



**ADOA-ASET**

Arizona Strategic Enterprise Technology

## **Project Investment Justification (PIJ)**

*Including Instructions*

*A Statewide Standard  
Document for Information Technology Projects*

**Project Title: SMRF Electronic Submission Project**

**Agency Name: Arizona Department of Environmental Quality**

**Date: July 29, 2013**

**Prepared By: Khursheed Mallick**

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## PROJECT INVESTMENT JUSTIFICATION (PIJ) TEMPLATE DECISION MATRIX

*Determine the project type and estimated cost of the project, and complete the appropriate template/information. The instructions can be deleted within this document once the PIJ has been populated.*

After determining the category of project, complete the sections of the PIJ or PIJ Lite document as indicated below. All projects with \$25,000 or more in development expense require that a PIJ or PIJ Lite be approved by ASET. All projects with \$1,000,000 or more in development expense require a PIJ to be approved by the Information Technology Authorization Committee (ITAC) as well.

ASET may request additional information or require completion of additional sections, if the project is deemed critical in nature.

Category	PIJ Lite	Pre PIJ *	PIJ	ITAC Review
<b>Low Risk</b> projects: Including Operational Infrastructure Upgrades ( <i>i.e.</i> PC Replacement/Refresh, Network Upgrades)	●			
<b>Medium Risk</b> projects		Optional	●	
<b>High Risk</b> projects		Optional	●	
<b>Very High Risk</b> projects		Optional	●	
<b>\$1.0M and Above</b> projects		Optional	●	●

Section	Category	PIJ Lite	Pre PIJ *	PIJ	Add for ITAC \$1.0M+
I.	<b>General Information</b>				
I.A	General Information	●	●	●	
I.B	Special Funding Considerations		●	●	
II.	<b>Project Overview</b>				
II.A	Management Summary	●	●	●	
II.B	Existing Situation & Problem, "As Is"	●	●	●	
II.C	Proposed Changes & Objectives, "To Be"	●	●	●	
II.D	Proposed Technology Approach		●		
III.	<b>Project Approach</b>				
III.A	Proposed Technology	●		●	
III.B	Other Alternatives Considered			●	
III.C	Major Deliverables & Outcomes	●		●	
IV.	<b>Policies, Standards &amp; Procedures</b>				
IV.A	Enterprise Architecture	●		●	
IV.B	Service Oriented Architecture Planning & Implementation			●	
IV.C	Disaster Recovery Plan & Business Continuity Plan			●	
IV.D	Project Operations			●	
IV.E	Web Development Initiative			●	
IV.F	IT State Goals			●	
V.	<b>Roles and Responsibilities</b>				
V.A	Roles and Responsibilities	●		●	
VI.	<b>Project Benefits</b>				
VI.A	Benefits to the State			●	
VI.B	Value to the Public			●	
VII.	<b>Project Timeline</b>				
VII.A	Project Schedule	●	●	●	
VIII.	<b>Project Financials</b>				

VIII.A	Pre-Assessment Project Financials		●		
VIII.B	Detailed Project Financials	●		●	
VIII.C	Funding Source	●	●	●	
VIII.D	Special Terms and Conditions (if required)	●	●	●	
VIII.E	Full Time Employee (FTE) Hours	●		●	
IX.	Project Classification & Risk Assessment				
IX.A	Project Classification & Risk Assessment Matrix	●		●	
X.	Project Approvals				
X.A	CIO Review	●	●	●	
X.B	Project Values	●	●	●	
X.C	Project Approvals	●	●	●	
<b>Appendix</b>					
A	Itemized List with Costs	●		●	
B	Connectivity Diagram				●
C	Gantt Chart, Project Management Summary				●
D	NOI (Web Projects Only)	●		●	

\* **Pre PIJ** is optional for agencies seeking approval from external entities to contract for outside labor or resources to assess scope, technology and approach. After the assessment is completed, full project details will be added to the PIJ for final PIJ Approval.

**NOTE: Pre PIJ Assessments are not required for all projects but up to the discretion of the Agency.**

## Document Instructions:

Double click on square  **Yes**  **No** and select “checked” for the appropriate box then select “OK”.

The screenshot shows the 'Check Box Form Field Options' dialog box. The 'Check box size' section has 'Auto' selected. The 'Default value' section has 'Not checked' selected. The 'Run macro on' section has empty dropdown menus for 'Entry:' and 'Exit:'. The 'Field settings' section has an empty 'Bookmark:' field, 'Check box enabled' checked, and 'Calculate on exit' unchecked. The 'OK' button is highlighted.

