



# **Project Investment Justification (PIJ)**

**“LITE”**

*A Statewide Standard  
Document for Information Technology Projects*

*For: Low Risk Projects Only*

**Project Title: Division of Licensing Services  
Equipment Refresh**

**Agency Name: Arizona State Department of Health Services**  
**Date: July 9, 2012**  
**Prepared By: David Gilbert**

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## PROJECT INVESTMENT JUSTIFICATION (PIJ) TEMPLATE DECISION MATRIX

*Before completing this document, first confirm that this would be classified as a Low Risk project.*

To determine that unless otherwise aware/advised, complete the matrix in section IX. Project Classification & Risk Assessment. After confirming the project would be categorized as Low Risk, complete the sections of the PIJ Lite document as indicated below.

GITA may request additional information, or require completion of additional sections or the full PIJ document, if the project is deemed critical or otherwise not Low Risk in nature. All projects with \$25,000 or more in development expense require that a PIJ or PIJ Lite be approved by GITA. Projects with \$1,000,000 or more in development expense and Pre-PIJ assessments cannot utilize the PIJ Lite document.

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

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

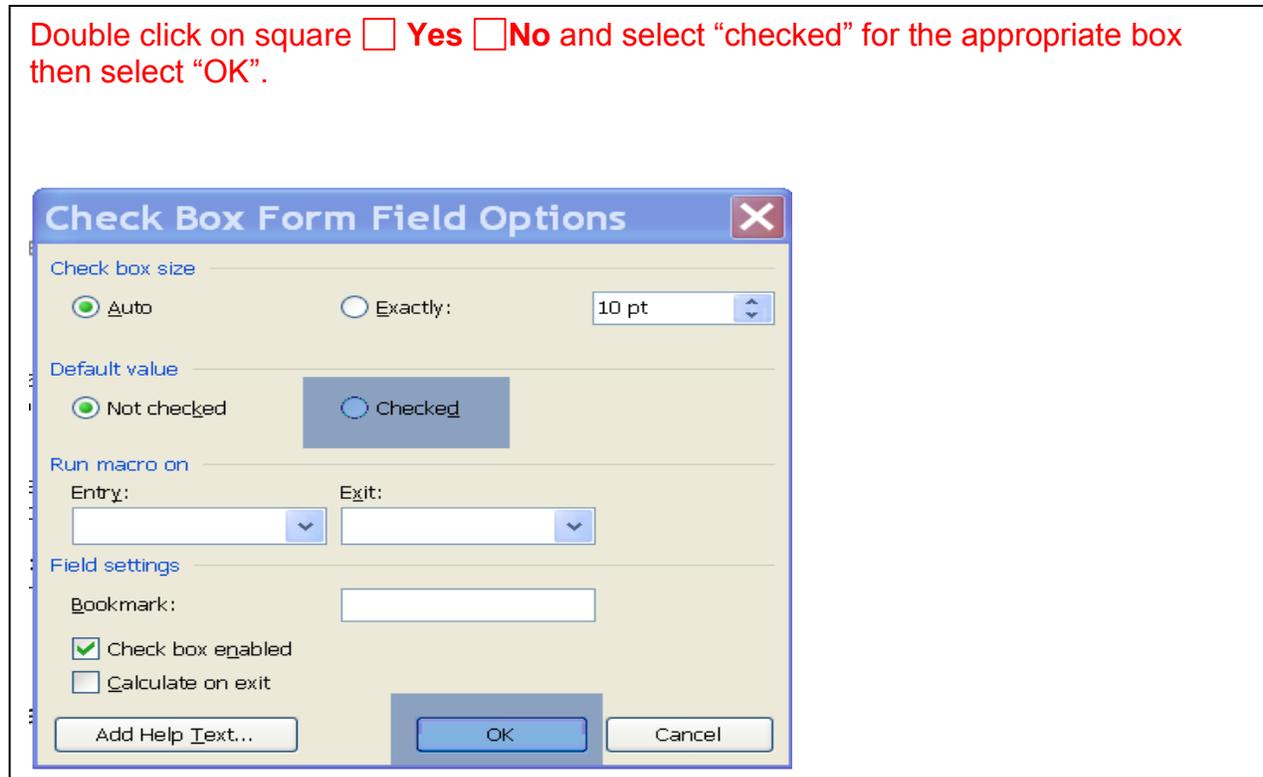
VIII.a	<b>Pre-Assessment Project Financials</b>		●		
VIII.b	<b>Detailed Project Financials</b> <ul style="list-style-type: none"> <li>• <i>Projects \$25K - \$100K: development costs only.</i></li> <li>• <i>Projects \$100K+: development &amp; operating costs.</i></li> </ul>	●		●	
VIII.c	<b>Funding Source</b>	●	●	●	
VIII.d	<b>Special Terms and Conditions (if required)</b>	●	●	●	
VIII.e	<b>Full Time Employee (FTE) Hours</b>	●		●	
IX.	<b>Project Classification &amp; Risk Assessment</b>				
IX.a	<b>Project Classification &amp; Risk Assessment Matrix</b>	●		●	
X.	<b>Project Approvals</b>				
X.a	<b>CIO Review</b>	●	●	●	
X.b	<b>Project Values</b>	●	●	●	
X.c	<b>Project Approvals</b>	●	●	●	
<b>Appendix</b>					
A	<b>Itemized List with Costs</b>	●		●	
B	<b>Connectivity Diagram</b>				●
C	<b>Gantt Chart, Project Management Summary</b>				●
D	<b>NOI (Web Projects Only)</b>	●		●	

