



**ADOA - ASET**

Arizona Strategic Enterprise Technology

**Project Investment Justification**

**Version 01.02**

A Statewide Standard Document for Information Technology Projects

**Project Title:**

**Tracking Issue Management Environment (TIME)**

<b>Agency Name:</b>	ADES
<b>Date:</b>	02/03/2014
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## I. Management Summary\*

The Department of Economic Security (DES), Division of Employment & Rehabilitation Services (DERS), Unemployment Insurance Administration (UIA), Benefits Section currently uses the Alert and Issue Management system (AIM) to track, schedule and assign claims that need to be adjudicated. When an Unemployment claim is filed if there are any issues or problems with the claim it must be sent to Adjudication for a determination before payments or a denial on the claim can be made. This system was developed in 2008 by in house staff using MS Access and MS SharePoint as a temporary solution to track the backlog of adjudications that needed to be worked during the peak of the recession. The AIM application does not meet the current business needs of the UI in terms of performance, function, and capabilities and a more robust system is needed. The current AIM application was developed by the UI IT support team without the involvement of DES Division of Technology Services (DTS). At that time DTS resources were committed to other UIA projects. AIM is not easily modified and lacks backup and recovery options. The purpose of this project is to replace the AIM application with a new system titled Tracking Issue Management Environment (TIME). TIME will be a robust .NET application designed and developed by the DES/DTS based on current user defined business requirements. The TIME application will resolve the current issues with AIM and result in a stable and supported application.

## 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\***

In 2008 Unemployment Insurance had reached an extremely high volume of claims which required adjudication. Due to the volume of claims Unemployment Insurance Administration (UIA) staff were unable to track and assign claims for adjudication in a timely manner. At that time claims were assigned manually

and tracked on lists and spreadsheets. As a result, the Unemployment Insurance Administration (UIA) had to find a quick solution to this manual process.

The UI IT team developed the AIM application using MS Access, EINSTEIN tables (UIA data warehouse) and SharePoint as an interim solution until a more permanent solution could be obtained. AIM is not supported by DTS and is run via several manual user processes on a daily basis. AIM was developed and built as needs arose and did not follow standard software development methodologies. Over time, the AIM application was enhanced with additional functionality which added to the system complexity. AIM became an application UIA staff depend on to do their job. Due to the way the application was developed, built and enhanced there is a lack of documentation and the application is almost impossible to support. The UIA IT staff that developed the application no longer work for UIA which has created serious maintenance problems for the AIM application. Limited UIA staff have knowledge of the daily processes and no UIA IT staff member has the understanding of the application to make changes and enhancements. This leaves UIA in a vulnerable position as the potential of a system failure is high with the inability to make corrections in a timely manner. To correct these vulnerabilities a replacement system must be developed to perform the same functionality as AIM but on a more stabilized and supported platform that is designed and developed by DES/DTS IT staff.

### ***Proposed Business Solution\****

The Tracking Issue Management Environment (TIME) will address the adjudication needs for the UIA staff and Management. The TIME application will be built as a .Net intranet web application with a Microsoft SQL database by DES/DTS IT staff. The application and data will be housed in the DES Data Center. The application will be fully documented from the user requirements through the use of the DTS Software Development Life Cycle (SDLC) process. Application changes will be made by DTS IT staff funded by DERS, using approved change management procedures.

TIME will be designed to encompass the following five areas.

1. Import – Import all active claims from the UIA data warehouse requiring adjudication into the TIME system daily.
2. Assign – Allow UIA management staff to assign and reassign claims to staff based on job specific criteria.
3. Adjudicator – Allow the Adjudication staff to manage and track the claims assigned to them.

4. Supervisor/Manager – Management will have the ability to view the progress on assigned claims and make changes to assignments.
5. Reports – Management will have access to all necessary reports to track staff productivity, and adjudication statistics.
6. Backups will be performed daily, recovery need only include data from the previous backup.

**B. Quantified Benefits\***

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

Explain:

TIME will be housed in the DES Data Center using virtual servers. This will allow for the capability to add additional systems resources, if and when needed, though additional costs will be incurred.

In addition, having the TIME application designed, developed, and supported by DES/DTS IT staff will allow the application to be modified if program requirements change as well as providing timely problem resolution.

