increases in the amount of data to be stored over 5 years? Yes

8.14 Does the proposed solu on and associated costs include failover and disaster recovery con

ngencies? Yes

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

8.15 Will the vendor need to configure the proposed solu on for use by your
agency? Yes

8.15a Are the costs associated with that configura on included in the PIJ
financials? Yes

8.16 Will any app dev or customiza on of the proposed solu on 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 en rely custom developed? Yes

8.16a Will the customiza ons inhibit the ability to implement regular product updates, or to move to
future versions? No 8.16b Describe who will be customizing the solu on below: The awarded
vendor will be customizing the solu on and providing updates during the life of the system.

8.16c Do the resources that will be customizing the applica on have experience with the technology pla
orm being used, e.g., .NET, Java, Drupal? Yes

8.16d Please select the applica on development methodology that will be
used: Other

8.16e Provide an es mate of the amount of customized development required, e.g., 25% for a COTS
applica on, 100% for pure custom development, and describe how that es mate was determined
below: The percentage of customiza on will depend on the awarded vendor's solu on mee ng the
needs of Arizona.

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, regula ons,
policies, standards & procedures, incl. those for network, security, pla orm, so ware/applica on &/or
data/info found at aset.az.gov/resources/psp? Yes

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

8.18 Are there other high risk project issues that have not been iden fied as part of

this PIJ? No 8.18a Please explain all uniden fied high risk project issues below:

9. SECURITY 9.1 Will the proposed

solu on be vendor-hosted? Yes

9.1a Please select from the following vendor-hosted op
ons: Commercial data center environment, e.g AWS,
Azure

9.1b Describe the ra onale for selec ng the vendor-hosted op on below: The ra onale for selec ng the vendor-hosted op on was the greater security provided, less exposure to liability, and wan ng a cloud based solu on.

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 termina on con ngencies, e.g., solu on ownership, data ownership, applica on portability, migra on plans upon contract/support termina on? Yes

9.1e Has a Conceptual Design/Network Diagram been provided and reviewed by ASET-SPR? No

9.1f Has the spreadsheet located at h ps://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 solu on be hosted on-premise in a state

agency? No 9.2a Where will the on-premise solu on be located:

9.2b Were vendor-hosted op ons available and
reviewed?

9.2c Describe the ra onale for selec ng an on-premise op on
below:

9.2d Will any data be transmi ed 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 Informa on as defined in the 8110 Statewide Data
Classifica on Policy be transmi ed, 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: The security controls required have been outlined in the RFP.

10. AREAS OF IMPACT Applica on Systems Applica on
Enhancements;Internal Use Web Applica on;New Applica on Development

Database
Systems

So ware COTS Applica on Customiza on;COTS Applica
on Acquisi on

Hardwar
e

Hosted Solu on (Cloud Implementa
on) Amazon (AWS)
GovCloud;Microso Azure

Security Encryp on;Firewall;Intrusion Detec on System (IDS);Intrusion Preven on
System (IPS);Other

Two-Factor Authen ca
on

Telecommunica
ons

Enterprise Solu ons Geographic Informa on Systems;Document Management/Imaging;Disaster Recovery/Business Con nuity

Contract
Services/Procurements

11. FINANCIALS

Description	**PIJ**							
Category	**Cost Type**	**Fiscal**	**Spend**	**Year**				
Quantity	**Unit Cost**	**Extended Cost**	**Tax Rate**	**Tax**	**Total Cost**			

Implementa on - Project Management
Professio nal & Outside Services
Develop ment 1 1698 $128 $217,344 0.00 % $0 $217,344

Implementa -Tes ng on
So ware Develop

ment 1 2454 $128 $314,112 0.00 % $0 $314,112

Implementa -Tes ng on
So ware Develop

ment 1 1636 $128 $209,408 0.00 % $0 $209,408

Implementa on - System Development and Config.
So ware Develop

ment 1 4004 $128 $512,512 0.00 % $0 $512,512

Implementa on - System Design
Professio nal & Outside Services
Develop ment 1 1718 $128 $219,904 0.00 % $0 $219,904

