Project Investment Justification

Salesforce Expansion - APF - ADOSH Divisions - Consultation & Boilers / Elevators

IC22001

Industrial Commission of Arizona

Contents

1. GENERAL INFORMATION

PIJ ID: IC22001
PIJ Name: Salesforce Expansion - APF - ADOSH Divisions - Consultation & Boilers / Elevators
Account: Industrial Commission of Arizona
Business Unit Requesting: Industrial Commission of Arizona
Sponsor: Jad Greer
Sponsor Title: CIO
Sponsor Email: jad.greer@azica.gov
Sponsor Phone: (602) 542-1823

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 ICA was created in 1925 to implement and enforce Arizona's workers' compensation laws. Since that time, the ICA's role has expanded to include other labor-related issues, including enforcement of occupational safety and health standards; employment discrimination under A.R.S. § 23-425; enforcement of youth labor, wage, minimum wage, and earned paid sick time laws; and administration of vocational rehabilitation benefits for injured workers. See A.R.S. § 23-107(a)(2) (describing the duties of the ICA). In these capacities, the ICA protects the interests of Arizona's diverse population of worker (of all ages).

ADOSH has a strategic vision to be a leader in occupational safety and health by helping to make Arizona's workplaces safe and healthy. The fulfillment of this vision is accomplished through the development and enforcement of safety and health standards and laws (Compliance), the provision of consultation and training services for employers and employees (Consultation), and the protection of the right of an employee to raise safety-related concerns without fear of retaliation (Whistleblower). ADOSH's administration of the program is accomplished through the work of its Compliance, Whistleblower, Consultation, Boiler, and Elevator sections. See https://www.azica.gov/divisions/adosh.

ADOSH's Consultation section is responsible for all safety and health education and training services, including onsite consultation visits, seminars, partnership programs (including the Voluntary Protection Program, Public Entity Partnership Program, and Safety and Health Achievement Recognition Program), and preparation and distribution of video and written material, including ADOSH's newsletter, the ADOSH Advocate. At the request of an employer, ADOSH consultants will perform an evaluation of an individual operation or an entire workplace. No citations or penalties are issued to employers utilizing consultation services as long as the employer corrects the apparent hazards which are noted as written recommendations in a letter to the employer. Education and training programs are provided to business organizations, labor organizations and individual employers upon request.

The Industrial Commission of Arizona (ICA), Division of Occupational Safety and Health ("ADOSH") uses the Federal OSHA Information System (OIS) for Consultation-related tasks. The OIS system is used to code occupational safety and health Consultation services, generate basic reports, and conduct historical research. OIS, however, was primarily designed for Federal OSHA and does not meet all of ADOSH's needs. The system is antiquated, rigid, and is not customizable. The system does not offer document management, document creation, process workflows, customer-facing functionality, or sophisticated data analytics and reporting. Additionally, the ADOSH Elevator/Boiler section generates much of its work product in paper form. A new system will allow the ADOSH Elevator/Boiler section to transition to paperless systems with integrated workflows and improved document management for enhanced efficiencies.

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

Phase 1 of the ADOSH Modernization Project will address system needs for ADOSH's consultation sections and will integrate with Federal Department of Labor systems. Integration with Federal systems will eliminate duplicate data entry processes and reduce waste. The ADOSH Consultation section will transition to a paperless system with integrated workflows, improved document management enhancing efficiencies. The system will also include enhanced data capture, analytics, document generation capabilities, interface capabilities with OIS (via an XML/SFTP interface), which will permit the ADOSH Consultation section to eliminate duplicate data entry and manual processes. The new system will also include customer-facing functionalities that will improve the customer experience, including webforms. Additionally, the new system will integrate with the existing ICA Salesforce platforms to facilitate seamless transmission of data between Divisions.

Currently, the ADOSH Consultation section generates all of their work product in paper form. A new system will allow the ADOSH Consultation section to transition to paperless systems with integrated workflows and improved document management for enhanced efficiencies. The new system will also include enhanced data capture, analytics, and document generation capabilities.

