



ADOA-ASET

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title:

WOTC Transfer

Agency Name:	Department of Economic Security
Date:	05/05/2015
Agency Contact Name:	Kim Hartleroad
Agency Contact Phone:	
Agency Contact Email:	

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I. Management Summary*

The DES Division of Employment & Rehabilitation Services (DERS) Employment Services (ES) is responsible for the Work Opportunity Tax Credit (WOTC) system which is an automated management tool with three basic functions related to the WOTC federal program. First, it allows employers to report hired employees who meet specific benefit program criteria on federal forms. The second function allows employer consultants, who have power of attorney, to submit applications for employers either individually or in batches. Finally, the WOTC system allows the State's WOTC management team to process program applications, maintain user accounts, and submit federal reports electronically.

The current system is old and lacks the reliability to meet the processing needs of its users. The system is in need of replacement with a software product that provides a high level of data security, meets current business requirements, and is reliable. In this PIJ we are requesting to have American Job Link Alliance (AJLA) in Topeka, Kansas host and maintain Arizona's WOTC system.

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***

The current WOTC application is a web-based application and is almost ten years old. The current application contains bad data because there aren't sufficient edits in place to prevent the recording of bad information. In addition, the Federal Department of Labor is requiring e-signatures functionality to verify employers. The current system does not have this capability and would require a complete rewrite. The current application, because of its age, is not compatible with Internet Explorer 10 or higher and intermittently works with Google Chrome. In addition it only works with Adobe Reader 9 and lower. This presents security and compatibility issues. Even with the older internet browsers, it doesn't always work. The users often have to enter data three to four times before it will update the database correctly.

B. Proposed Business Solution*

The American Job Link Alliance in Topeka, Kansas will host and maintain the WOTC system. AJLA will be creating an instance of their current application for Arizona. It will be a separate application with its own database, username and passwords. The web-based WOTC system streamlines WOTC program management with an efficient, paperless workflow, data entry verification, user account management, documentation, and record storage, e-signature, and online reports.

The functional capabilities of this software product and service will meet the processing requirement of the ES and provide a new comprehensive means of providing this required service for ES personnel.

C. Quantified Benefits*

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

Explain:

Service Enhancement: System will provide reliable and secure means of performing ES/WOTC business functions. The Federal Government is now requiring WOTC systems to use e-signature; the current system does not have this functionality. This may result in a compliance issue with the Federal Government.

Cost Reduction: Contracting with AJLA to develop and host this application will eliminate the cost of a developer in house and staff that are required to store paper copies of documents that will not be stored electronically.

Risk Avoidance: Provides a more secure operational environment in compliance with Federal Department of Labor data security policies and regulations.

IV. Technology Approach

A. Proposed Technology Solution*

The ES will contract with the AJLA to establish an instance of their current application for Arizona. The AJLA data center meets all federal data security requirements, is secure, and has a record of reliability. The America’s Job Link Alliance –Technical Support (AJLA–TS), received a grant from USDOL/ETA in 2007 and has since developed national level aggregate performance reports for all programs falling outside the Trade Adjustment Assistance (TAA) Workforce Investment Act (WIA), and Wagner-Peyser umbrella. These include Registered Apprenticeship, Green Grants, H-1B grants, High Growth Job Training Initiative (HGJTI programs), Indian and Native American Programs (INAP), Community-Based Job Training Grants (CJTG) programs, National Farmworker Jobs Program (NFJP), and the Job Corps. As a result, America’s Job Link Alliance security practices relative to this reporting for the federal government are reviewed and scored annually. Part of the process for continuation of the grant also includes a requirement for AJLA-TS to certify our system and data center as compliant with the Federal

Employment Data Exchange System (FEDES) requirements for the storage of personal identifiable information.

The current rating is provided below:

Data Classification - The FIPS 199 information sensitivity levels for the Kansas system are as follows:

Criticality of System	Category of Sensitivity: High, Moderate, or Low
Confidentiality	Moderate
Integrity	Moderate
Availability	Low

The overall Security Categorization of the Kansas system is Moderate. The application and review of this classification was performed by Dave McEachern of AJLA-TS and was certified by AJLA-TS Director, Christine Bohannon. It is certified annually, with current approval expiring on December 15, 2015.

B. Technology Environment

The AJLA-WOTC system is based on ASP.NET and Visual Basic on Windows Server 2012. The database is SQL Server 2008. The AJLA works closely with the Federal Department of Labor to ensure compliance with all federally defined processing requirements.

C. Selection Process

The AJLA-TS is already a client of the Arizona Department of Economic Security, hosting its America’s Job Connection application for job seekers. The AJLA-TS will host the State of Arizona’s Employment Services WOTC application. There are currently 15 member states making use of the AJLA-TS WOTC application and hosting services.

V. Project Approach

A. Project Schedule*

Project Start Date: 5/15/2015 **Project End Date:** 6/11/2015

B. Project Milestones

Major Milestones	Start Date	Finish Date
Project setup	5/15/2015	5/19/2015
Conversion/Testing	5/19/2015	5/25/2015
Configure Production Environment	5/25/2015	6/01/2015
Cutover	6/01/2015	6/02/2015
Post implementation follow up	6/3/2015	6/11/2015

VI. Roles and Responsibilities

A. Project Roles and Responsibilities

Project Sponsor	Portfolio Manager	Project Manager	Tech Lead
Peggy Feenan	Julie Lawson	David Hughes	Scott Bowman
Christine Bohannon		Sam Hopper	-
DBA	QA	Tester	Business Analyst
Dennis LaMunyon	Jessica Fernandez	Regena Wheeler	Melanie Henry
Developer			
Matt Worchester	Matt Soper	Melanie Henry	
Security			
Carl Carpenter			

A. Project Manager Certification

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

B. Full-Time Employee (FTE) Project Hours

Total Full-Time Employee Hours	200
Total Full-Time Employee Cost	\$13,800

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	\$50,000
Total Project Cost	VII. PIJ Financials tab	\$200,000
FTE Hours	VI. Roles and Responsibilities	200

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Agency CIO:	Michael Dellner	Sent under another cover (email)	

Contact	Printed Name	Signature	Email and Phone
Project Manager:	David M. Hughes	Sent under another cover (email)	
Agency Information Security Officer:	Carl Carpenter	Sent under another cover (email)	
Agency Chief Financial Officer - FSA:	Debra Peterson	Sent under another cover (email)	
Project Sponsor:	Peggy Feenan	Sent under another cover (email)	

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