## ASET Forms:

*Project forms are available on the ADOA ASET website – see links below*

Project Investment Justification Documents - <http://aset.azdoa.gov/content/project-investment-justification>

Project Oversight Status Report and Change Request Form –  
[http://aset.azdoa.gov/sites/default/files/media/docs/StatusRpt%26ProjChangeForm\\_0.xls](http://aset.azdoa.gov/sites/default/files/media/docs/StatusRpt%26ProjChangeForm_0.xls)

Web Development Initiatives - Notice of Intent (NOI) form –  
<http://aset.azdoa.gov/node/15>

## I. General Information {A}

Fill out agency information requested below.

### I.A General Information {A}

<b>Agency CIO:</b>	Gary A. Heller	<b>Contact Phone:</b>	
<b>Agency Contact Name:</b>	Khursheed Mallick	<b>Contact Phone:</b>	
<b>Agency Contact Email:</b>		<b>Prepared Date:</b>	July 12, 2013

### I.B Special Funding Considerations {A}

Select YES if this project requires approval for an Agency to issue an RFP or to contract for outside labor or resources to evaluate the scope of a project, in order to assess true costs associated with the proposed technology and approach. After the assessment is completed, full project details will be added to the PIJ for final PIJ Approval. **IMPORTANT: If filling out this template for Pre PIJ Assessment Approval, each section marked with an {A} is to be filled out with preliminary information – detailed information will be updated after assessment and for the final approval.**

Yes  No - Does this project require funding approved for a Pre PIJ Assessment phase?

If YES, provide details for the Pre PIJ Assessment funding needs by filling out the areas marked with {A} or {Required for Pre-PIJ Assessment only}. Further information and details will be required after the assessment for the Final PIJ approval.

If NO, provide details for the Final PIJ by filling out all areas excluding those sections marked with {Required for Pre-PIJ Assessment only}.

## II. Project Overview

### II.A Management Summary {A}

Provide a concise management-level summary of key information described in more detail in the body of the PIJ, including the objectives of the project in terms of what problem is expected to be addressed, the specific solution being proposed to accomplish those objectives, and a quantified justification explaining why/how the solution is needed to deliver the expected business objectives. This section should be completed last, once the remaining sections of the PIJ have been filled in.

#### I. Problem Description

ADEQ processes roughly 28,000 transactions annually via paper form for various permits, reports, and receives payments from roughly 16,000 facilities. This causes ADEQ and the regulated community to enter the data multiple times, increased amount of re-work, and manual reporting. All of this manual effort is error prone and time consuming. This results in permits taking too long to issue, an increased number of facilities out of compliance, and an inefficient process for our customers.

#### II. Solution

ADEQ has already completed the Proof of Concept project which was approved by ASET (EV13003 - ADEQ e-Permitting, e-Payment, and e-Reporting Proof of Concept). During this project, ADEQ collected business requirements, developed wireframes and is in the process of completing the functional requirements for the following:

1. General Permit – Crushing and Screening
2. Compliance Certification – Crushing and Screening
3. General Permit – Aquifer Protection Type
4. Hazardous Waste Annual Report
5. UST Notification
6. Hazardous Waste EPA ID
7. Minor Permit Amendments
8. **Self-Monitoring Report Forms (SMRF)**

We have also drafted the Software Architecture Document (SAD) and PowerPoint presentation of the same. They are attached to this PIJ.

In the phase being proposed in this PIJ, ADEQ intends to implement the infrastructure for the development and roll out of myDEQ web portal and develop and implement the SMRF module by first week of October. We will use AGILE framework for this project. This PIJ is only for SPRINT 0 which will create the infrastructure and SPRINT 1 which will develop and implement SMRF module.

### **III. Quantified Justification**

1. The submittal of applications on-line saves wait time for the applicant by receiving agency feedback at the time of submittal instead of waiting up to 3 months to receive agency correspondence on their permit request. This will allow agency staff to focus time on value-added tasks of quality control and verification of submitted information.
2. Increase in customer satisfaction
3. Cost Reduction. For example, today ADEQ spends about \$20 to process a check. We receive about 4,000 checks a month. Automating the payments will reduce costs approximately equivalent to one (1) FTE.
4. This will provide justification to implement e-solution for all of the 70 types of permits.
5. Increase in morale of ADEQ's employees
6. Relatively low risk of this project compared to the potential benefits coming out of this project.
7. Goes hand-in-hand with the state's plan for creating portals for tax payers and companies