The new system must interface with OIS (via an XML/SFTP interface), which will permit the ADOSH Consultation section to eliminate duplicate data entry and manual processes. The new system will also include customer-facing functionalities that will improve the customer experience, including webforms. Additionally, the new system will integrate with the existing ICA Salesforce platforms to facilitate seamless transmission of data between Divisions.

2.3 Describe the proposed solution to this business need.

Developing a custom solution within our Salesforce Lightening cloud ICA will be in Alignment with State and Agency Strategic Goals to allow Operational Excellence Through Continuous Improvement, Efficient Customer Service Through Wise Use of Technology, align with the Governor's Fundamentals Map, Efficient and Accountable Government – Accelerating Agency Performance, IT Performance, Services Online, Speed of Service and Drive Innovative IT Solutions, Improving Processes, and Managing Risk.

In the last 3 years, the ICA has invested in Salesforce-based systems that leverage Advologix, Drawloop, Box, and Mulesoft technologies. The ICA deployed the Claims/ALJ (Administrative Law Judge) and Legal Advologix systems in 2019, the Labor Advologix system in 2020, and the ADOSH Compliance & Whistleblower Advologix systems in 2021. To fully realize the benefits of the existing systems, the ICA has determined that continued use of the Salesforce/Advologix platform will provide all needed functionality for the ADOSH Consultation section and will be the most cost-efficient approach compared to other solutions.

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.

N/A

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

0

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

0

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).

Agency will provide general oversight, internal project management, support, and training.

MST will provide overall Salesforce support.

PD Partners will provide development, implementation, training, project management, integration, and training.

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

Yes

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

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

Yes

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

Yes

5. SCHEDULE

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

Yes

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

Est. Implementation Start Date	Est. Implementation End Date
9/1/2021 12:00:00 AM	7/31/2022 12:00:00 AM

5.3 How were the start and end dates determined?

Based on funding

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
Sprint 2 - Intake Process and begin Consultation Build	10/04/21	11/01/21
Sprint 3 - Consultation Build Continued	11/01/21	01/03/22
Sprint 4 - Finish Build, Integrations, Reporting	01/03/22	03/01/22
Sprint 5 - PDP and ADOSH End-To-End Testing	03/01/22	04/04/22
Sprint 6 - User Training and Go Live Preparation	04/04/22	05/02/22
Sprint 7 - Final Data Migration	05/02/22	05/31/22
Sprint 8 - GoLive & Support	05/02/22	06/30/22
Final Vendor Payment	06/01/22	07/04/22
Sprint 1 - Initial Setup and Configurations	09/05/22	10/03/22

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

Yes

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

No

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

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

6. IMPACT

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

No

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

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

No

6.2a Please identify the projects or procurements.

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

Yes

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

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.?

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:

Customization of current software.

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?

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?

Yes

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

10+ years ago

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

Retired

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

Number of 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?

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:

Determined by RFP

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:

25%

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

Yes

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

Yes

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

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

No

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

9. SECURITY

9.1 Will the proposed solution be vendor-hosted?

No

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

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

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

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

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

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?

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:
DLP & ICF

DDoS protection

Vulnerability Assessments (internal and 3rd party)

Vulnerability Mgmt

SIEM & Security Monitoring

Adv. Endpoint Prot

Security Awareness and annual training

MFA

10. AREAS OF IMPACT
Application Systems
Application Enhancements

Database Systems

Software

COTS Application Customization

Hardware

Hosted Solution (Cloud Implementation)

