



ADOA - ASET

Arizona Strategic Enterprise Technology

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title:

Document Management and Licensing Information System Replacement (DM-LISR)

Agency Name:	Department of Financial Institutions (DFI)
Date:	3/24/2014
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Agency Contact Phone:	
Agency Contact Email:	

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I. Management Summary*

This project includes a variety of deliverables that will significantly upgrade DFI's ability to service their constituency and will allow the agency to operate with greater efficiency. The primary deliverables include document retrieval services and the upgrade of the agency's outdated and unsupported FoxPro database to a new hosted COTS platform and Microsoft SQL Server database. This system will allow DFI customers to submit their license applications and renewals electronically and review the status of their submitted license applications online.

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.	\$
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$

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***

DFI currently has no additional system capacity for legislative changes without significant workarounds and manual processing. In addition, the current system is not fully integrated with agency business processes and does not provide the capability to address the features and functions needed to support DFI business responsibilities.

The Department regulates eighteen types of financial institutions or enterprises:

1. Advance Fee Loan Brokers
2. Banks (State Chartered)
3. Collection Agencies
4. Commercial Mortgage Bankers
5. Consumer Lenders
6. Credit Unions (State Chartered)
7. Debt Management Companies
8. Deferred Presentment Companies
9. Escrow Agents
10. Money Transmitters
11. Mortgage Bankers
12. Mortgage Brokers
13. Motor Vehicle Dealers
14. Premium Finance Companies
15. Sales Finance Companies

- 16. Savings and Loan Associations
- 17. Trust Companies
- 18. Trust Divisions (of State Chartered Institutions)

Although, a majority of DFI’s licensees (Loan Originators and Mortgage) are being serviced by the Nationwide Mortgage Licensing System and Registry (NMLS), DFI is still responsible for maintaining records and monitoring for all eighteen license types. Because, the current BDIS system is unable to have a modern application interface with NMLS, DFI staff must perform duplicate data entry for the Loan Originators and Mortgage.

DFI Business Process NMLS Work Related Activities for 2013

License Type	# Activities per Year
Loan Originators	52,544
Mortgage	22,662
Branches	11,408
Total Work Related Activities	86,614

The following is a summary of key functionality missing from the current BDIS application:

- BDIS is missing the ability to have a DFI application administrator adding or removing database fields.
- BDIS is missing the ability for multiple comments to be logged with a user name that created the comment and have an automatic date/time stamp for the comment.
- BDIS is missing the ability to track data modification through the audit trails.
- BDIS is missing the ability to import data through any means for the following key national organizations.
 - NMLS
 - Authorized Delegates
 - Call Reports
- BDIS is missing the ability to have a DFI application administrator to adjust key licensee time frames based on the DFI Superintendent Rule or Legislative changes.
- BDIS is missing the ability to have a DFI application administrator or a business manager to build key business rules based on the licensee’s exam rating for the licensee’s next monitoring frequency and action.
- BDIS lacks search capabilities for locating critical information; for example an end user must use exact spelling because the system is missing the ability to wild card searching.
- BDIS is missing data validation to prevent duplicate licensee entry.
- BDIS is missing the ability to perform invoice tracking, basic accounting, receipting and process credit card transactions.

- BDIS is missing the ability to have a DFI application administrator to create one too many relationships between key tables within the BDIS FoxPro database.

The following is a summary of features from missing from the current BDIS application which DFI handles through manual duplicate processing:

- BDIS is missing the ability to have real time work item tracking with tickler reminders, manager escalation rules, and outlook reminders for next action.
- BDIS is missing the ability to electronically manage the renewal process from the beginning with an online renewal notification to back-end processing to sending out the renewed license.
- BDIS is missing the ability for DFI system administrators and business managers to create pre-defined system reports, ad-hoc reports or basic quality assurance reports.
- BDIS is missing the ability for DFI system administrators to define mail merge letter templates based on BDIS fields.
- BDIS is missing the ability for DFI system administrators to define and maintain workflows for each DFI license type.

DFI current BDIS application technology (FoxPro) was released in 1996 and Microsoft stopped support for FoxPro version 6.0 in 2003. Microsoft no longer supports the FoxPro version used by the BDIS application and is not guaranteed to work with operating systems beyond Windows XP.

B.

Proposed Business Solution*

DFI proposes the implementation of a commercial "off-the-shelf" product that has been successfully implemented in multiple government agencies. The system was developed to be maintained by a local administrator and have professional services maintain the hosted environment and apply system patch fixes. The system is built around a Microsoft SQL server database, supports end user maintainable workflows and a configurable data entry system. This environment is considered an industry standard, and would effectively remove DFI's current dependence on outdated and unsupported technology. The proposed "off-the-shelf" solution provides the ability to implement updates and patches in an efficient and effective manner, thus mitigating system obsolescence over time.