### **II.B Existing Situation and Problem, "As Is" {A}**

*Explain the current business situation and/or technology challenges that need to be addressed. Provide specific information about current staffing and procedures that may be negatively affecting business processes. Identify specific hardware, software, and network inadequacies which are impacting the business unit.*

The Arizona Department of Environmental Quality (ADEQ) regulates and monitors Air Quality, Water Quality and Waste Programs for the entire State of Arizona. State and federal laws require that ADEQ issue permits; collect daily, weekly, monthly, quarterly and yearly monitoring data and collect fees for its services. We currently have no electronic way to issue permits, collect data and process payments from customers. The ADEQ current processes are manual, time consuming and prone to human errors.

The ADEQ permitted facilities universe is approximately 16,000 locations. These facilities have at least one permit/license and submit roughly 1 million water quality data elements in Self-Monitoring Report Forms (SMRF) in paper form. ADEQ requires certain wastewater dischargers to submit routine water quality monitoring data on paper form (Self-Monitoring Report Form - SMRF). ADEQ receives approximately 1 million data elements annually where the customer completes the paper form, mails the form to the agency and ADEQ manually enters into the permit tracking database. This results in data entry errors, time lag for corrective actions, incorrect reports, and costly data correction efforts

### **II.C Proposed Changes and Objectives, "To Be" {A}**

*Describe the impact that the proposed changes will have in terms of addressing current problems and/or process improvements with respect to customer service, productivity, quality, performance, and technology. Describe the functional elements of the proposed solution and how the agency will use them. Describe the expected impact of the proposed solution on the organization's staffing, costs, funding, and*

*operational functions. Describe how the proposed changes will improve operations, infrastructure and customer services and other projects as applicable. Attach supporting documentation as needed.*

The My DEQ project will allow our customers to visit a web portal, log in and pay for fees, submit monitoring data and apply for permits online. This process will significantly reduce the time it takes to generate new permits and receive funds for services. On average, it takes 90 days for a permit to be issued from start to finish. With this web portal, we will be reducing this time to 1 day.

ADEQ had earlier proposed to undertake this challenge by first implementing a proof of concept. Towards that end, ADEQ had identified 7 permits (see list below) and had proposed to develop a proof of concept by June 30, 2013.

The selected permits included;

- General Permit – Crushing and Screening : (this process proposes to issue the permit at the time of activity request)
- Compliance Certification – Crushing and Screening: (this proposes to create a standard work product for permittees to provide their annual certification requirements)
- General Permit – Aquifer Protection Type 2 : (this permit process is proposed to be available on-line with the ability to upload drawings and other documents necessary for ADEQ review and approval)
- Hazardous Waste Annual Report : (this process proposes to create a standard work product for waste generators to submit annual waste generation data)
- UST Notification : (this proposes that the regulated can notify the agency of any releases or exceptional events on-line)
- Hazardous Waste EPA ID: (this proposes that the regulated community can request and receive an EPA ID number for new hazardous waste generators)
- Minor Permit Amendments

The projected processing time improvements for the 7 permits are listed in the below table.

Process	Est. Annual Count	Elapsed Time (Days)		Touch Time (Hours)	
		Current	Future	Current	Future
Type 2, APP General Permit	100 to 250	90	30	7	2
Crushing and Screening Air, General Permit	26 to 50	89	1	7	0.1
Crushing and Screening Air, Annual Certification	251 to 500	34	2	2.5	0.1
Hazardous Waste Facility, Annual Report	1,000 to 2,500	300	180	1.6	0.5
UST Notification	251 to 500	108	43	17	17
Hazardous Waste Facility Registration - EPA Id	100 to 250	82	1	5	0.25
<b>Water Quality Monitoring Data - SMRF Review (selected for Sprint 1)</b>	<b>2,400 reports with a total of 1,000,000 Data Points</b>	<b>67</b>	<b>14</b>	<b>4</b>	<b>0.25</b>

**In this PIJ, we are requesting to get approval for implementing SMRF automation which will allow our customers to upload their data electronically to our databases. This will dramatically decrease the time it takes ADEQ to report non-compliance back to its customers.**

***II.D Proposed Technology Approach {Required for Pre-PIJ Assessment Only}***

*Describe all hardware, software, and telecommunications that may be known regarding the proposed solution at this time, and the evaluation process that will occur during the discovery phase to identify the planned technology approach.*

### III. Project Approach

#### **III.A Proposed Technology {Required for PIJ Approval}**

*Describe the technology approach being proposed for the project, including hardware, software, and telecommunications components. Include configurations, performance characteristics, capacities, as well as planned useful life, upgrade or expansion capabilities.*

Since my DEQ project is selected as a pilot project for the State of Arizona and will have an impact on future web projects undertaken by all state agencies, we are working very closely with Department of Administration for evaluating and finalizing the technologies and platforms that will be used for implementing my DEQ web application.

