Project Investment Justification

Staff & Inmate Monitoring and Tracking RFID Solution

DC23029

Arizona Department of Corrections

Contents

1. GENERAL INFORMATION

PIJ ID: DC23029
PIJ Name: Staff & Inmate Monitoring and Tracking RFID Solution
Account: Arizona Department of Corrections
Business Unit Requesting: ADCRR Central Office/ Director
Sponsor: Director Ryan Thornell
Sponsor Title: Director ADCRR
Sponsor Email: rthornell@azadc.gov
Sponsor Phone: TBD

2. MEETING PRE-WORK

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 signed Injunction No. CV-12-00601-PHX-ROS, Jensen vs. Thornell Filed April 7th 2023 mandates installation of a comprehensive RFID system within restricted movement locations across state complexes. The operational issue is that the injunction specifically calls out a need for an RFID system which will track both inmate and staff movement. ADCRR does not currently possess an RFID system to manage this operational need.

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

Installation of an RFID system will benefit the agency by oversight and compliance with the terms of the injunction. The ability to track inmate and security staff movement will allow for transparency within restricted movement spaces. The RFID system will accurately track and monitor the movement of inmates and complex staff within the facility, ensuring that they are in the designated areas and that security personnel can easily locate inmates and staff at any given time. Additionally the RFID system will provide reporting to be reviewed by court ordered monitors to ensure ADCRR is in line with injunction standards.

2.3 Describe the proposed solution to this business need.

The RFID system will track inmate and staff movement across various locations to include but not limited to, recreation, medical, commissary, counseling, programming, and various other locations. Installation of the RFID system and full implementation should be completed by December 31st 2024 and will comply with the above aforementioned injunction.

As part of the solution, we are required to perform an RFP and vet a suitable RFID vendor as a result of the RFP. The proposed solution also includes installation of the RFID system and training across all proscribed locations as called out in the injunction.

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 signed injunction No. CV-12-00601-PHX-ROS establishes the requirement for a communications engineer to provide assessment of technical requirements for the RFID proposed solution followed by the RFP. The communications engineer has provided the architectural plan to determine wireless and WIFI needs to support the RFID technology.. ADCRR has completed an RFP and vendor selection. The expected deliverables include the architectural plans for the WIFI component of the project as well as a selected vendor for both RFID and WIFI services.

This project will be presented for consideration at ITAC as two phases: Phase One includes the actual RFID system, Phase Two defines and ;lays out the WIFI system.

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

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

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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).

This project will utilize a PMO team to provide project tracking and agency oversight.

Stakeholders Roles and Responsibilities:

ADCRR Director Ryan Thornell: Project Sponsor

ADCRR Assistant Director James O'Neil: Project Stakeholder

ADCRR Restrictive Housing Administrator: Erica Altegiri

ADCRR CIO Stephen Baird: Stakeholder

ADCRR PMO Manager Nan Nesvig: Project Stakeholder and oversight manager for PM team

ADCRR Project Manager Senior (contractor): Keith Rezendez

ADCRR Business Analyst (contractor): Murali Jampani

RFID Vendor: Guardian RFID

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
12/31/2023 12:00:00 AM	12/31/2024 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 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
Procurement RFP Draft Review	08/01/23	08/30/23
RFP Internal Review and Comments	08/30/23	09/08/23
Procurement RFP Final Review	09/08/23	09/15/23
RFP Out for Bid	09/15/23	10/15/23
Vendor Bid Evaluation	10/15/23	10/20/23
Vendor Award	10/20/23	10/20/23
Project Kick off Meeting	01/03/24	01/03/24
Completion of SSP	01/03/24	01/15/24
Detailed project plan due to ADOA-ASET	02/01/24	02/16/24

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

Yes

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

Yes

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

Yes

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

Yes

6. IMPACT

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

No

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

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

No

6.2a Please identify the projects or procurements.

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

No

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

No

7. BUDGET

7.1 Is a detailed project budget reflecting all of the up-front/startup costs to implement the project available, e.g, hardware, initial software licenses, training, taxes, P&OS, etc.?

Yes

7.2 Have the ongoing support costs for sustaining the proposed solution over a 5-year lifecycle, once the project is

complete, been determined, e.g., ongoing vendor hosting costs, annual maintenance and support not acquired upfront, etc.?

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?