Implementa on - Data Migra on So ware Develop

ment 1 2136 $128 $273,408 0.00 % $0 $273,408

Implementa on - Development and Valida on
Professio nal & Outside Services

Develop ment 1 1696 $128 $217,088 0.00 % $0 $217,088

Implementa on - Project Management
Professio nal & Outside Services
Develop ment 2 2547 $128 $326,016 0.00 % $0 $326,016

Implemnta on - Development and Valida on
Professio nal & Outside Services
Develop ment 2 2544 $128 $325,632 0.00 % $0 $325,632

Implementa on - System Design
Professio nal & Outside Services
Develop ment 2 2577 $128 $329,856 0.00 % $0 $329,856

Implementa on - System Development and Config.

So ware Develop
ment 2 6006 $128 $768,768 0.00 % $0 $768,768

Implementa on - Data Migra on So ware Develop
ment 2 3204 $128 $410,112 0.00 % $0 $410,112

Implementa on - Deployment
Professio nal & Outside Services
Develop ment 2 4160 $128 $532,480 0.00 % $0 $532,480

Ongoing - Maintainence and Opera ons
License & Maintena nce Fees
Opera nal o
2 1 $577,000 $577,000 0.00 % $0 $577,000

Ongoing - Hos ng
License & Maintena nce Fees
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12
License Ongoing -
& Maintainence
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Ongoing - Hos ng
License & Maintena nce Fees
Opera nal o
5 1 $86,000 $86,000 0.00 % $0 $86,000

Base Budget (Available) Base Budget (To Be Req) Base Budget % of Project $0 $3,263,000 45% **APF (Available) APF (To Be Req) APF % of Project** $0 $0 0% **Other Appropriated (Available) Other Appropriated (To Be Req) Other Appropriated % of Project** $2,000,000 $0 27% **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 $2,045,640 28%

Total Budget Available Total Development Cost $2,000,000 $4,656,640 **Total Budget To Be Req Total Operational Cost** $5,308,640 $2,652,000 **Total Budget Total Cost** $7,308,640 $7,308,640

12. PROJECT SUCCESS Please specify what performance indicator(s) will be referenced in

determining the success of the proposed project (e.g. increased produc vity, improved customer service, etc.)? (A minimum of one performance indicator must be specified)
Please provide the performance objec ve as a quan fiable metric for each performance indicator specified.
Note: The performance objec ve should provide the current performance level, the performance goal, and the
me period within which that performance goal is intended to be achieved. You should have an auditable means to measure and take correc ve ac on to address any devia ons. **Example** : Within 6 months of project comple on, the agency would hope to increase "Neighborhood Beau fica on" program registra on by 20% (3,986 registrants) from the current registra on count of 19,930 ac ve par cipants.
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Performance Indicators . ## 13. CONDITIONS Condi ons for Approval 1. Should the final costs

exceed the es mated costs by 10% or more, or should there be significant changes to the proposed technology, scope of work or implementa on schedule, the Agency must amend the PIJ to reflect the changes and submit it to ADOA-ASET for review and approval prior to further expenditure of funds; 2. The Arizona Baseline Security Controls document must be approved by the ADOA-ASET Security, Privacy & Risk officer, or the Agency must complete a Risk Acceptance form, prior to any State informa on being hosted by the Awarded vendor, in order to ensure that the selected solu on will provide an appropriate level of protec on for State data. 3. Once the Award for the Request for Proposal (RFP) is issued for the proposed solu on, the Agency may not proceed with further development efforts un l a change request for the PIJ reflec ng the final costs, scope of work, technology, and implementa on schedule for the proposed solu on has been submi ed to ADOA-ASET for review.

14. OVERSIGHT SUMMARY

Project Background

Business Jus fica
on

Implementa on
Plan

Vendor Selec
on

Budget or Funding Considera ons **15.**

PIJ REVIEW CHECKLIST

Agency Project Sponsor Michele Reagan

Agency CIO (or
Designee) Bill Maaske

Agency ISO (or

designee) · OSPB

Representa ve

ASET Engagement
Manager

ASET SPR
Representa ve

Agency SPO
Representa ve

Agency
CFO