



ADOA - ASET

Arizona Strategic Enterprise Technology

Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

Project Title:

Arizona State Land Department Document Scanning and Management

Agency Name:	Arizona State Land Department
Date:	July 30, 2014
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I. Management Summary*

Thousands of State “paper” records comprising millions of pages of information, from 1910 to present, relating to the title, ownership, administrative decision making and uses of 9.3 million acres of State owned Trust lands are in need of electronic automation in order to:

- Increase efficient access by staff,
- Preserve the irreplaceable records,
- Reduce the need for physical file space and through systematic back-up of the computer system data,
- Protect these records and make them available under our disaster recovery plan.

Much of the data is irreplaceable; other data could be replaced but at tremendous cost to the State. In the event of fire or severe storm damage (flooding), many of these original documents would be lost forever. Although our computer system (OASIS) depicts dates, type of transaction and sometimes names, it would be impossible to locate important details. The current paper records are evaluated, photocopied and used regularly by the Department’s staff, as well as approximately 1,500 public individuals, businesses (title companies, consultants, appraisers, etc.) and government legal entities per year. These records are critical to the Department’s revenue generating activities. Millions of dollars in revenue is at risk of being lost, or at least, delayed due to litigation and processing time. The preservation and availability is necessary to ensure the Department’s daily business transactions, including leasing, sales, accounting and billing functions, continue in a timely and business-like manner resulting in millions of dollars being generated for the Trust’s beneficiaries annually.

Many of the documents which the Department currently houses are related to sovereign lands and streambeds, which are not considered State Trust Land. The Department is legislatively mandated to manage sovereign lands as well as other State-owned land even though it may not be Trust related A.R.S. §37-102 (A & B). Sovereign lands are mostly comprised of those lands lying in the beds of navigable waterways. They are held by the State in order to provide public access to those waterways for the purposes of fishing, commerce and navigation. At statehood the State of Arizona assumed ownership of all navigable waterway channel beds within the State. The Department’s current business system tracks current status and decisions related to all of Arizona’s 9.3 million acres of State Trust land but many of the documents related to these decisions exist only in paper form. The Department currently manages approximately 10,000 paper files related to 9 million acres of land.

Revenues generated by these lands do not benefit the State Land Trust, but rather the State in general. For instance, during FY 2012 approximately \$156,000 was generated by sovereign land leases. This revenue was deposited to the State’s General Fund. These Non-Trust records are at the same risk of deterioration and loss. They are housed and handled in the same manner as the Trust related documents. The Department is at risk of being brought into costly litigation if these records are not available due to the limitations of the current manual, paper-based document.

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 Arizona State Land Department (ASLD) currently employs a paper-intensive process for receiving, processing, and retaining lease applications and their associated documents. This makes storage and retrieval of lease files cumbersome and inefficient.

When ASLD Staff need to review a file, they first search OASIS to locate the KE Lease Number. OASIS is the Department’s existing ORACLE based business system. The system currently is the repository for the Department’s land title, lease and billing information used to manage Arizona’s 9.3 million acres of State Trust Lands. The OASIS system currently is accessible by Department staff through a web browser interface and constitutes a key enterprise information system for staff managing the State Trust. To date OASIS contains ORACLE data base tables and tabular data of various character and numeric formats. Modern data base systems such as ORACLE have capabilities to store and provide access to a large variety of data types including raster type data derived from scanning documents. These systems provide indexing and searching capabilities to allow for fast efficient retrieval and viewing of the scanned data. This project will utilize these capabilities to develop an internal system to store and provide user access to important information on Arizona’s State Trust lands that currently exist only in paper or microfiche form.

In order to find the KE Lease Number, staff may look up the file using the name of the Lessee or using geographic information such as township, section, and range. Entering that information into OASIS will bring up one or multiple records that contain a KE Lease Number for the record. Staff then write down the KE Lease Number and go to Public Records to retrieve the file. ASLD Staff will “sign” the file out and file track the file to themselves. They will then take the file back up to their desks for review. They then keep the file until they have finished using it; at which time they will return it to Public Records to be filed.

The public also requests files in Public Records. When a member of the public arrives unannounced, Public Records staff will retrieve the files requested and give them to the requestor. The requestor will sit in the Public Records area to review the records.

Sometimes, the files the public wants to see have already been pulled by someone from another department. When this happens, Public Records staff calls the administrator who has the file to ask that they bring it back to the Public Records area for public viewing.

Some of the older files have already been sent to Records Retention, which is an off-site location managed by the State. These files do get requested from time-to-time and, when they do, Public Records staff will request that the files be sent from Records Retention back to the Public Records department at ASLD. When the request needs to be rushed, Public Records staff will go their personally to retrieve the file.

The loss of original sales files as well as other title files and documents, either conveying land to us or from us, would be devastating. Department decisions or sales could be invalidated if the original documents were destroyed. Title to land could be challenged resulting in large legal fees and settlements.