Yes

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.

Vendors with experience in this enterprise technology are not 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?

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?

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?

ADCRR determined the number of Scanners, readers, and tags based on the identified restrictive housing locations, cells, and watch units. Senior Field Manager as well as our Restrictive Housing Administrator compiled data to support project needs. Selected vendor provided details broken down specifically in price and equipment for each location. .

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?

8

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:

All customization will come in the form of reporting requirements. ADCRR currently projects a 10% customization for reporting functions. The vendor will be responsible for customized reports.

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:

We currently estimate a 10% customization for reporting functionality to meet agency and injunction requirements.

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?

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:

This is a SAAS offering with proprietary hardware and the vendor absorbs the cost of hosting the platform

This is a SAAS offering with proprietary hardware and the vendor absorbs the cost of hosting the platform.

This vendor is currently running the same system as a demo project (launched May 2023) at the Eyman Browning unit. All other locations will function and store data in the same manner.

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

Yes

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

Yes

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

Yes

9.1f Has the spreadsheet located at https://aset.az.gov/arizona-baseline-security-controls-excel already been completed by the vendor and approved by ASET-SPR?

No

9.2 Will the proposed solution be hosted on-premise in a state agency?

No

9.2a Where will the on-premise solution be located:

9.2b Were vendor-hosted options available and reviewed?

9.2c Describe the rationale for selecting an on-premise option below:

9.2d Will any data be transmitted into or out of the agency's on-premise environment or the State Data Center?

9.3 Will any PII, PHI, CGIS, or other Protected Information as defined in the 8110 Statewide Data Classification Policy be transmitted, stored, or processed with this project?

Yes

9.3a Describe below what security infrastructure/controls are/will be put in place to safeguard this data:

GUARDIAN RFID delivers scalable, enterprise CJIS compliance. Their Cloud partner, AWS GovCloud (US), enables customers at the state, local and federal levels to adhere to ITAR, FedRamp/FISMA High and DoD SRG impact levels 2, 4 and 5. The provider is Rackspace, which is Fedramp approved and pending Stateramp approval. The company is the largest managed cloud provider, offering expertise across cloud platforms such as, Amazon Web Services, Microsoft cloud/ Azure and OpenStack.

10. AREAS OF IMPACT

Application Systems

Other

SAAS Solution

Database Systems

MS SQL Server

Software

COTS Application Customization

Hardware

Public Safety Radios, Systems

Hosted Solution (Cloud Implementation)

Amazon (AWS) GovCloud

Security

Encryption

Telecommunications

Wireless Access Points

Enterprise Solutions

Other

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Scanners, Holsters, RFID Activator, docking stations, batteries, tags, spacers, mounts, tag installation, inmate cards, key FOB's, staff cards	Hardware	Development	1	1	$558,780	$558,780	860.00%	$48,055	$606,835
Training and implementation	Professional & Outside Services	Development	1	1	$147,280	$147,280	0.00%	$0	$147,280
RFID Platform License, operational intelligence license, Mobile command license, online learning platform	License & Maintenance Fees	Development	1	1	$849,790	$849,790	0.00%	$0	$849,790
Support & Maintenance	License & Maintenance Fees	Operational	2	1	$1,486,367	$1,486,367	0.00%	$0	$1,486,367
Support & Maintenance	License & Maintenance Fees	Operational	3	1	$1,486,367	$1,486,367	0.00%	$0	$1,486,367
Support & Maintenance	License & Maintenance Fees	Operational	4	1	$1,561,686	$1,561,686	0.00%	$0	$1,561,686
Support & Maintenance	License & Maintenance Fees	Operational	5	1	$1,638,720	$1,638,720	0.00%	$0	$1,638,720

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
$1,603,915	$0	21%
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**
$0	$0	0%
Other Non-Appropriated (Available)	**Other Non-Appropriated (To Be Req)**	**Other Non-Appropriated % of Project**
$6,173,140	$0	79%

Total Budget Available	Total Development Cost
$7,777,055	$1,603,904
Total Budget To Be Req	**Total Operational Cost**
$0	$6,173,140
Total Budget	**Total Cost**
$7,777,055	$7,777,044

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

Upon installation and go live the RFID system immediately increases flexibility and detail in Correction Officer logs versus abbreviated handwritten notes by 60%. Additionally we anticipate the following project successes:

1) Within 3 months time an RFID system can increase log efficiency by 35% over the use of clipboards and paper log entries.