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 checked="" type="checkbox"/>	Risk avoidance

Explain:

DFI has identified the proposed project will heighten the current information technology systems used by DFI and allow the DFI's resources to provide better client service by focusing on DFI's business application and coverage demands.

Currently, DFI's constituents process their Arizona paperwork in person or through the mail. This new system will allow those constituents an online one-stop-shop for Arizona and Federal business needs and will eliminate the requirement for DFI personnel to manually input license renewal information into the (current) FoxPro database, resulting in agency cost savings.

The proposed system will provide faster submission of licensee applications, improved application accuracy and faster backend processing within DFI offices. Additionally, applications will become easier to update as changes are needed.

For example, the speed with which loan originator applications will be processed will also benefit the licensing process of the actual Brokers and Bankers themselves. Additionally, 13 other types of licenses regulated by DFI will become electronically-enabled through this system, effectively upgrading all constituent facing services.

The system will also provide an online reporting utility for licensees thus expediting status inquiries from the applicant. This feature will dramatically enhance DFI's customer service for these applicants.

IV. Technology Approach

A. *Proposed Technology Solution**

DFI proposes to implement OnBase to automate all manual capture processes and manage those capture processes using the OnBase Enterprise Content Management (ECM) workflow tools. In addition, the ECM provides version control and security to allow for documents to be retrieved electronically. The current statement of work includes a formal functional design document deliverable that will list the actual document type groups, document types, electronic files that will be brought into OnBase and their naming conventions and index values. The following is a complete breakdown of the OnBase modules needed to fulfill DFI's functional and non-functional requirements:

Item	Description	Meet These DFI Requirements Categories
Multuser Server	Provides utilities, OnBase Configuration, Basic Text Search and Print Servers, three-tier OnBase Broker and a License to use the copyrighted OnBase Database in conjunction with a supported SQL Database Management System (DBMS) in a single instance, multi-user environment.	See DFI Nonfunctional Requirements
Concurrent Client(s)	Provides retrieval, viewing, printing, and management of documents.	See DFI

	Concurrent Clients have a minimum connection time of 5 minutes.	Nonfunctional Requirements
Named Client(s)	Provides retrieval, viewing, printing and management of documents for a single named user.	See DFI Nonfunctional Requirements
Disconnected Scanning	Provides users with a robust document capture solution that is used while disconnected from OnBase. Supports Kofax, ISIS, and TWAIN are scanning.	See DFI Nonfunctional Requirements
Document Import Processor	Import documents (scanned or other) and their respective index information. This module is often used in conjunction with third party forms processing software as well as data conversion utilities.	See DFI Functional Requirements
Workflow/Workview Concurrent Client(s)	Provides the combined functionality of Workflow and WorkView within a single license.	See DFI Functional Requirements
Workflow/Workview Named User Client(s)	Provides the combined functionality of Workflow and WorkView within a single license.	See DFI Functional Requirements
Business Activity Monitoring	Provide real-time snapshots of Workflow processes. Available through the StatusView interface of the OnBase Web Server or a SharePoint Web site, these portlets are configurable by business users who have the appropriate rights.	See DFI Functional Requirements
Document Composition	Allows for Ad-hoc creation of form letters using Microsoft Word templates. The content of the created document is a combination of merged data form templates, E-Forms, Workflow properties, web services, database queries and nested sub-templates.	See DFI Functional Requirements
Web Server	Provides an ActiveX or HTML browser interface to access documents stored in an OnBase database via the Internet, Extranet or corporate Intranet. Each physical Web Server connecting to an OnBase database requires a separate Web Server license.	See DFI Nonfunctional Requirements
Unity Client Server	Desktop client is built on .NET and WPF that provides a customizable user experience to the desktop.	See DFI Nonfunctional Requirements
EDM Services	Provides the ability to store and manage revisions of documents generated by Microsoft Office and other file formats. Includes multiple file import, revision control, version control, document commenting, check-in/checkout, automatic upload and synchronization of revisions, document templates, and the Briefcase.	See DFI Functional Requirements
Office Business Application for 2010	Allows users of Word, Excel, and PowerPoint to interact with the OnBase content through their familiar Microsoft Office interface. This integration provides users with single-click menu access for storing, retrieving, and editing OnBase documents and related content.	See DFI Functional & Nonfunctional Requirements
Office Business Application for 2010 (Concurrent User)	Intended for users in a Citrix or Terminal Services environment. Allows users of Word, Excel, and PowerPoint to interact with the OnBase content through their familiar Microsoft Office interface. This integration provides users with single-click menu access for storing, retrieving, and editing OnBase documents and related content.	See DFI Functional & Nonfunctional Requirements
Integration for Microsoft Outlook 2010	Allows a Microsoft Outlook user to interact with an OnBase system through the familiar Outlook client. Provides users the ability to save e-mails and/or any associated attachments by simply dragging the e-mail to the "OnBase" folder. Users can also retrieve documents from the interface.	See DFI Functional & Nonfunctional Requirements
Report Services	Provides the ability to closely monitor critical performance aspects of an OnBase implementation. Designed to be customizable to allow nearly any element within the OnBase system to be audited for business and IT statistics.	See DFI Functional & Nonfunctional Requirements
Unity Integration Toolkit	Provides an object-oriented API that exposes key OnBase functionality. Unity contains functionality to query, store, retrieve and modify	See DFI Functional & Nonfunctional