Below is a high level description of the proposed technology. For a more detailed discussion, please see the attached draft version of the Software Architecture Document (SAD):

**Analysis & Design:** The following software will be required for the analysis and design environment:

- Rational Software Architect with SOA
- Erwin Data Modeler Standard Edition

**Development:** The following software will be required for development environment:

- Eclipse Helios or better
- Maven plugin
- WSO2 Developer Studio version – current version
- JDK 1.6
- jQuery with Struts plugin
- Spring Framework 3
- Ajax
- Junit
- Version control – subversion
- Drupal Open Public version (<http://openpublicapp.com/>)

**Multiple Browsers Support:** Firefox, IE, Safari, Chrome

**Multiple Devices Support:** PC, Mac, Tablets (iOS and Android)

**Application Server:** WSO2 Carbon – ESB, DSS, AS, Identity

**Database Server:** Oracle

**Testing:** The following software will be required for testing environment:

- Junit
- SoapUI/LoadUI for testing web services
- Browsers
- Bugzilla or similar bug tracking and management system
- HP QTP

#### **III.B Other Alternatives Considered**

*Describe other solutions that were evaluated and explain why they were rejected. Include their strengths and weaknesses. “Do nothing” is an alternative that should be considered. Evaluating all other viable*

*alternatives is evidence of objectivity and proof the best alternative was selected. If no other alternative besides "Do nothing" is cited, ASET may require an explanation.*

**Alternative 1: Do Nothing:** Since we have already started this project and completed the Proof of Concept, this alternative is no longer viable.

**Alternative 2: Develop a full turn-key solution:** This approach would be very expensive have a long time-line and runs the risk of not meeting customer demands or expectations.

**Alternative 3: Proceed with a phased approach:** This approach is faster and cheaper and allows us to develop a pilot of only one module (SMRF) and test the module with a small number of customers. This will allow us to validate the business requirements and the customer's actual wants and needs. This will also validate the choice of our technical architecture, software development and project management framework. This approach involves customer participation at several levels and has a much greater probability of success. This is the selected ADEQ approach.

### **III.C Major Deliverables and Outcomes**

*Provide a list of the major tasks and milestones, along with measurable deliverables which your agency, internal and external customers, and the citizens of Arizona will receive as a result of the project. Describe critical factors and criteria you will use to determine project success. Deliverables may include system hardware and software, application features and functions, system enhancements that improve productivity, and/or new/improved services provided to stakeholders.*

#### **Sprint 0 (Implement infrastructure) – 8/5 – 8/25**

1. Finalize the Front-end technology – JSP, JavaScript, HTML, CSS, etc.
2. Finalize the Middle-tier and components for Sprint 1
3. Create 6 environments:
  - a. Development
  - b. QA 1 – core team
  - c. QA 2 – ADEQ's QA Unit
  - d. UAT
  - e. Staging
  - f. Production
4. Finalize Production environment and hosting solution
5. Finalize Basic Look and Feel – color scheme, graphics, headers, footers, fonts, error messages, warnings; system messages, calendars, tables/grids, menus scheme (nested; left navigation; top navigation, shortcuts, etc.)
6. Design Databases (Staging tables / modifications to AZURITE and COM if required)
7. Confirm CROMERR requirements and timelines
8. Finalize and Procure software tools
9. Finalize and procure all required hardware
10. Complete technical requirements (Detail Technical Design) for e-SMRF

#### **Sprint 1(implement e-SMRF) – 8/15 – 10/04**

1. Design/Develop very basic authentication for submitting SMRF data
2. Finalize XML structure; CSV and MS Excel formats
3. Design/develop staging tables for storing data before submitting to AZURITE/COM
4. Design/Develop Web Services for submitting data electronically (XML, CSV, Excel)

5. Develop screens for entering SMRF data.
6. Develop screens for reviewing and editing data entered on the web page or submitted by one of the three methods (XML, CSV, Excel) prior to submitting the data to ADEQ.
7. Develop notification methods to notify customers (successful submission of data; unsuccessful submission of data, violations including Significant Non Compliance or SNCs)
8. Develop notification methods to notify ADEQ Staff (successful submission of data; unsuccessful submission of data, violations including SNCs)
9. Conduct unit test
10. Conduct QA
11. Conduct User Acceptance Testing (by ADEQ staff)

## IV. Policies, Standards & Procedures

*Answer YES or NO to the following questions in regard to current Policies, Standards & Procedures. By selecting YES on any of the questions, the Agency is agreeing to the statement and can provide specific details if requested. By selecting NO, the Agency understands additional justification may be required.*

### IV.A Enterprise Architecture

**Yes**  **No** - Does this project meet all 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> as applicable for this project?