\* **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 do not apply to this document.**

## Document Instructions:

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



## GITA Forms:

*Project forms are available on the GITA website*

Project Investment Justification Documents - <http://www.azgita.gov/nav/pij.htm>

Project Investment Justification LITE version - <http://www.azgita.gov/nav/pij.htm>

Project Oversight Documents - [http://www.azgita.gov/project\\_pij\\_monitoring/](http://www.azgita.gov/project_pij_monitoring/)

Web Development Initiatives - Notice of Intent (NOI) form - [http://azgita.gov/digital\\_gov/noi/](http://azgita.gov/digital_gov/noi/)

Submit PIJ and Pre PIJ Approval requests to - [projects@azgita.gov](mailto:projects@azgita.gov)

## I. General Information

### I.a General Information

<b>Agency CIO:</b>	Paula Mattingly	<b>Contact Phone:</b>	
<b>Agency Contact Name:</b>	Gaspar Martinez	<b>Contact Phone:</b>	
<b>Agency Contact Email:</b>		<b>Prepared Date:</b>	July 9, 2012

## II. Project Overview

### II.a Management Summary

#### I. Problem Description

The Department of Health Services (ADHS), Division of Licensing Services, Office of Long Term Care and Medical Facilities license and certify nursing home institutions, hospitals, end stage renal disease centers, home health agencies, hospice agencies, and other health care facilities. Funding for these services is provided under contract with the Centers for Medicare and Medicaid Services (CMS). CMS implemented a new survey process and purchased new notebook PCs, desktop PCs, and associated equipment with appropriate configurations to support the data gathering process in 2009. The notebook PCs are fragile and have a life expectancy of approximately 3 years. The notebooks and desktops are near the end of their life expectancy and are breaking down quickly.

#### II. Solution

ADHS will purchase 53 HP EliteBook Tablet PCs, 28 HP Desktop PCs, 56 HP2700 Series 6-Cell Batteries, 50 Keyboards and Mice, and 76 Monitors. ADHS will transfer licenses for McAfee Encryption Software from existing tablets and will buy an additional 12 licenses for spares. ADHS will purchase maintenance for the tablets.

#### III. Quantified Justification

Productivity is being impacted due to failing notebooks and desktops.

### II.b Existing Situation and Problem, "As Is"

If the equipment at the ADHS Offices of Long Term Care and Medical Facilities fails, we would be unable to perform the survey process of these health care facilities. If surveys are not performed, this will be detrimental to the public. Additionally, we would be in violation of our CMS grant requirements.

