



# ADOA - ASET

Arizona Strategic Enterprise Technology

## Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

**Project Title:**

**Gaming Regulatory and Enforcement System**

<b>Agency Name:</b>	Arizona Department of Gaming
<b>Date:</b>	7/24/14
<b>Agency Contact Name:</b>	John Briney
<b>Agency Contact Phone:</b>	
<b>Agency Contact Email:</b>	

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## I. Management Summary\*

The Arizona Department of Gaming (ADG) is a State agency of approximately 105 employees funded solely by revenues from Arizona casinos. ADG's mission is to protect the public, ensure compliance with the gaming compacts and enforce Arizona's gaming laws. ADG investigates and certifies employees and businesses working with Arizona casinos, and conducts inspections, investigations and audits surrounding gaming in Arizona. ADG enforces Arizona gambling laws off-reservation in cooperation with various law enforcement and prosecutorial agencies across the State.

ADG plans to purchase and deploy across multiple regulatory and enforcement sections D3 Security Management Systems Inc.'s Casino ICM (Incident and Compliance Management) and Case Management software applications. These two integrated software applications will replace IDPoint Inc.'s Gaming Regulatory System which the Department has used since 2002. IDPoint Inc. is not able to meet the Department's needs due to the vendor's limited development staff and an antiquated development environment. The new software applications will support and enhance all of the Department's certification, inspection and investigation business processes.

## 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:

6T

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 Department currently uses IDPoint Inc.'s Gaming Regulatory System (GRS) software to support individual and gaming vendor certification and all investigative and inspection work processes. IDPoint software is not able to meet critical business requirements including chain of custody rules for investigative reports and evidence documentation supporting criminal prosecution, and multi-user write file access for vendor certification. As a result the Department is currently maintaining paper documents relating to criminal investigations. Vendor certification narratives are currently created outside of IDPoint using Microsoft Word. This creates additional non-value added worksteps in our vendor certification processes. Additionally, IDPoint GRS does not efficiently support many of our certification work processes due to the lack of an effective workflow capability, and an aged, very limited, and "buggy" rich-text editor used for narrative creation, and other system level software problems. The results are longer process cycle times, and rework of investigative narratives.

We have identified 1,960 hours of non-value added work in our certification processes which can be eliminated each year going forward if we can employ electronic workflow and eliminate the need to print, sign, scan and upload certification related documents. We have asked for these modifications and improvements to the software from IDPoint Inc. The company is not able to provide these improvements because they do not have the personnel to make changes to the software. The IDPoint GRS software is written in the Delphi 7 development environment. The company is not able to move the software to a modern development environment (such as Microsoft .Net) needed to support our mobile workforce in a secure environment.

**B. Proposed Business Solution\***

The Department plans to purchase and deploy across multiple regulatory and enforcement sections (approximately 70 users) two software applications from D3 Security Management Systems Inc. D3's Casino Incident and Compliance Management (ICM) and Case Management software applications are tightly integrated and operate off a common database. These applications will completely support all of the Department's licensing and investigation processes. The Case Management application meets our chain of custody rules for investigative reports and evidence documentation supporting criminal prosecution. Investigation reports and evidence records can be locked once finalized and therefore can be admitted as evidence in criminal cases. Vendor investigation narratives can be edited by multiple users at once by narrative section and then concatenated into one report when finalized. Both integrated applications contain a robust workflow capability and will eliminate the need to print sign scan and upload certification documents. Once trained, Departmental technical support staff can modify existing process workflows and create new workflows for new data objects and processes. The software applications both contain a modern text editor which can be used for narrative and note creation. Additionally, both applications support Microsoft Word for text editing, through custom Word document templates. ADG plans to migrate the existing IDPoint database into the D3 database.

**C. Quantified Benefits\***

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

By addressing the problems detailed earlier in this document, the proposed solution will enable the Department to provide enhanced service to businesses operating in the State (casino operators and vendors providing products and services to Arizona casinos), to Tribal governments operating casinos in Arizona, to citizens of the State, and to other governments interacting with the State through the Department. Enhanced service will take the form of faster turn-around times for businesses applying for certification, and more accurate and complete information provided to gaming and law enforcement entities outside the State. The proposed solution will enable full single-source database search from either application along with criminal intelligence link analysis, providing

more accurate and timely information. The Department processes approximately 9,000 individual and 400 business certifications annually and responds to approximately 50 to 60 incidents of unlawful off-reservation gambling. The Department fully develops and processes between 15 and 20 unlawful gambling criminal investigations per year. The Department responds annually to approximately 200 requests for information from other governmental entities. The Department receives and analyzes approximately 36,000 tribal incident reports per year.

The Department will avoid problems we currently experience with IDPoint GRS software including rework due to system problems and work stoppages associated with system database record lock conflicts which require system restarts and down time during business hours.

#### IV. Technology Approach

##### **A. *Proposed Technology Solution\****

Software and Services. D3 Casino ICM and Case Management are both Microsoft .Net web-based applications that will run on Microsoft Windows servers under Microsoft IIS in our existing virtualized environment. Microsoft Sequel 2008 will be used as the database management system and will also run in the virtualized environment. Department technical staff will work with D3 staff to configure the database and application software to enable all affected work processes. D3 technical staff will develop 70 reports across all modules and both software applications.

