



ADOA - ASET

Arizona Strategic Enterprise Technology

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title:

Consumer Complaint In-Take & Data Management System

Agency Name:	Arizona Attorney General's Office
Date:	3/9/15
Agency Contact Name:	John Abretske
Agency Contact Phone:	
Agency Contact Email:	

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I. Management Summary*

The Arizona Attorney General's Office (AGO) intends to implement a consumer complaint intake system that will replace the current system that is over 15 years old. The new system must provide the public with the ability submit complaints electronically with supporting documentation. The new system also must provide the Consumer Information and Complaint (CIC) staff with a means to ingest the electronically submitted complaints without data re-entry and generate automated responses to the public based upon key data triggers.

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***

The existing CIC system was developed prior to the turn of the millennium in support of an AGO mandate to enforce the Arizona Consumer Fraud Act. It currently processes approximately 15,000 consumer complaints annually, collecting information related to consumer fraud violations. One of the largest deficiencies associated with the existing CIC system is the amount of manual intervention required by CIC staff to enter complaints and respond to consumers. The current web-based consumer intake form does not have the ability insert records directly into the CIC database nor does it have the ability to respond electronically based upon a predetermined set of business rules. Additionally, the current system does not have the ability associate scanned images with a complaint.

B. **Proposed Business Solution***

The AGO has developed a list of eight requirements that any new CIC system should satisfy:

1. Ability to allow web-based, multi-user storage, retrieval and update of consumer complaint information by CIC staff, in a relational database.
2. Ability to allow web-based basic complaint form information, entered by consumers, to be imported into the system, along with web-based upload of documents by consumers.

3. The system should be searchable by current Complaint Number, complainant name and address information, potential violator name and address information, CIC defined tags, including Military Service, Senior (over 60), Veteran and Spanish Language, and complaint status.
4. The following information should be stored for each complaint:
 - a. Complainant name, address, multiple phone numbers, age, email address.
 - b. Complaint information, including description/summary, type of complaint (entered from a list), product or service type (entered from list), type of violation (entered from a list of violations), open and closed dates, closing codes (chosen from list), complaint status (entered from list) including who is handling the complaint, dollar amounts paid by complainant, recovered amounts.
 - c. Multiple potential violator information (as many as needed), including name, company name, address, multiple phone numbers, fax, email address, web site.
 - d. Multiple affiliated potential violator information, including "Doing Business As" (DBA), "Associate Potential Violator" (APV) name, type, business name, address, multiple phone numbers, fax, email address, web site.
 - e. CIC defined tags, including Military Service, (Senior (Over 60), Veteran and Spanish Language).
5. For each complaint, the system should be able to:
 - a. Track multiple actions done in processing the complaint (chosen from list) including sending email confirmation of receipt of complaint.
 - b. Track multiple brochures sent to the complainant.
 - c. Generate pre-designed form letters that can be sent electronically and/or hardcopy to the complainant, potential violator(s) and affiliated potential violator(s), with the ability to edit letters prior to sending.
 - d. Track recoveries of money or products..
 - e. Attach multiple documents to the complaint.
 - f. Track referrals of the complaint to other organization(s) (chosen from list).
 - g. Retain current CIC numbers (unique identifiers).
 - h. Track notes/instructions from consumer calls and for pending investigations (CIC Rules).
6. The system should allow multiple security access levels based upon role including:
 - a. Entry mode for CIC staff.
 - b. Entry plus reporting access for managers.
 - c. Read-only mode for attorneys and paralegals to all complaints.
7. Detailed and summary reporting should be provided for all stored data with non-encrypted access to the database for third party reporting system access.

8. An integrated tickler system should notify when action is needed to be taken on a complaint.

C. **Quantified Benefits***

<input checked="" type="checkbox"/>	Service enhancement
<input type="checkbox"/>	Increased revenue
<input checked="" type="checkbox"/>	Cost reduction
<input checked="" type="checkbox"/>	Problem avoidance
<input type="checkbox"/>	Risk avoidance

Explain:

Service Enhancement

Many of the consumer complaints received today are submitted via the web. The web submitted complaints are delivered to CIC staff via email, and it must be manually entered into the existing system. Requirement #2 will eliminate the need of CIC to retype the complaint. The current system does not have the ability to communicate with external entities (vendors and consumers) electronically. Requirement #5 will enable the system to communicate electronically with the Vendors (aka potential violators) and consumers based upon a pre-determined set of business rules. These communications should be more responsive than the current hard copy mailing procedure utilized today. Requirement #6 will give legal staff lookup access to complaints. Legal staff currently has to request copies of complaints from the CIC manager.

Cost Reduction

Since CIC staff will not have to re-enter web complaint submissions, CIC will have the ability to manage the growing number of complaints without the need for additional staff. Additionally, postage expenses will be reduced by the ability to send electronic correspondence to consumers and/or businesses.

