



ADOA - ASET

Arizona Strategic Enterprise Technology

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title: Tobacco Enforcement System

Agency Name:	Arizona Attorney General's Office
Date:	03-03-2014
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I. Management Summary*

The Arizona Attorney General's Office (AGO) operates a statewide program to verify retailer compliance with the prohibition of tobacco sales to minors. This program works closely with Department of Health Services (DHS) to comply with the federal Synar amendment. Synar requires every state to reasonably enforce the prohibition of tobacco product sales to minors. Failure to comply can lead to the loss of \$38.4 million in annual funding to DHS. This project proposes to implement a cloud based data collection system for field investigators. The system will enable investigators to access data in the field and enhance tobacco enforcement efforts.

II. Project Investment Justification (PIJ) Type*

Yes No Is this document being provided for a Pre-PIJ / Assessment phase?

If Yes,

Identify any cost to be incurred during the Assessment phase.	\$0
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$0

Explain:

[Click here to enter text.](#)

Yes No Will a Request for Proposal (RFP) be issued as part of the Pre-PIJ or PIJ?

III. Business Case

A. **Business Problem***

AGO currently operates a youth tobacco inspection program that uses youth volunteers to test retailer compliance with the prohibition of tobacco sales to minors.

Approximately 2000 inspections are conducted annually, creating a large amount of data to be collected and organized. AGO investigators currently use a homegrown database to collect information regarding youth tobacco inspections. The existing system is grossly inadequate providing limited access and functionality.

B. **Proposed Business Solution***

The proposed system will provide a comprehensive cloud based enforcement tool which not only collects violation data, but also provides geospatial mapping and analytical functionality. It will be compatible with the Food and Drug Administration (FDA) "TIMS" system to coordinate enforcement efforts between state and federal authorities. The proposed tobacco enforcement system will ideally be used as a collective list of tobacco retailers that will be shared with DHS and Department of Revenue (DOR).

C. **Quantified Benefits***

- Service enhancement
- Increased revenue
- Cost reduction
- Problem avoidance

Risk avoidance

Explain:

Service enhancement- The proposed system provides investigators with electronic access to a collective list of tobacco retailers while in the field. Investigators will have access to citation history, store and owner detail. The system will provide geospatial mapping data on census demographics and prior assessment campaigns. Investigators will have the ability to collect data automatically recording time, date and location of assessment. Violation data will be entered onsite and automatically synchronized with the cloud. The system will provide a comprehensive enforcement map to track inspection efficiency of enforcement efforts.

Cost reduction- The new system will reduce the man hours required for data re-entry of hard copy forms. The new system will automatically populate violation forms with retail data, inspection time and location. Investigators will not have to print out revised lists of tobacco retailers sorted by various criteria including violation history and zip code.

Problem avoidance- The new system will use a geospatial component to pinpoint retailer location, eliminating the duplication of retailers in the database or creation of a legal technicality by inaccurately recording addresses. It will geographically track overall compliance to identify areas of retailers with multiple violations or with long gaps between inspections to appropriately prioritize inspections. AGO will be able to clearly demonstrate the coordinated enforcement efforts within the annual Synar report.

IV. Technology Approach

A. *Proposed Technology Solution**

The new system will be called the Tobacco Enforcement System (TES). TES will be comprised of four major components: a mobile data entry application for detailing youth tobacco inspections; a geospatial component that provides geographic mapping and analysis functionality; a cloud based database that will synchronize mobile devices as well as store and access system data; and a reporting tool. The mobile application will use the integrated geographic information system (GIS) component to definitively identify retailer location providing street address and global positioning system (GPS) coordinates. Agents will also be able to review historical inspections data in the field and check for previous violations. Investigators will be able to annotate prior violations in the citation with access to historical of infractions. The cloud based database will provide a single repository of retailer, inspection, disposition, and penalty data. The database will be searchable by any field, and the application will include the ability to generate charts and graphs of the data sets. Data can be plotted on a map and color coded by inspection, number of historical fails, product sold, proximity to schools, local demographics, and other data made available via the GIS component. The reporting functionality will have predefined reports for Synar, FDA, DHS, and the AGO.

B. *Technology Environment*

TES will replace the existing AGO homegrown Youth Tobacco database. It will be isolated from the AGO legal case management system (as is the current system), but will

have data fields formatted to be compatible with reports generated by the FDA TIMS system. All system data will be stored in the cloud at an Amazon Web Services (AWS) data center located in Northern Virginia. The AGO will not build any server or database infrastructure to support TES. The data currently housed in the old AGO Youth Tobacco database will remain available for analysis, but moving forward, all data collected as part of youth tobacco enforcement program will be stored in the AWS cloud.