	documents and metadata as well as other document-centric features such as notes. The Unity Integration Toolkit is only for integration to OnBase from external applications or custom applications that exist outside of OnBase Automation.	Requirements
Encrypted Disk Groups	Enables organizations to encrypt documents as they are imported into OnBase and stored on a file server. If viewed outside of OnBase, documents will be unreadable.	See DFI Functional & Nonfunctional Requirements
Document Retention	Manages the retention and disposition of stored documents according to pre-defined business rules, involving the passage of time, allowing for automatic destruction and/or removal from the OnBase document repository.	See DFI Functional & Nonfunctional Requirements
Full-text Indexing Server for Autonomy IDOL	Provides integration with Autonomy IDOL (Intelligent Data Operating Layer) to provide advanced Full-Text searches for words or phrases that exist within documents stored in OnBase. These words or phrases can exist in Computer Output To Laser Disk (COLD) documents, text renditions of image documents (OCR'd images), and many 3rd party application documents. Can perform fuzzy searches, wildcard searches, stemming searches, thesaurus searches, and searches combining full-text and keywords on document types.	See DFI Functional & Nonfunctional Requirements
Full-text Indexing Concurrent Client(s) for Autonomy IDOL	Provides the ability to retrieve full-text data stored in Autonomy IDOL Full-Text collections. Autonomy IDOL Full-Text can index OCR images, COLD text documents, Adobe PDF documents, Microsoft Office documents, WordPerfect documents, HTML documents and many others.	See DFI Functional & Nonfunctional Requirements

B. Technology Environment

DFI is selecting a hosted solution implementation that allows DFI to lease OnBase software, licenses and annual maintenance as if they were going to implement as an on-premises solution. The difference is that the solution is installed on and run from Hyland-owned (developers of OnBase) hosted and managed servers, providing a completely “hosted” solution.

The DFI OnBase Database will be implemented with Microsoft SQL Server with full backup and recovery services.

C. Selection Process

DFI used the Arizona Document Management Contract (EPS090009) and received three separate quotes from the approved vendors.

DataBank (formerly OSAM Of Arizona, Inc) – Representing OnBase
 ICM Document Solutions, Inc. – Representing ICM ViewCenter
 HOV Services – Only provides scanned images for document management system.

DFI followed the following selection process:

1. DFI identified each vendor from the Arizona Document Management Contract and initiated contact about the project.
2. Each qualified vendor was provided an opportunity to present to the DFI their respective solution.

3. Each qualified vendor was then supplied with DFI's functional and non-functional requirements to draft a Statement of Work with an estimated price.
4. DFI's steering committee evaluated ICM and Databank based on the overall approach.
5. DFI then proceeded to select Databank and establish the Statement of Work and final pricing.

V. Project Approach

A. Project Schedule*

Project Start Date: 3/31/2014 Project End Date: 2/28/2015

B. Project Milestones

Major Milestones	Start Date	Finish Date
Planning Phase	3/28/2014	4/10/2014
Perform Formal Solution Discovery	4/10/2014	5/21/2014
Develop Function Design Documentation	5/21/2014	6/3/2014
Development Phase	6/3/2014	9/29/2014
Deployment and Testing Phase	9/29/2014	10/12/2014
Training Phase	10/12/2014	11/1/2014
Testing Phase	11/1/2014	11/28/2014
Production Migration Phase	11/28/2014	2/5/2015
Go-Live Phase	2/5/2015	2/28/2015

VI. Roles and Responsibilities

A. Project Roles and Responsibilities

Role / Title	Duties	Name
Executive Project Sponsor	<ul style="list-style-type: none"> • Final decision maker; • Provide oversight and guidance; • Provide leadership and support; • Ensure Department of Financial Institutions personnel available for project work; • Serve as final escalation point for project issues & decisions; • Communicate project status to Oversight Committees and other organization executives; • Review and approve project deliverables; • Review project status on a bi-weekly basis; 	Lauren Kingry: Superintendent of Financial Institutions
		Bob Charlton, Assistant Superintendent Financial Enterprises
Project Steering Committee	<ul style="list-style-type: none"> • Approve project deliverables; • Review project status on a bi-weekly basis; • Serve as an escalation point for project issues & decisions; • Escalate Issues to Project Sponsors as appropriate; • Ensure participation of staff subject matter experts on a timely and consistent basis; 	Lauren Kingry: Superintendent of Financial Institutions
		Bob Charlton, Assistant Superintendent Financial Enterprises
		Tamilee Smull, Manager Financial Institutions
		Michael Fowler, Manager Administration