##### **B. *Technology Environment***

The D3 applications we propose will replace IDPoint GRS software. The Department has been using IDPoint GRS since 2002. The solution will be hosted by ADG in a State datacenter. These applications and associated data will be incorporated into the Department's existing business continuity and disaster recovery processes and systems.

##### **C. *Selection Process***

The Department evaluated four possible options.

In late CY12, the Department considered Microsoft XRM Server the best solution to our business need. At that time we were unable to identify a viable integrated certification and case management application suite. We developed and received conditional approval from ASET to build and deploy a solution comprised of XRM, Sharepoint and Sequel. We have since cancelled this PIJ. This option was moderately expensive, technically risky and had the longest time in development.

During CY13, while we waited to see if potential legal arbitration would impact the Department's budget, the Department evaluated System Automation's MyLicense suite of products. We found these products did not have a process work flow capability. MyLicense supports investigative narrative creation by does not have the case management capabilities to support evidence chain of custody for criminal prosecution.

Additionally, MyLicense is marginally integrated with Microsoft Office productivity applications.

Also during CY13, we evaluated GL Solution’s GL Suite application. Except for a robust XRM-like rules engine, this option would have been a custom build. We evaluated their current version at the time (v5). This version did not have workflow, and had no record change audit trail. GL Solutions planned to release v6 in September 2013, but did not release it until late November/December of that year. We discussed v6 with early adopting GL Solutions customers as it was being rolled out, and their responses were mixed. Our final assessment was that v6, while it contains enhancements such as workflow and record change audit trail, was probably still a year away from being fully functional and stable. The GL Solutions option was the most expensive of those considered

D3 Casino ICM and Case Management - In October 2013 a large Arizona gaming Tribe (The Salt River Pima Maricopa Indian Community) deployed these integrated applications. During the prior year period, D3 worked with the Tribe to design build and test the casino incident and compliance management portions of the program. Prior to that D3 offered case management and incident management software only. We attended a demonstration of Casino ICM and Case Management in late March of 2014 hosted by The Salt River Tribe. At that time, the Tribe had D3’s applications in full production for 6 months with 50 concurrent and 90 total users. They reported good performance, full functionality and good customer service from D3. At the end of April 2014 we provided D3 our gaming vendor certification process, data structure, and a few key reports. D3 conducted a configured demonstration via webex on May 30<sup>th</sup>. Departmental project stakeholders from all affected sections attended the demonstration and provided very positive feedback about the software. D3’s solution provides the configurability of XRM without the development risk, and a robust workflow and rules engine similar to GL Suite. Stakeholders preferred the simple and efficient screen designs of D3 compared to all other options. We estimate the D3 option will be less expensive than either XRM or GL Suite. In PIJ GM13001 our estimated cost for the XRM option was . The GL Solutions option, based on the company’s GL Simple pricing, was estimated at for four years of support and limited enhancements.

**V. Project Approach**

**A. Project Schedule\***

**Project Start Date:** 8/4/2014    **Project End Date:** 3/31/2015

**B. Project Milestones**

Major Milestones	Start Date	Finish Date
Individual and Vendor Certification Module Configuration	8/1/14	9/30/14
Compliance Inspections and Investigations Module Configuration	10/1/14	11/28/14
Self-Excluded Persons Module Configuration	12/1/14	1/16/15

UAT Environment Build and Data Migration/QA	1/19/15	2/18/15
Training and Global User Acceptance Testing	2/19/15	3/6/15
GoLive	3/9/15	

**VI. Roles and Responsibilities**

**A. Project Roles and Responsibilities**

Tony Chou	D3 Project Lead
Pulkit Sahni	D3 Business Analyst
Noah Fang	D3 Software Configuration Lead
Rudy Casillas	ADG Project Sponsor
John Briney	ADG Project Lead
Mike Collins	ADG Technical Team Lead
Aaron Knoll	ADG Application Administrator
Linda Smith	ADG Database Administrator

**B. Project Manager Certification**

<input type="checkbox"/>	Project Management Professional (PMP) Certified
<input checked="" type="checkbox"/>	State of Arizona Certified
<input type="checkbox"/>	Project Management Certification not required

**C. Full-Time Employee (FTE) Project Hours**

<b>Total Full-Time Employee Hours</b>	1040
<b>Total Full-Time Employee Cost</b>	\$33250

**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	\$0.00
Total Development Cost	VII. PIJ Financials tab	\$324,525.28
Total Project Cost	VII. PIJ Financials tab	\$405,225.28
FTE Hours	VI. Roles and Responsibilities	1040

### C. Agency Approvals\*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	John Briney		
Agency Information Security Officer:	John Briney		
Agency CIO:	John Briney		
Project Sponsor:	Dan Bergin		
Agency Director:	Dan Bergin		

## IX. Optional Attachments

### **A. *Vendor Quotes***

See attached.

## 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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