### II.c Proposed Changes and Objectives, "To Be"

The Licensing Services Office will acquire the necessary hardware and software to continue the mandated survey process to stay in compliance with CMS requirements.

### III. Project Approach

#### III.a Proposed Technology

- HP EliteBook 2760p Tablet PC
- HP Li-Ion 6-Cell Ultra-Slim Battery
- HP Compaq 8300 Elite CMT (with HP 2GB DDR3-1600 DIMM Memory)
- Compaq LA2006x 20-inch WLED Backlit LCD Monitor
- HP USB Optical Mouse and Keyboard Kit
- McAfee Endpoint Encryption for PCs

#### III.c Major Deliverables and Outcomes

Procure and deploy the following hardware and software:

- 53 - HP EliteBook 2760p Tablet PC
- 56 - HP Li-Ion 6-Cell Ultra-Slim Battery
- 28 - HP Compaq 8300 Elite CMT (with HP 2GB DDR3-1600 DIMM Memory)
- 76 - Compaq LA2006x 20-inch WLED Backlit LCD Monitor
- 50 - HP USB Optical Mouse and Keyboard Kit
- 12 - McAfee Endpoint Encryption for PCs

### IV. Policies, Standards & Procedures

#### 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://www.azgita.gov/policies standards/](http://www.azgita.gov/policies_standards/) 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}:

## V. Roles and Responsibilities

### V.a Please identify Project Roles & Responsibilities:

1.0 Project Executive Sponsor –Colby Bower Acting Assistant Director Licensing - This position will provide approval for project scope. Specific responsibilities will include (but not be limited to):

- Project champion, provides direction and support to the team
- Approves project scope and funding

2.0 Project Sponsor –Lourdes Ochoa State Licensing Manager- This position will provide project oversight. Specific responsibilities will include (but not be limited to):

- Project champion, provides direction and support to the team
- Sets the priority of the project

3.0 Information Technology Executive – Paula Mattingly, Assistant Director / Chief Information Officer - This position will be accountable to place the necessary Information Technology at the Enterprise level and to meet the goals within the budget and timeline. Specific responsibilities will include (but not be limited to):

- Project champion, provides direction and support to ITS team
- Implement necessary Infrastructure and meet the immediate business needs
- Monitoring business value
- Management of IT staff or other resources

4.0 Information Technology Project Manager – Dave Gilbert, Technical Services Manager - This position will provide leadership and overall project management and efforts described in this document and for the future technology needs of the Department.

5.0 Desktop Support Technician - This position will provide technical analysis, software configuration, testing and deployment support. Specific responsibilities will include (but not be limited to):

- Install and configure the Operating System
- Install and configure applications

6.0 Receiving – This position will tag the equipment prior to desktop installation and configuration.

### V.b 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

## VII. Project Timeline

### 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:**  
07/23/2012

**Project End Date:**  
10/3/2012

1. Procure hardware 30 days
2. Tag hardware 20 days
3. Configure hardware 20 days
4. Deploy hardware 30 days

## VIII. Project Financials

### VIII.b Detailed Project Financials

#### Development and Operational Project Funding Details

##### **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

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



**VIII.c Funding Source**

(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 Appropriations Request (\$)		Total (\$)
		Development Budget	Operational Budget	Development Budget	Operational Budget	
General Fund						\$ -
Federal ARRA Fund						\$ -
Federal Fund	N/LTC T18, LTC T18, LTC T19, State Match, Licensure Fees Fund	\$ 130,613				\$ 130,613
Other Appropriated Funds						\$ -
Other Non Appropriated Funds						\$ -
<b>TOTAL PROJECT COSTS</b> Totals should = development and operational totals above		\$ 130,613	\$ -	\$ -	\$ -	\$ 130,613