Problem Avoidance

The existing CIC system document generation feature can experience occasional operational issues that are generally associated with a corrupt Normal.Dot file or a disparity in template versions. These type of technical issues can create delays in generating response communications or generate a response from an outdated template.

IV. Technology Approach

A. **Proposed Technology Solution***

The AGO has chosen a web-based solution, and it will be hosted within an AGO data center. Staff will utilize a currently supported version of Internet Explorer to access the web-based system using Windows 7 PCs. The backend system will run on Microsoft SQL Server and IIS server. The AGO will not need to add any SQL Server infrastructure to support the new system, but 40 additional SQL Server licenses are required to support this project. The AGO IT staff will install, configure, and deploy an IIS application server

to provide the web interface, but no additional software licensing or server hardware will be required. The AGO has sufficient capacity on an existing Microsoft server cluster to create an additional virtual server to run IIS. The AGO will have a redundant SQL server running in a passive mode in a separate building which could be activated in the event of a disaster that affects the primary data center. The redundant server will be actively updated with every transaction in real-time as those transactions are posted to the active SQL server.

B. *Technology Environment*

The AGO currently manages SQL Server database infrastructure with an off-site disaster recovery capability. The AGO owns an enterprise license of the reporting and data mining tools known as InfoView and Web Intelligence. These tools provide the ability to report and mine data across multiple data infrastructures simultaneously.

C. *Selection Process*

The AGO polled the National Association of Attorneys General (NAAG) to obtain a list of software development companies that offer commercial off-the-shelf complaint in-take systems. Using input from that poll, the AGO released a Request for Information (RFI) in September 2013. The hope was to find a suitable product that could be purchased via the existing State contract with SHI. The AGO received responses from approximately half a dozen vendors providing rough pricing, product descriptions, and functional capabilities. The AGO also invited each of the vendors to provide a demonstration of their product offering. Based upon this research, the caliber of product required by CIC would cost approximately \$100K in licensing and a few hundred thousand more for consulting, configuration, and training services. It was decided that an investment of this magnitude would best meet the needs of the AGO by establishing a relationship directly with a software development company. The AGO composed and released a Request for Proposal (RFP) which clearly articulated the requirements detailed in section III.B above. Several viable options were proposed and meticulously evaluated based upon their software features, expertise of their technical staff, total cost of ownership over a 5 year period, and project plan. The AGO has chosen a finalist is prepared to make a contract upon approval of this PIJ.

V. Project Approach

A. *Project Schedule**

Project Start Date: 4/6/2015 **Project End Date:** 4/15/2016

B. Project Milestones

Major Milestones	Start Date	Finish Date
Award RFP and initiate service/product ordering	4/6/15	4/24/15
Discovery	4/27/15	5/29/15
Planning	6/1/15	6/5/15
Development and configuration	6/8/15	11/25/15
Testing, QA and Training	7/13/15	2/26/16
Application use and acceptance	2/29/16	4/15/16

VI. Roles and Responsibilities

A. Project Roles and Responsibilities

AGO Technical Project Manager – Coordinate contractor efforts. Provide technical advice and support to Business Unit Project Manager. Coordinate AGO technical resources. Report project status to ASET

AGO System Engineer– Build IIS server and allocate SAN resources.

AGO Software Developer – Assist the CIC team and contract consultant in developing detailed system requirements. Advise the AGO project manager and CIC manager on technology. Attend application training. Develop system reports as needed.

AGO Database Administrator – Assist the contract team with data migration. Create database instance infrastructure and assist contract team with application access to database.

AGO Business Unit Project Manager – Coordinate with project managers and CIC team members to develop detailed system requirements and conduct system testing. Attend application training.

AGO CIC Team Members – Participate in requirement gathering sessions, providing input on detailed system requirements. Perform system testing and document results. Attend application training.

AGO Consumer Litigation Unit Attorneys and Paralegals – Attend application training.

Contract Project Manager – Coordinate contractor efforts and report project status to AGO project manager and CIC manager.

Contract Consultant – Facilitate and document system requirement sessions.

Contract Developer – Design data input screens and data process flow based upon system requirements, resolve software issues, and conduct data migration.

Contract Trainer – Develop and deliver training content.

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	1040
Total Full-Time Employee Cost	\$52,000.00

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

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	\$176,028.00
Total Project Cost	VII. PIJ Financials tab	\$300,281.80
FTE Hours	VI. Roles and Responsibilities	1040

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Donna Gagnon		
Agency Information Security Officer :	Angela Alonso		
Agency CIO:	John Abretske		
Project Sponsor:	Dena Benjamin		
Chief Deputy:	Michael Bailey		

IX. Optional Attachments

A. Vendor Quotes

X. Glossary

XI. Additional Information

Links:

[ADOA-ASET Website](#)

[ADOA-ASET Project Investment Justification Information Templates and Contacts](#)

Email Addresses:

[Strategic Oversight](#)

ADOA-ASET_Webmaster@azdoa.gov