If <b>NO</b> please describe <b>NEW</b> or <b>EXCEPTIONS</b> to Standards {Network, Security, Platform, Software/Application and/or Data/Information}:

### IV.B Service Oriented Architecture Planning and Implementation

**Yes**  **No** - Does this project qualify as an SOA application by improving application delivery for technology reuse and /or application reuse and / or services reuse?

### IV.C Disaster Recovery Plan and Business Continuity Plan

**Yes**  **No** - Does this project require a Disaster Recovery Plan and Business Continuity Plan?

### IV.D Project Operations

**Yes**  **No** - Is there a written assessment of short-term and long-term effects the project will have on operations?

### IV.E Web Development Initiative

**Yes**  **No** - Is this a Web Development initiative? If **YES**, a Notice of Intent (**NOI**) must be provided. Link: <http://aset.azdoa.gov/node/15>

### IV.F IT State Goals

**Please check which goal the project is in support of; if more than one, indicate only the primary goal.**

- Accelerate Statewide Enterprise Architecture Adoption
- Champion Governance, Transparency and Communication
- Invest in Core Enterprise Capabilities
- Proactively Manage Enterprise Risk
- Implement a Continuous Improvement Culture
- Adopt Innovative Sustainability Models

- Reduce Total Cost of Ownership
- Improve Quality, Capacity and Velocity of Business Services
- Strengthen Statewide Program and Project Management
- Build Innovative and Engaged Teams
- Other \_\_\_\_\_

## V. Roles and Responsibilities

### V.A Project Roles & Responsibilities:

*Provide the names, job titles and responsibilities of all key personnel involved in the project. These may include the Project Sponsor, Technical Project Manager, Business Area Expert, programmers, analysts, and consultants. If new FTEs or consultants will be hired, indicate "new." If an IT Steering Committee will oversee the project, include names, titles and meeting frequency.*

**Please identify Project Roles & Responsibilities:**

Name	Title	E mail	Office Phone
Henry Darwin	Director Executive Project Sponsor		
Misael Cabrera	Deputy Director Project Sponsor		
Gary A. Heller	CIO Technical Project Sponsor		
Khursheed Mallick	Project Manager		
David Crowfoot	Technical Support Manager		
David Hughes	Quality Assurance Manager		
Ryan Richards	Environmental Engineer Specialist		

*Projects deemed to be major and/or critical may require a certified project manager - check the appropriate Box below regarding certification.*

**Please indicate Project Manager Certification:**

- The **project manager** assigned to the project is:
- Project Management Professional (PMP) Certified
  - State of Arizona Certified
  - PM Certification not required

## VI. Project Benefits

### VI.A Benefits to the State

*Describe the economic impact the project may have on your agency, the State or the public. Enter score and add total. Enter total score into Project Values table on Approvals page.*

**Score: 0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	Score
<b>Agency Performance:</b> The extent to which duties and processes will improve or positively affect business functions. Consider reduced redundancy and improved consistency for the agency.	5
<b>Productivity Increase:</b> The improvements in quantity or timeliness of services or deliverables. Consider improved turnaround time or expanded capacity of key processes.	5
<b>Operational Efficiency:</b> Efficiencies based on improved use of resources, greater flexibility in agency responses to stakeholder requests, reduction or elimination of paperwork, legacy systems, or manual tasks.	5
<b>Accomplishment Probability:</b> The extent to which this project is expected to have a high level of success in completing all requirements for the division or agency.	4
<b>Functional Integration:</b> The impact the project will have in eliminating redundancy or improve consistency. Consider the impact of information sharing between departments, divisions, or agencies in the State.	4
<b>Technology Sensitive:</b> The implementation of the right types of technology to meet clear and defined goals and to support key functions. Consider technologies and systems already proven within the agency, division, or other similar organizations.	3
<b>Total</b>	<b>26</b>
<b>Additional Information (provide details on Benefits that score &gt; 3)</b>	
<i>Describe additional details on benefits &gt; 3 score. Also provide details on any savings that may be applicable.</i>	
<ul style="list-style-type: none"> <li>• Agency Performance – this initiative will significantly reduce the time it takes for external customers of ADEQ to receive permits and submit monitoring information.</li> <li>• Productivity Increase – by allowing DEQ customers to enter their information online, the paperwork received by each department will be reduced or eliminated entirely.</li> <li>• Operational Efficiency – this system will reduce or completely eliminate paperwork for several self-monitoring reports and permits.</li> <li>• Accomplishment Probability – DEQ is actively working with internal and external customers to flush out business and functional requirements prior to development. We are also creating wireframes and employing the necessary consultants to ensure that we have the documentation we need to complete this project.</li> <li>• Functional Integration – By converting the current manual processes to an online portal; this project will considerably reduce the human error associated with manually keying millions of data points every year.</li> </ul>	

