



ADOA-ASET

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title:

On-Line Automated Forms Portal

Agency Name:	DES – Division of Child Support Services (DCSS)
Date:	November 20, 2014
Agency Contact Name:	Kim Hartleroad
Agency Contact Phone:	
Agency Contact Email:	

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I. Management Summary*

The DES Division of Child Support Services (DCSS) provides assistance to approximately 190,000 families and 290,000 children in Arizona. The Division is charged with collection of child support monies from non-custodial parents and distribution to custodial parents. A large number of the cases managed by the Division are complex, constantly changing and labor-intensive.

The Division maintains a significant IT infrastructure, including a mainframe system (ATLAS – Arizona Tracking and Locate Automated System) which processes approximately 2,500,000 batch transactions daily and over \$700,000,000 in annual child support payments. To support the volume of activity the division has invested significant effort to automate as many of its business processes as possible.

A key component of child support case management is accepting and processing documents submitted by the custodial parents and non-custodial parents. These documents are paper-based, are paramount in managing a case and include forms such as a request for services, request for support modification and change in employment. Despite efforts to automate many other areas of the division, the paper-based documents are a source of needed improvement.

This PIJ is for development and implementation of an On-Line Automated Forms Portal which will provide clients with the capability to complete a form via a question and answer process similar in concept to TurboTax. Forms completed on the portal will be electronically submitted to the Division for review and processing. Key areas of improvement include:

- Quality of the form submitted by a client
- Efficiency (for the Division)
- Convenience (for the client)

DCSS is evaluating its inventory of forms to ensure all appropriate forms are included in the On-Line Automated Forms Portal. The number of forms affected will be approximately 15 – 25.

DCSS is currently evaluating products and intends to select a State-contracted vendor. The vendor will build the forms portal using COTS products and manage hosting services in a neutral hosting facility. DCSS resources will build the logic diagrams for each form to ensure the question and answer flow and field validation rules are correctly modeled.

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:

7T

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

III. Business Case

A. Business Problem*

DCSS processes approximately 50,000 paper-based forms on an annual basis. These forms are critical for effective processing of child support cases and have strict federal requirements which mandate accurate processing (see Attachment A: *DCSS Forms*). Due to the paper-based process, significant business challenges limit the Division's opportunities for efficiency improvement and limit the convenience options which are offered to customers. The business challenges can be grouped into three categories:

- *Quality of the form submitted by a client*
 - Handwritten
 - Illegible (not uncommon)
 - Client does not understand form requirements
 - Error-checking and missing information
 - Client must bring supporting documents (such as birth certificates, driver license copies, etc.) to DCSS office for scanning
- *Inefficient (for the Division)*
 - Documents must be checked and often re-worked by case worker prior to input into ATLAS
 - Manual data entry by case worker into ATLAS
 - Manual scanning of documents into On-Base
 - Incorrect interpretation of client data causes re-work and federal audit concerns
- *Inconvenient (for the client)*
 - One or more trips to the DCSS office often required
 - Periodic backlog of processing can lengthen DCSS response to the customer

B. Proposed Business Solution*

The proposed solution is to establish an On-line Automated Forms Portal that will allow customers to complete and submit the forms electronically without having to print and mail or come to a DCSS office. The Portal will give customers the ability to complete the forms over multiple sessions by establishing a unique account. The electronic forms will contain logic to ensure that all information is complete and as accurate as possible prior to submission to the agency.

Upon submission, the agency will review the electronic forms to ensure they are valid prior to being uploaded to ATLAS on a batch basis. Images of a completed form will be uploaded to the DCSS On-Base document management repository. In addition, client will be able to upload supporting documentation (such as a birth certificate, driver license copy, etc.)

Implementation of this project will result in:

- The elimination of case worker data entry
- Eliminate forms being incomplete or illegible
- Eliminate data entry errors
- 24x7 customer availability
- Customer will be able to utilize mobile devices for forms completion due to responsive design
- Forms will be received by agency in a more timely manner
- Forms will be processed in a more timely manner

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

50,000 paper-based forms submitted to DCSS annually

- Service Enhancement
 - Convenience for customers
 - Mobile / tablet capabilities
 - Reduces requirement to visit DCSS office one or more times
 - Simplifies forms submission process
- Cost Reduction (Examples)
 - Reduction of caseworker time assisting client with forms completion
 - 50,000 forms X 15 minutes / form = 12,500 hours / year savings
 - Reduction of manual input of required for forms data entry
 - 50,000 forms X 20 minutes s / form = 16,666 hours / year savings
- Problem Avoidance
 - Re-work of incomplete, inaccurate and/or non-legible forms
- Risk Avoidance
 - Increased compliance with Federal program rules due to reduction of forms entered into system incorrectly or misunderstood
 - Reduction of adverse audit findings