		Richard Fergus, Manager Licensing
		Susan Zimmerman, Manager Information Technology
Project Champion	<ul style="list-style-type: none"> Act as the project's primary businesses contact Actively promote the project, build support, oversee change management issues and ensure that a new DM-LISR (MIS) solution is identified and implemented Serve as the primary contact to management for accelerating the progress towards a set of DM-LISR (MIS) requirements and obtaining the necessary resources 	Lauren Kingry: Superintendent of Financial Institutions
Project Oversight	<ul style="list-style-type: none"> Review project deliverables; Review and approve contracts for Business Analyst experts and authorize contract expenditures; Provide guidance to the project team; Supervise DFI project manager and DFI project staff. 	Lauren Kingry: Superintendent of Financial Institutions
Project Management	<ul style="list-style-type: none"> Facilitate the development of the project management plan, including the project scope statement, deliverables, time management schedule, cost, communication, change management, and risk management plans. Implement an Integrated Change Control process, which manages and controls changes to the project scope, schedule, staff resources, and cost/budget conditions. Prepare and present project status reports, including progress measurement and project forecasting, to the Executive Sponsors and the Project Steering Committee; Facilitate and develop in conjunction with the project team the project activity definitions, including resource estimates, activity sequencing and time durations, in order to better manage the day-to-day project tasks; Coordinate project communication, based upon the established communication plan; Manage project resources, to ensure time and schedule management objectives are met and competing priorities are addressed; Ensure all deliverables are reviewed, validated and approved; Manage and monitor the project budget and implement cost control measures; Escalate influencing factors and identified project issues, including recommendations for corrective actions, in a timely manner to the Project Team and DFI staff management; Identify components that would benefit with a focus group effort; Identify, manage and mitigate project risks; escalating issues as appropriate; Coordinate Business Analyst contract processes, including any SOW's, Statement of Work (SOW), and detailed engagement activities, and manage the contracts going forward; Supervise DFI project staff and Business Analyst consultants; 	Joyce Raschiatore - Program Oversight Manager Eric Tingom, Consultant Databank, Consultant (responsible for Databank Work Tasks)
Business Analyst	<ul style="list-style-type: none"> Participate in business focus groups; Assist with business process improvement research and documentation; Create detailed functional requirements documentation; Work with subject matter expert to document findings; 	Databank, Consultant
Subject Matter Experts	<ul style="list-style-type: none"> Assist with business process improvement research and documentation; Assist in documenting detailed functional requirements for the new system; Identify opportunities for cost savings through automation; Review project deliverables; 	LaTasha Ontiveros, Licensing Tammy Seto, Consumer Affairs Ron Doba, Financial Enterprises Sabrina Zimmerman, Financial Enterprises Lori Cardenas, Administration Susan Zimmerman, I.T. Mike Fowler, Administration Tamilee Smull, Financial Institutions

IT Architect	<ul style="list-style-type: none"> • Provide technical expertise to the project team; • Review, validate and approve project deliverables; • Coordinate with other technical staff; • Assist in the development of technical documentation and deliverables; 	June Beckwith, Financial Institutions Databank, Consultant
		Susan Zimmerman, I.T.

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	1080
Total Full-Time Employee Cost	\$

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	\$
Total Development Cost	VII. PIJ Financials tab	\$640,472.65
Total Project Cost	VII. PIJ Financials tab	\$1,615,863.26
FTE Hours	VI. Roles and Responsibilities	1080

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Eric Tingom		
Agency Security Officer (CISO):	Susan Zimmerman		
Agency CIO:	Susan Zimmerman		
Project Sponsor:	Lauren W. Kingry		
Agency Director:	Lauren W. Kingry		

IX. Optional Attachments

A. *Vendor Quotes*

SOW provided.

X. Glossary

XI. Additional Information

The selected vendor has agreed to meet the following Personally Identifiable Information security requirements:

The solution shall encrypt personally identifiable information data at rest in the database.

The solution shall provide the ability to control the display personally identifiable information based on user role security permissions.

The solution shall encrypt all personally identifiable information in motion and in use by a specific end user.

Links:

[ADOA-ASET Website](#)

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

Email Addresses:

[Strategic Oversight](#)

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