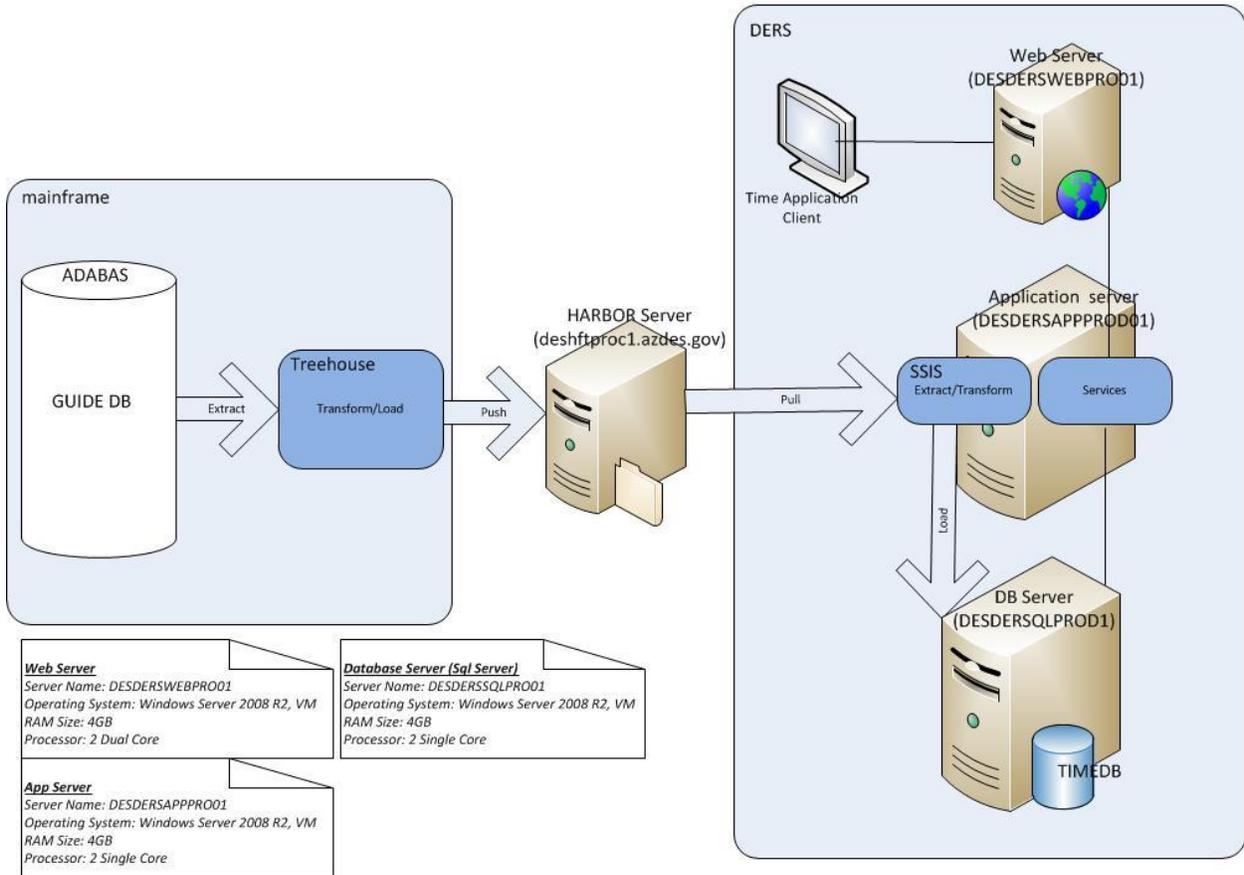
Application stability and risk avoidance are the key driving factors in replacing the AIM application. UIA staff are dependent on functional processes provided by the AIM application, but are in need of a stable system that can be enhanced to meet changing business needs. Management is also in need the reports and data to make future decisions on productivity and staffing that are not currently provided by AIMS.

**IV. Technology Approach**

**A. Proposed Technology Solution\***

The solution will be based on a three-tier intranet web architecture. Technologies include: Framework: .NET 4.0, Language: C#, Presentation tier: MVC, Web Services Tier: WCF, Data Entities, Database: SQL Server 2008 R2. The application will be designed, developed, and maintained by DES/DTS IT staff and reside on the current DES VM environment. Data from the mainframe based UI GUIDE system will be imported daily via the use of Treehouse software. The application will be designed, developed, and maintained by DES/DTS IT staff and reside on current DES VM platform.

*Time Application Strategy for Getting GUIDE Information*



**B. Technology Environment**

This TIME system solution will replace the current AIMS ACCESS/SharePoint application. The application will reside in the agency virtualized server farm environment. Specific server configuration includes:

Web Server: DESDERSWEBPROD1 – Windows Server 2008 R2, VM, 4 GB, 2 Dual core processors

Application Server: DESDERSAPPPROD1 - Windows Server 2008 R2, VM, 4 GB, 2 Single core processors

Database Server: DESDERSSQLPROD1 - Windows Server 2008 R2, 32GB, 2 Single core processors.