Lease files, many times, contain information needed for billing. Historical and current information for active files is contained in lease, permit and rights-of-way files. Although our computer system (OASIS) depicts dates, type of transaction and sometimes names, it would be impossible to locate important details. Research sources would be cut in half.

These records could not be replaced. The loss of these records would present a huge gap in the Department's current disaster recovery plan. Millions of dollars in revenue would be lost. In addition the current system is time consuming and inefficient for both the state and the general public. The current system also requires a large amount of storage and labor to remain organized and available to the public.

B. Proposed Business Solution*

ASLD proposes to implement document management and imaging in order to bring the agency up to modern storage and retrieval processes currently employed by other state agencies. Imaging/document management is a process through which a document is recorded or scanned electronically, indexed, and stored as a digital image of its original form. Once digitized, it can be routed, archived, and/or retrieved using existing workstations that have been image-enabled.

The primary goal of this proposed project is to develop an internal capability for the Department to digitally convert, process, store and provide access to certain records related to the management of Arizona's State Trust Lands that currently exist only in paper and/or microfiche format. The project will capture certain historic (static) records that, while not added to or modified, are constantly accessed by staff and customers at the Department's walk-in, public counter. The scanning will be implemented on a systematic approach culminating in all historical documents being scanned.

The internal capability developed by this project will position the Department to do future work, over time, converting active paper files to a digital form, and eventually deploying all of its records via the

Internet. This eventual total conversion of active “live” files will produce financial benefit to the State Trust and citizens of the state and provide tremendous efficiencies resulting in greatly increased customer service for managing Arizona’s State Trust lands.

This project will develop the Department’s capability for automation, integration, and computerization of its document processing functions, increasing the availability of information contained in the Department’s business system. It will also provide efficiencies regarding capture, inquiry, and reporting to Department staff utilizing official record documents, currently in paper or microfiche form, and will improve the security and preservation of those documents.

This project will contract out for complete scanning of the most important and critical paper documents creating a permanent digital archive, thus protecting them from destruction, either through continuous use or damage caused by ambient environmental conditions over time, or the consequences and effects of a disaster. ASLD staff will be responsible for scanning current live documents. Over time data stored on microfiche will be converted.

As a result of this project scanned files will be instantly available to all users simultaneously. This will allow multiple users, including the public, to view files at the same time. It will allow staff to search for and view files without assistance from Public Records, and from the convenience of their cubicles. No longer will Department staff need to walk to down to the Public Records area to retrieve files. This will nearly eliminate the time it takes to retrieve a file.

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

Due to legal requirements the preservation of these documents is deemed essential. Also, scanning vital information for digital storage ensures adherence to retention regulations and reduces and controls operating costs due to accessibility and increased productivity.

The loss of many of these files would be devastating. Many of these records could not be replaced, and the potential for millions of dollars in revenue would be lost. In addition, the current system is time consuming and inefficient for both the state and the general public. The current system requires a large amount of storage and labor to remain organized and available to the public. Without the conceptual, technological basis and experience gained in this project the Department will be unable to pursue its longer term goals that have been included in our IT Plan for several years but delayed due to budget constraints.

Service Enhancement - Imaged documents will provide improved customer service to both internal and external customers. This will greatly increase efficiencies for both ASLD and our customers. It will also open up new opportunities to streamline the processes.

Cost Reduction – Savings will be realized as records will be available as required, thus workflow will not be held up due to lost documents. This will also streamline document retrieval for litigation purposes. The current system also requires a large amount of storage and labor to remain organized and available to the public. This requirement would be greatly reduced through an electronic system, thus savings should be incurred as a result in reduced storage space.

Problem and Risk Avoidance – It is extremely important that these records be secured. ASLD is at high risk of a catastrophic loss of leases and property information and other key business information. The public has daily access to the only copy of property records. Individuals who access these crucial records could easily steal, alter or destroy them, causing such information to be lost forever. These documents are also susceptible to fire and flooding, in which case all documents could be easily destroyed. This project will assist in eliminating the wear and tear of documents due to handling over the years.

As opposed to property records, current business systems are secured. Nevertheless, the effectiveness of this security has not been proven or enhanced in many years. In addition, the emerging requirements of the Natural Resources Review Council (NRRC) and interactions with other state and federal agencies necessitate a secure document management system.

IV. Technology Approach

A. *Proposed Technology Solution**

The vendor of choice is Image Conversions & Management (ICM). ICM is a vendor that supplies imaging, indexing and retrieval software called View Center. ICM also provides back file imaging/indexing and external hosting services. ICM has been under contract with the State of Arizona since 2000 and is currently contracted to support Document Imaging (ADSP014-070056) and for IT staffing and consulting (ADSP012-01231851). ICM has successfully implemented imaging projects in various state agencies including, Risk Management (ADOA), DPS, and various DES divisions.