### VI.B Value to the Public

*Evaluate the impact the project will have on State customers, clients, and citizens. Enter score and add total. Enter total score into Project Values table on Approvals page.*

**Score: 0=None, 1=Minor, 2=Moderate, 3=Considerable, 4=Substantial, 5=Extensive.**

Description	Score
<b>Client Satisfaction:</b> Rate how stakeholders may respond to anticipated improvements. This could apply to health and welfare services, quality of life or life safety functions.	5
<b>Customer Service:</b> Rate anticipated improvements to internal and external customer service delivery. Give consideration to faster response, greater access to information, elimination or reduction in client complaints.	5
<b>Life Safety Functions:</b> Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions.	3

<b>Public Service Functions:</b> Applies to licensing, maintenance, payments, and tax. Consider how this project will enhance services in these functions.	5
<b>Legal Requirements:</b> Consideration should be given to projects mandated by federal or state law. Other consideration could be given if there are interfaces with other federal, state, or local entities.	3
<b>Total</b>	<b>21</b>
<b>Additional Information</b> (provide details on Value to the Public scores > 3)	
<i>Describe additional details on scores &gt; 3.</i>	
<ul style="list-style-type: none"> <li>• Client Satisfaction – External customers of DEQ have been requesting the ability to pay for fees online and submit monitoring data for years, this project will not only give external customers transparency in their data and payment history but it will also allow internal customers to more closely monitor exceedences in water, waste and air quality for the entire state of AZ.</li> <li>• Customer Service – This portal will allow customers to input monitoring points 24/7/365. Additionally, customers will be able to receive more timely alerts, pay for fees immediately and view payment history.</li> <li>• Public Service Functions: - ADEQ’s external customers (the regulated community) will now have a tool that will allow them to submit their data on time; errors will be reported and corrected in real-time and any Significant Non Compliance (SNC) can be reported in a very timely manner. This will allow our customers to take corrective actions which will not only help their business but also help us keep our environment clean which is the primary mission of ADEQ.</li> </ul>	

## VII. Project Timeline {A}

### VII.A Project Schedule

Provide estimated schedule for the development of this project. These dates are estimates only; more detailed dates will be required at project start up once the project schedule is established.

Project Start Date: **August 5, 2013**      Project End Date: **October 4, 2013**

## VIII. Project Financials

*Select if this PIJ will include Assessment Only funding details or full project funding details.*

**Project Funding Details**      **Select One**       Pre PIJ Assessment Funding Details Only  
 Full PIJ Project Funding Details

### VIII.A Pre-Assessment Project Financials {Required for Pre-Assessment PIJ Only}

#### Project Funding Details for Pre-Assessment Project Investment Justification Only

*Assessment Costs are the sum of all costs expended during the initial discovery phase of a project to get to the point of understanding the true project scope, cost and schedule. Development Costs are the sum of all expenditures through implementation of the initiative including Assessment Costs. Operating Costs are the sum of all on going expenditures after implementation.*

(Double click on table below – add funding in **whole dollars** and then click outside the table to return to Word doc)

<b>ESTIMATED COSTS</b>						
<b>Category</b>	<b>FY</b>	<b>FY</b>	<b>FY</b>	<b>FY</b>	<b>FY</b>	<b>Total</b>
Assessment Costs						\$ -
Development Costs						\$ -
<b>Total Development Costs (including Assessment)</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
Operational Costs (if estimate is available)						\$ -
<b>Total Estimated Project Costs</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