2) Within 6 months time an RFID system can reduce indifference among line staff by 50% due to its ability to track with precision, adding pictures and videos to supplement validity to data obtained.

3) Within 6 months time an RFID system can increase speed to insight by Corrections Officers by 80% as data is quantifiable and queried on a more immediate basis.

4) Within 12 months time an RFID system will eliminate paper logs, paper consumption, and inaccuracies in data logging by Corrections Officers by over 70% in restricted movement areas.

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 March 15, 2024.

14. OVERSIGHT SUMMARY

Project Background

What is the role of the agency?
The role of the agency is to enhance public safety across Arizona through modern, effective correctional practices and meaningful engagements. The Arizona Department of Corrections, Rehabilitation & Reentry has embarked on a vision of REIMAGINING CORRECTIONS through four overarching and mission-centered goals.

What does the agency do?
The purpose of the State Department of Corrections (Department) is to encompass the current and future

institutions, facilities, and programs that are part of Arizona's correctional program. The Arizona Department of Corrections, Rehabilitation and Reentry (ADCRR) is committed to creating a safe, secure, and humane correctional system that provides a healthy environment for staff and offers the incarcerated population opportunities to learn

and practice the necessary skills for success upon release.

What problem is the agency resolving with this PIJ?
The signed Injunction No. CV-12-00601-PHX-ROS, Jensen vs. Thornell filed April 7th 2023 mandates installation of a comprehensive Radio Frequency Identification (RFID) system within restricted movement locations across state complexes to track both inmate and staff movement in complex detention and mental health wards.

Without an RFID system in these specific areas, it is difficult to pinpoint Correctional Officer and inmate locations in the event of emergency, and to precisely track and chart inmate movement.

Current Solution Issues
Without an RFID system in these specific areas, it is difficult to pinpoint Correctional Officer and inmate locations in the event of emergency, and to precisely track and chart inmate movement.

Business Justification

Business Justification
Overview of ADCRR designated Detention, Watch Cell, and Mental Health Units locations where the RFID solution and wireless network will be installed.

New Solution Justification
The objective of this project is to design, develop and implement an RFID-based inmate movement tracking system for each designated location. The system will accurately track and monitor the movement of inmates and complex staff within the locations, ensuring that they are in the designated areas and that security personnel can locate them based on point to point check-ins. This project will include both a wireless and an RFID component. The vendor will provide a wireless system including infrastructure, hardware, and dedicated circuit to support the RFID solution. The wireless network will be a stand-alone network, not attached to the current ADCRR network.

Implementation Plan

This project will utilize a PMO team to provide project tracking and agency oversight.
Stakeholders Roles and Responsibilities:
ADCRR Director Ryan Thornell: Project Sponsor
ADCRR Assistant Director James O'Neil: Project Stakeholder
ADCRR Restrictive Housing Administrator: Erica Altegiri
ADCRR CIO Stephen Baird: Stakeholder
ADCRR PMO Manager Nan Nesvig: Project Stakeholder and oversight manager for PM team
ADCRR Project Manager Senior (contractor): Keith Rezendez
ADCRR Business Analyst (contractor): Murali Jampani
RFID Vendor: Guardian RFID

How will the solution be hosted?
Vendor is AZRAMP Authorized. SSP was approved on 3/20/2023.

PM: Keith Rezendez

Vendor Selection

This project went out for bid through the RFP Process. Upon RFP committee review and selection, there was one bidder. The selected vendor went through a full RFP review and procurement process as required by state regulation.

All financial documents and vendor selection documents are provided in the uploaded documents section.

The RFID vendor and the WIFI vendor bids were bifurcated in the response.
Guardian RFID
No
The Director chose Guardian RFID (current RFID vendor and only respondent to the RFP) as the vendor for this project.

Budget or Funding Considerations

Base Budget: 21%
Start Date: 7/1/2023
End Date: 6/30/2024

Other Non-Appropriated: 79%

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

James O'Neil

Agency CIO (or Designee)

Steven Brunasso

Agency ISO (or designee)

Brian Makris

OSPB Representative

ASET Engagement Manager

ASET SPR Representative

Emily Gross

Agency SPO Representative

Agency CFO

Richard Evitch