The database will be the property of Counter Tools, but the data stored within the database will be the property of the AGO. Counter Tools will provide a SQL dump, an entity relational diagram (ERD), and a data dictionary upon termination of the contract or upon request of the AGO.

Counter Tools in cooperation with the Cactus Group will implement logical database security controls via the use of hierarchical groups and individual user access. The AWS facility has implemented intrusion detection systems, and 24/7 monitoring with restricted access. Professional security staff man building ingress points and all staff are required to present identification to enter the facility. All visitors and contractors are required to sign a log and are continually escorted by authorized staff. The AWS facility is FedRAMP certified.

The AGO will continue to manage a separate homegrown database of youth volunteers. This information is treated as highly confidential. Maintaining the data on an in-house server instead of a web-based application will provide additional security for the information. Youth volunteers will only be referred to by YV number in TES.

C. *Selection Process*

The TES system was developed by an academic team at the University of North Carolina Gillings School of Global Public Health. In June of 2012, this academic team formed a non-profit organization called Counter Tools. Counter Tools offers the Store Audit Center and Store Mapper as a comprehensive system to manage a team of volunteers and staff on a campaign to curtail tobacco sales to minors. Counter Tools serves public health workers in federal, state, and local governments conducting public health practice and research. They currently have established partnerships with the health departments in eight states and five counties. Ten other states are currently exploring the potential of the Counter Tools offerings. Since this system is considered public domain, there are no software license costs associated with this product suite. All project costs are associated with tablet hardware, cellular service, consulting service, training service, and support service. There is no current Arizona State procurement vehicle for the Counter Tools services. The AGO released a Request for Proposal, evaluated all bidders, and is proposing to award the contract with Counter Tools.

V. Project Approach

A. *Project Schedule**

Project Start Date: 9/2/2014 **Project End Date:** 12/15/2015

B. Project Milestones

Major Milestones	Start Date	Finish Date
Document functional specifications	09/02/2014	01/23/2015
Initial software development and testing	02/02/2015	07/31/2015
Ipad purchase and deployment	06/01/2015	08/03/2015
User system testing and documentation	08/03/2015	10/30/2015
Software defect development	08/15/2015	10/30/2015
System acceptance and deployment	11/02/2015	12/15/2015

VI. Roles and Responsibilities

A. Project Roles and Responsibilities

Assistant IT Director – Track project status. Asset coordination.
 Administrative Assistant- Create and track project orders.
 Youth Tobacco Attorney- Coordinate vendor services. Manage project.
 Youth Tobacco Special Agent- Field test system and provide feedback.
 Youth Tobacco Paralegal- Data analysis evaluation.
 DHS – Fund project development and operational costs.
 Counter Tools – Customize the Store Audit Center and Store Mapper tool set for Arizona. Train the AGO youth tobacco team on the use of the system.

B. Project Manager Certification

- Project Management Professional (PMP) Certified
- State of Arizona Certified
- Project Management Certification not required

C. Full-Time Employee (FTE) Project Hours

Total Full-Time Employee Hours	800
Total Full-Time Employee Cost	\$37,231

VII. Risk Matrix, Areas of Impact, Itemized List, PIJ Financials



Project Investment
Justification.xlsx

VIII. Project Approvals

A. Agency CIO Review*

Key Management Information	Yes	No
1. Is this project for a mission-critical application system?		X
2. Is this project referenced in your agency's Strategic IT Plan?		X
3. Is this project in compliance with all agency and State standards and policies for network, security, platform, software/application, and/or data/information as defined in http://aset.azdoa.gov/security/policies-standards-and-procedures , and applicable to this project? If NO , explain in detail in the "XI. Additional Information" section below.	X	
4. Will this project transmit, store, or process sensitive, confidential or Personally Identifiable Information (PII) data? If YES , in the "XI. Additional Information" section below, describe what security controls are being put in place to protect the data.		X
5. Is this project in compliance with the Arizona Revised Statutes (A.R.S.) and GRRC rules?	X	
6. Is this project in compliance with the statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	X	

B. Project Values*

The following table should be populated with summary information from other sections of the PIJ.

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	II. PIJ Type - Pre-PIJ Assessment Cost	\$0
Total Development Cost	VII. PIJ Financials tab	\$236,830.70
Total Project Cost	VII. PIJ Financials tab	\$549,512.30
FTE Hours	VI. Roles and Responsibilities	800

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Erika Mansur		
Agency Information Security Officer :	John Abretske		
Agency CIO:	John Abretske		
Project Sponsor:	Tom Chenal		
Agency Director:	Rick Bistrow		

IX. Optional Attachments

A. *Vendor Quotes*

X. Glossary

XI. Additional Information