### VIII.B Detailed Project Financials {Required for PIJ Approval}

#### Development and Operational Project Funding Details

*Development Costs are the sum of all expenditures through implementation of the initiative including Assessment Costs. Operating Costs are the sum of all on going expenditures after implementation. A detailed listing of these costs is included in the **Statewide Standard P-340 S-340, Cost Factors Table** available on the ASET web site. NOTE: Lease/Purchase is a development cost since leasing is a financing mechanism to enable procurement. Future upgrades or software license increases may be included in lease/purchase development costs.*

#### Funding Categories:

**Professional and Outside Services:** The dollars to be expended for all third-party consultants and contractors.

**Hardware:** All costs related to computer hardware and peripheral purchases for the project.

**Software:** All costs related to applications and systems related software purchases for the project.

**Communications:** All costs related to telecommunications equipment, i.e. switches, routers, leased lines, etc.

**Facilities:** All costs related to improvements or expansions of existing facilities required to support this project.

**License & Maintenance Fees:** All licensing and maintenance fees that might apply to hardware, software and any other products as up-front costs to the project (ongoing costs would be included under Operational expense).

**Other:** Other IT costs not included above, such as travel, training, documentation, etc.

**NOTE:** FTE costs may be included in section VIII.e below, as required.

### **VIII.C Funding Source {A}**

*Identify all funding sources including General Fund, federal grants, and any appropriated or non-appropriated funds that may apply to this project within each of the Funding Source Categories, i.e. State Highway Fund, Watercraft Licensing Fund. Add total project dollars by development and operational budget to the columns for “Currently Available” and “New Request” by Funding Source category. If you have requested new additional appropriations or spending authority, use the “New Request” column.*

Double click on table below – add funding in **whole dollars** and then click outside the table to return to Word doc)

Funding Source Category	Name of Funding Source	Currently Available (\$)		New Request (\$)		Total (\$)
		Development Budget	Operational Budget	Development Budget	Operational Budget	
General Fund						\$ -
Federal ARRA Fund						\$ -
Federal Fund						\$ -
Other Appropriated Funds			\$ 80,000			\$ 80,000
Other Non Appropriated Funds	State Assurance Fund (SAF)	\$ 467,446				\$ 467,446
<b>TOTAL PROJECT COSTS</b> (Should = development and operational totals above)		\$ 467,446	\$ 80,000	\$ -	\$ -	\$ 547,446

### VIII.D Special Terms and Conditions (if required) {A}

Describe any terms and conditions required for this project. Include all qualifying factors, time limitations, and penalties that could be assessed. If multiple, the terms and conditions should be divided by vendor name. Identify applicable existing procurement contracts to be used for this project. Indicate if the project requires a Request for Proposal (RFP).

Special Terms and Conditions (if required)

### VIII.E Full Time Employee Project (FTE) Hours

Provide estimated FTE Development hours that will be utilized for the duration of the project. Include IT as well as Business Unit FTE hours, if available. Enter into Project Values table on Approvals page. Enter FTE costs (if known) as well.

Total Full Time Employee Hours	435
Total Full Time Employee Cost	\$

## IX. Project Classification and Risk Assessment

Provide a risk score for each of the risk factors and total. If Not Applicable, the score for a particular risk factor would be 0. Assessing the level of risk at the beginning of a project will help in proactively managing and mitigating risks turning into issues and impacting project success. Add detailed explanation as needed.

### IX.A Project Classification and Risk Assessment Matrix

Rate each question to determine risk level at Low (0), Medium (1), High (2), Very High (3).

Enter Risk Score into Project Values table on Approvals page.