### C. **Selection Process**

The UIA/DTS considered alternatives to in-house development, but it was determined that there were no Commercial off the shelf (COTS) products available to address the specific processing and interface requirements defined for this project. Based on this assessment the UIA, in conjunction with DTS technical personnel, made the decision to authorize in-house development as defined in this document.

## V. Project Approach

### A. **Project Schedule\***

Project Start Date: 8/29/2013      Project End Date: 9/30/2014

### B. **Project Milestones**

Major Milestones	Start Date	Finish Date
Initiation/Planning	08/29/13	09/30/13
Requirements	10/01/13	01/02/14
Design	01/03/14	01/22/14
Construction	01/23/14	6/12/14
Testing	6/12/14	9/30/14
Training	09/15/14	9/20/14
Implementation	9/30/14	9/30/14

## VI. Roles and Responsibilities

### A. **Project Roles and Responsibilities**

Name	Title	Department	Responsibility
Andy Baldwin Mark Darmer	Project Sponsor(s)	DERS UI	Champion of the project providing the project team with leadership and direction, provides funding for the project, and participates in the review and approval process and performs deliverable sign-off.
PM-Brian Persons PL-Gregory Dyke	DTS Project Manager /Project Leader	DTS	Responsible for the activities of the project team, technical team, along with coordination, communication, issue tracking / resolution, scope management, change management, status reporting, quality assurance and auditing deliverables and is ultimately responsible for leading the project to a successful conclusion.

Name	Title	Department	Responsibility
Brian Persons Amanda Culp	Customer Manager	BTS	Responsible for the activities of the business team, along with coordination, communication, issue tracking / resolution, scope management, change management, status reporting, quality assurance and auditing deliverables and also, responsible for training, assisting the end-user community with modifications to policies, procedures, legislation, tracking customer expenditures and facilitating UAT. Acts as a backup for DTS Project Manager / Leader.
Tim Walker	Management Analyst/Customer/End-User	BTS	Responsible for assisting in the documenting of the Project Objectives Document (when assigned), Detailed Business Requirements Statement, 'As Is' and "To Be" process diagrams, user acceptance testing. Also, provides business expertise and facilitates focus groups, meetings, and JAR and JAD sessions. Ensures solution meets business requirements and specifications along with testing activities.
Anni Deshar	Developer/Programmer	DTS	Responsible as the technical expert to design and construct the business solution.
Sarah Brambila	UI Policy	UIB	Ensures all UI rules, regulations and business needs are met. Provide business expertise during JAD sessions and business requirement discussions. Assist with User Acceptance Testing when requested.
Robbin Cook	UI Policy	UIB	Provide business expertise during JAD sessions and business requirement discussions. Assist with User Acceptance Testing when requested.
Kevin Curiel	UI Adjudication Supervisor	UIB	Provide business expertise during JAD sessions and business requirement discussions. Assist with User Acceptance Testing when requested.
Miryam Valenzuela	UI Assistant Manager	UIA	Responsible for making decisions when one is required. Provide business expertise during JAD sessions and business requirement discussions. Assist with User Acceptance Testing when requested.

Name	Title	Department	Responsibility
Al Barbieri	Enterprise Architect	EA	Responsible to review application architecture for fit in DES environment.
Carl Carpenter	CISO	DTS IRM	Responsible for ensuring application conforms to agency security requirements.
Allen Platt	DCSO Administrator	DCSO	Responsible for ensuring adequate capacity in server environment and infrastructure support.
Ghada Giliana	Change/Release Manager	DTS	Responsible for assessing environmental impact of application deployment.

**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\*\***

\*\*This total includes estimated project management, Internal Business Administrators and support staff hours to be used during the duration of the project.

<b>Total Full-Time Employee Hours</b>	3125
<b>Total Full-Time Employee Cost</b>	\$218,000

**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 <a href="http://aset.azdoa.gov/security/policies-standards-and-procedures">http://aset.azdoa.gov/security/policies-standards-and-procedures</a> , and applicable to this project? If <b>NO</b> , 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 <b>YES</b> , 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	\$225,000
Total Project Cost	VII. PIJ Financials tab	\$445,000
FTE Hours	VI. Roles and Responsibilities	3125

### C. Agency Approvals\*

Contact	Printed Name	Signature	Email and Phone
Agency CIO:	Mike Dellner		

## IX. Optional Attachments

### A. *Vendor Quotes*

## X. Glossary

## XI. Additional Information

Project security controls include conformance with NIST and all Federal and State data security requirements as well as with all agency security polices will be validate by the DES CISO prior to design finalization. Data encryption will be implemented between all tiers of the application as currently supportable within the DES Server Farm environment.

Links:

[ADOA-ASET Website](#)

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

Email Addresses:

[Strategic Oversight](#)

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