Security

Telecommunications

Enterprise Solutions

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Advologix Consultation	Professional & Outside Services	Development	1	1	$397,860	$397,860	0.00 %	$0	$397,860
Box/Advo/Nintex Licenses	Software	Development	1	15	$1,191	$17,871	860.00 %	$1,537	$19,408
Box/Advo/Nintex licenses	Software	Operational	2	15	$1,191	$17,871	860.00 %	$1,537	$19,408
Box/Advo/Nintex Licenses	Software	Operational	3	15	$1,191	$17,871	860.00 %	$1,537	$19,408
Box/Advo/Nintex Licenses	Software	Operational	4	15	$1,191	$17,871	860.00 %	$1,537	$19,408
Box/Advo/Nintex Licenses	Software	Operational	5	15	$1,191	$17,871	860.00 %	$1,537	$19,408

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
$77,634	$0	16%
APF (Available)	**APF (To Be Req)**	**APF % of Project**
$417,268	$0	84%
Other Appropriated (Available)	**Other Appropriated (To Be Req)**	**Other Appropriated % of Project**
$0	$0	0%
Federal (Available)	**Federal (To Be Req)**	**Federal % of Project**
$0	$0	0%
Other Non-Appropriated (Available)	**Other Non-Appropriated (To Be Req)**	**Other Non-Appropriated % of Project**
$0	$0	0%

Total Budget Available	Total Development Cost
$494,902	$417,268
Total Budget To Be Req	**Total Operational Cost**
$0	$77,634
Total Budget	**Total Cost**
$494,902	$494,902

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

• Superior case management and case monitoring tools for ADOSH Consultation staff and management, which will improve performance/quality of work;

• Enhanced data collection, analytics, and reporting;

• Reduced paper and mail costs;

• Reduction in usage of manual processes; and

• Improved customer experience and customer service.

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 October 15, 2021.

14. OVERSIGHT SUMMARY

Project Background

Industrial Commission of Arizona (ICA) Division of Occupational Safety of Health (ADOSH) is responsible for providing workers' compensation insurance coverage. The Industrial Commission retained both its responsibility as the file of record and its authority over the processing of workers' compensation claims. The role of the Industrial Commission has included other labor-related issues such as occupational safety and health, youth employment laws, resolution of wage-related disputes, minimum wage, vocational rehabilitation, workers' compensation coverage for claimants of uninsured employers, insolvent insurance carriers, and self-insured employers.

Currently the ICA ADOSH Consultation section uses Occupational Safety and Health Administration (OSHA) Information System (OIS) which is designed for Federal OSHA and is not meeting ADOSH's needs. The system sits outside of the agency core software solution (Salesforce), is antiquated, rigid, not customizable and does not offer document management, document creation, process workflows, customer-facing functionality, or sophisticated data analytics and reporting.

ICA ADOSH Elevator/Boiler section functions with paper based processes and procedures which are negatively impacting productivity with manual processes and tracking.

Business Justification

This project will expand ICA's SalesForce allowing integration with the existing Salesforce platforms to facilitate seamless transmission of data between Divisions. ICA ADOSH's Consultation division will have the ability to interface with OSHA's OIS (via an XML/SFTP interface). ICA ADOSH Consultation division will improve performance/quality of work by eliminating duplicate data entry, manual processes, and paper processes; enhance data collection, analytics, and reporting; reduce paper and mail costs; improve customer experience and customer service; and allow customer-facing functionalities to improve customer experiences such as webforms.

Implementation Plan

Agency will be responsible for providing general oversight, internal project management, support, and training. The vendor MST will be responsible for providing overall Salesforce support.

The vendor PD Partners will be responsible for providing development, implementation, training, project management, integration, and training.

Vendor Selection
ICA selected the vendor Carahsoft for the SalesForce solution. The agency is currently using the SalesForce platform in other areas of the agency and requires the new solution to integrate with the existing ICA Salesforce platforms and to facilitate a seamless transmission of data between Divisions.

Budget or Funding Considerations
The project will be funded by 84% APF and 16% Base Budget.

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

Jason Porter

Agency CIO (or Designee)

Jad Greer

Agency ISO (or designee)

Jad Greer

OSPB Representative

ASET Engagement Manager

ASET SPR Representative

Thomas Considine

Agency SPO Representative

Agency CFO

Sylvia Simpson