IV. Technology Approach

A. ***Proposed Technology Solution****

The proposed technology solution minimizes the amount of custom development required. Vendor products and services are available via State contract and no RFP is required. The vendor products are COTS solutions combined with a vendor-provided rules engine for building the logic necessary for each form. The rules engine is configurable allowing easy build and modification (if necessary) of DES-DCSS forms. DCSS personnel will develop the logical flow diagram for each form.

Applicant/client data will be captured from the vendor hosted site where it will be held for review by DCSS staff. Upon review and acceptance by DCSS staff, the data will be transmitted to DCSS via a SFTP batch process where it will be uploaded to ATLAS. Additionally, a minimal amount of case information (such as case number) will be periodically transmitted to the host from DCSS via a SFTP batch process. This information will be used by the host to confirm valid information is being entered by the customer as the forms are being completed. The solution will be based on Adobe products and support services. Core components are the Adobe Experience Manager (AEM) Forms, AEM Workflow and AEM Sites. Attachment B, *Vendor Quote*, provides additional detail.

Hosting and Security:

The technology solution will be a managed service which is hosted in a neutral hosting facility. Services provided will be via the Amazon Web Service (AWS) GovCloud infrastructure. The AWS GovCloud infrastructure is FedRamp certified to ensure protection of PII data. Connection to DES-DCSS infrastructure will be via SFTP batch file transfer and VPN connection as required. Note: IRS data, financial transactions and/or HIPAA transactions are not included in the managed service offering for DES-DCSS.

B. ***Technology Environment***

DES-DCSS desires a cloud-based solution, managed by a vendor, in a neutral hosting facility. In addition, COTS products are desired so that configuration changes can be easily made to an existing form or to add a new form. DCSS desires to not be dependent on a heavily customized product(s).

C. ***Selection Process***

DCSS considered several alternatives in the selection process.

- Internal development – this approach was researched and determined we do not have internal staff available to dedicate time required for a project of this scope. In addition, it was determined that internal staff does not have the skill sets to implement this type of solution without a significant training investment
- Hosting – hardware and software resources for this type of solution do not exist in-house and would require purchase of hardware and software and addition of appropriate support staff
- Software licensing – evaluated whether more cost effective to utilize a managed services approach rather than purchase licenses outright (with annual maintenance agreements). A cloud-based, managed services solution was determined to be the most cost effective

V. Project Approach

A. *Project Schedule**

Project Start Date: 5/1/2014 Project End Date: 11/2/2015

B. *Project Milestones*

Major Milestones	Start Date	Finish Date
Phase 1 – Evaluation (Discovery)	May 2014	Nov 2014
Phase 2 – Statement of Work Finalization, Procurement of Services	Nov 2014	Nov 2014
Phase 3 – Development of Forms Logical Flow	Dec 2014	Jun 2015
Phase 4 – Development of Forms and Import Process	Feb 2015	Sept 2015
Phase 5 – Testing, Training and Implementation	Oct 2015	Nov 2015
Phase 6 – Production	Dec 2015	

VI. Roles and Responsibilities

A. *Project Roles and Responsibilities*

Name	Title	Project Role / Responsibility
Scott Lekan	Deputy Assistant Director	Project Sponsor
Andy Miller	Business Analyst Manager	Project Manager
TBD		Project Manager - Vendor
Heather Noble	CSS Operations Administrator	Business SME
James Zbiegien	Info Tech Specialist IV	Technical Expert
Chris Bucher	Procurement Manager	Procurement Staff

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	500
Total Full-Time Employee Cost	\$12,640

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	\$516,536
Total Project Cost	VII. PIJ Financials tab	\$2,643,467
FTE Hours	VI. Roles and Responsibilities	500

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Agency Director:	Clarence Carter		
Agency CIO:	Michael Dellner		
Project Sponsor:	Andy Miller		
Agency Information Security Officer:	Carl Carpenter		

IX. Optional Attachments

- X. Glossary
- XI. Additional Information

Links:

[ADOA-ASET Website](#)

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

Email Addresses:

[Strategic Oversight](#)

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