**VIII.d Special Terms and Conditions (if required)**

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 0

Total Full Time Employee Cost \$ 0

## IX. Project Classification and Risk Assessment

IX.a 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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PIJ Project Classification & Risk Evaluation					
Risk Factor	Low (0)	Medium (1)	High (2)	Very High (3)	Score
<b>Project Management Complexity</b>					
Project Team Size (# of people)	1-5	6-10	11-15	> 15	1
Project Manager (PM) Experience	Deep experience in this type of project	Some experience in this type of project and able to leverage subject matter experts	Some experience in this type of project and has limited support from subject matter experts	New to this type of project	0
Team Member Availability	Dedicated staff for project activities only as assigned	Staff is in place, few interrupts for non project tasks are expected and have been accounted for	Available, some turnover expected, some interrupts for non project issues likely	Dedicated team not available; staff will be assigned based on capacity	1
# of Agencies involved in Development activity	1	2	3	> 3	0
Vendor (if used)	No Vendor required	Vendor has been used previously with success	Vendor has been used previously with some management support required	New Vendor and/or multiple vendors	0
Project Schedule	Schedule is flexible	Schedule can handle minor variations, but deadlines are somewhat firm	Scope or budget can handle minor variations, but deadlines are firm	Scope, Budget and Deadlines are fixed and cannot be changed	1
Project Scope	Scope is defined and approved	Scope is defined and pending approval	Scope being defined	High level definition only at this point	0
Budget Constraints	Funds allocated	Funds pending approval	Allocation of funds in doubt or subject to change without notice	No funding allocated	0
Project Methodology	Defined methodology	Defined methodology, no templates	High level methodology framework only	No formal methodology	0
<b>IT Solution Complexity</b>					
Product Maturity (if purchased)	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	0
Solution Dependencies	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	0
System Interface Profile	No other system interfaces	1-2 required interfaces	3-4 required interfaces	> 4 required interfaces	1
IT Architectural Impact	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	0
<b>Deployment Impact</b>					
Process Impact	No business process changes	Agency wide process changes	Multi-State Agency process changes	State-wide process changes	0
Scope of End User Impact	Department or Division level only	Multiple Division or Agency wide impacts	Multi-Agency impacts	State-wide impacts	1
Training Impact	No training is required	Minimal training is required	Considerable training is required	Extensive training is required	1
<b>Total Risk Score</b>					<b>6</b>

## X. Project Approvals

### X.a CIO Review

<b>Key Management Information</b>	<b>Yes</b>	<b>No</b>
1. Is this project for a mission critical application system?		<u>X</u>
2. Is this project referenced in your agency's Strategic IT plan?	<u>X</u>	
3. Is this project consistent with agency and State policies, standards and procedures?	<u>X</u>	
4. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	<u>X</u>	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?	<u>X</u>	
6. Is this project mandated by law, court case or rule? If yes, cite the federal requirement, ARS Reference or Court Case.		<u>X</u>
Details: <i>Provide details related to technology as part of the requirement.</i>		

### X.b Project Values

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

<b>Description</b>	<b>Section</b>	<b>Significance</b>
Total Development Cost	VIII. Project Financials	\$130,613
Total Project Cost	VIII. Project Financials	\$130,613
FTE Hours	VIII. Project Financials	0
Project Risk Factors	IX. Risk Summary	6

*The PIJ must be transmitted to GITA by email as a Word document. Project approvals may be sent to GITA by email PDF format. Include the Project Title for identification. Send to [projects@azgita.gov](mailto:projects@azgita.gov) or your assigned GITA Oversight Manager,*

### X.c Project Approvals

**Project Title:**

<i>Responsibility</i>	<i>Approval Signature and Title</i>	<i>Date</i>
<i>Dave Gilbert</i> Project Manager:		
<i>Paula Mattingly</i> Agency CIO:		
<i>Colby Bower</i> Project Sponsor:		
<i>Janet Mullen</i> Deputy Director		
<i>Will Humble</i> Agency Director:		

# Appendices

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

## **Glossary**

### **Document Information**

Title: Project Investment Justification – PIJ Version March 2010  
Originator: State of Arizona Government Information Technology Agency  
Date: March 2010  
Download: [azgita.gov](http://azgita.gov)

Contacts: **GITA Oversight Managers:**  
[azgita.gov/project\\_pij\\_monitoring](http://azgita.gov/project_pij_monitoring)

**Web Design (NOI Contact):**  
[azgita.gov/digital\\_gov/noi/](http://azgita.gov/digital_gov/noi/)