#### RISK EVALUATION RANGES

LOW RISK PROJECT	0 - 8
MEDIUM RISK PROJECT	9 - 25
HIGH RISK PROJECT	26 - 42
VERY HIGH RISK PROJECT	43 +

**Add Project Risk Details (if required)**

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<b>Budget Constraints</b>	Funds allocated	Funds pending approval	Allocation of funds in doubt or subject to change without notice	No funding allocated	0
<b>Project Methodology</b>	Defined methodology	Defined methodology, no templates	High level methodology framework only	No formal methodology	1
<b>IT Solution Complexity</b>					
<b>Product Maturity (if purchased)</b>	Product implemented & working in > 1 state agency or business of similar size	Product implemented & working in 1 agency or business of similar size	Product implemented & working only in an agency or business of smaller size	Product not implemented in any agency or business	1
<b>Solution Dependencies</b>	No dependencies or interrelated projects	Some minor dependencies or interrelated projects but considered low risk	Some major dependencies or interrelated projects but considered medium risk	Major high-risk dependencies or interrelated projects	1
<b>System Interface Profile</b>	No other system interfaces	1-2 required interfaces	3-4 required interfaces	> 4 required interfaces	1
<b>IT Architectural Impact</b>	Follows State IT approved design; principles, practice & standards	New to the State but follows established industry standards	Evolving "industry standard"	No standards, leading edge technology	1
<b>Deployment Impact</b>					
<b>Process Impact</b>	No business process changes	Agency wide process changes	Multi-State Agency process changes	State-wide process changes	1
<b>Scope of End User Impact</b>	Department or Division level only	Multiple Division or Agency wide impacts	Multi-Agency impacts	State-wide impacts	1
<b>Training Impact</b>	No training is required	Minimal training is required	Considerable training is required	Extensive training is required	2
<b>Total Risk Score</b>					<b>16</b>

## X. Project Approvals

### X.A CIO Review {A}

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 consistent with agency and State policies, standards and procedures?	X	
4. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	X	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?	X	
6. Is this project mandated by law, court case or rule? If yes, cite the federal requirement, ARS Reference or Court Case.		X

Details: *Provide details related to technology as part of the requirement.*

### X.B Project Values

*Summary of information documented throughout.*

The following table contains summary information taken from the other sections of the PIJ document.

Description	Section	Significance
Assessment Cost {A}	VIII. Project Financials {Required for Pre-Assessment PIJ Approval Only}	\$
Economic Benefits	VI. Benefits to the State	26
Value Rating	VI. Value to the Public	21
Total Development Cost	VIII. Project Financials	\$467,446.31
Total Project Cost	VIII. Project Financials	\$547,446.31
FTE Hours	VIII. Project Financials	435
Project Risk Factors	IX. Risk Summary	16

*The PIJ must be transmitted to ASET by email as a Word document. Project approvals may be sent to ASET by email in PDF format. Include the Project Title below for identification. Send to your ASET Oversight Manager, or if not sure who is assigned to your Agency, PIJ docs can be sent to [ASET\\_Projects@azdoa.gov](mailto:ASET_Projects@azdoa.gov).*

### X.C Project Approvals {A}

Select One  Pre PIJ Assessment Approval Only  PIJ Project Approval

*Select above if this approval is related to Pre PIJ Assessment only or full Project Approval. In all cases, signatures must be obtained from the Agency Sponsor and Agency CIO. Agency Director's signature is required on projects of \$1 million or more, and on projects considered critical in nature to the Agency.*

Project Title: **SMRF Electronic Submission Project**

Responsibility	Printed Name	Approval Signature	Date
Project Manager:	Khursheed Mallick		
Agency CIO:	Gary A. Heller		
Project Sponsor:	Misael Cabrera		
Agency Director:	Henry Darwin		

## Appendix

### **A. Itemized List with Costs**

*For ALL projects, an Itemized List of expenditures, including unit costs and extensions, is required to substantiate Project Financials. Both Development and Operational costs must be included. An attached spreadsheet and/or vendor quote may be appropriate.*

Please see the attached Spreadsheet

Please see attached quote from SHI for software prices - SHI Quote-6875932 - Rational, Firework, Axure.pdf

### **B. Connectivity Diagram**

*For projects \$1 million and above in development cost, attach a high-level schematic drawing, indicating major hardware components. If your project is an expansion of existing facilities, clearly indicate existing and new components. A hand-drafted drawing is acceptable.*

### **C. Project Schedule - Gantt Chart or Project Management Timeline**

*For projects \$1 million and above in development cost, include a computer-generated Gantt chart or table detailing major project phases and milestones. Include the estimated time of completion for each milestone, and the total elapsed time for the entire project. Do not include a detailed list. If a vendor is involved, ensure the plan is consistent with the vendor's proposed schedule. This Gantt chart will be used as the basis for ASET project oversight.*

### **D. NOI (Web Projects Only)**

*For all projects that have web development, please attach a completed NOI form. If an NOI cannot be provided at this time, indicate when the NOI will be available for ASET review.*

NOI Attached.

## Glossary

*If special terminology and acronyms are used, consider including a glossary of terms.*

### **Document Information**

Title: Project Investment Justification – PIJ Version January 2013  
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Date: January 2013  
Download: <http://aset.azdoa.gov/>  
Contacts: **ASET Oversight Managers:**  
<http://aset.azdoa.gov/content/project-investment-justification>

**Web Design (NOI Contact):**  
<http://aset.azdoa.gov/webtools>