Digitizing the historic documents will greatly increase efficiencies for both ASLD and our customers. It will also open up new opportunities to streamline the processes. Test documents were scanned by ICM in both 300 dpi and 600 dpi to determine quality and ease of retrieval. Test documents will be used for training purposes. ASLD also has had various meeting with State Library and Archives to determine the dpi requirements for retention schedules. After all tests and meetings, 300 dpi will meet State Library standards. Documents will be scanned as 300 dpi resolution black and white pdf files. Color pages and color maps will be scanned in color at 300 dpi. Per agreement with State Library, as paper files will be archived, all pages will be OCR'd for search ability.

This project will consist of the following:

Phase 1:

1. Meet with ICM, a state approved vendor, to define the Document Management System structures based on the document types that will be managed and the indexing values required for efficient search and retrieval. Additionally users will be identified and organized into groups and granted various levels of permission to the different document sets.
2. Vendor will implement the View Center software in the ICM SaaS environment
3. ICM will provide both user training and administration training to assist in the rollout of imaging in ASLD.

Phase 2:

1. The imaging process will include other divisions with rollout to be determined.

ICM/View Center - View Center is ICM's browser-based Enterprise Content Management software designed to efficiently store, manage, view, and distribute documents to staff and other authorized users. ICM also provides back file imaging/indexing and external hosting services at a reasonable rate. ASLD will retain all rights to documents housed at vendor's site. An exit plan is not required as documents are permanent records.

Features of IC View Center:

- Image enabled client workstations will be available at various locations including the public window for easy access.
- Uses a browser so there is no need for a client-side application; browser is compatible with the various workstations.
- Secure login for authorized users to add and search sets of documents with quick results.
- Administrator functions are fully supported via the browser interface.
- Manages various file types such as .doc, .xls, .pdf, .ppt, .jpg and more
- Retention Management Module manages the lifecycle of the documents based on State Archive rules.

This project will serve as a method of disaster recovery providing backup of scanned images. A replica copy of data is stored off-site at a secure Phoenix location, as well as a remote location in New Jersey to ensure a local disaster will not affect both copies.

B. Technology Environment

ICM Software as a Service (SaaS) – the View Center SaaS deployment model provides ASLD with the opportunity to reduce IT support and infrastructure costs by outsourcing hardware and software maintenance and support.

Services

- Web Access included in SaaS fee
- View Center document repository user licenses
- Mass storage and administration
- SQL license

- Software maintenance and support
- Two geologically separate Data Center locations
- Offsite data replication
- Once per week full backup of files
- Daily incremental backup of files
- Daily backup of database
- Hardware redundancy

I. Selection Process

ASLD met with various vendors and other state agencies. Vendor proposals were analyzed to determine the best possible solution. ASLS reviewed other state agencies solutions and met with ADOA, Risk Management to review their ICM implementation for imaging. Best practices, vendor satisfaction, and lessons learned were analyzed to determine the best possible solution for ASLD.

II. Project Approach

A. *Project Schedule**

Project Start Date: 8/18/2014 **Project End Date:** 2/28/2015

Task Name	Duration	Start	Finish
Project Kickoff	1 day	Fri 8/15/14	Fri 8/15/14
ViewCenter Configuration	49 days	Mon 8/18/14	Fri 10/24/14
Perform Document Analysis	4 wks	Mon 8/18/14	Mon 9/15/14
Determine Collection(s)	4 wks	Mon 8/18/14	Mon 9/15/14
Create Collection Design	4 wks	Mon 8/18/14	Mon 9/15/14
Obtain Client Approval	4 days	Tue 9/16/14	Fri 9/19/14
Perform Configuration	4 wks	Mon 9/22/14	Fri 10/17/14
Perform Testing	4 wks	Mon 9/22/14	Fri 10/17/14
Perform Training	5 days	Mon 10/20/14	Fri 10/24/14
Legacy Scanning	135 days	Mon 10/20/14	Mon 5/4/15
Volume / Pricing - Environmental	2 days	Fri 2/27/15	Mon 3/2/15
HR	1 day	Tue 3/3/15	Tue 3/3/15
Planning and Engineering	9 days	Wed 3/4/15	Mon 3/16/15
Archeology	5 wks	Tue 3/17/15	Mon 4/20/15
Cadastral Maps	2 wks	Tue 4/21/15	Mon 5/4/15
Day Forward Scanning	55 days	Mon 10/27/14	Mon 1/19/15
Determine Day Forward Scan Process	3 wks	Mon 10/27/14	Fri 11/14/14
Determine ScanCenter/iCapture needs	3 wks	Mon 10/27/14	Fri 11/14/14
Procure Scanners	3 wks	Mon 11/17/14	Tue 12/9/14
Perform Installation	4 wks	Wed 12/10/14	Mon 1/12/15
Perform Configuration	4 wks	Wed 12/10/14	Mon 1/12/15
Perform Testing	4 wks	Wed 12/10/14	Mon 1/12/15
Perform Training	5 days	Tue 1/13/15	Mon 1/19/15

B. Project Milestones

Deliverables: Records digitized, and indexed by keyword, system to retrieve records, system to scan and index new records. View Center implemented for viewing and cloud storage.

Major Milestones
Arizona State Library, Archives and Public Records approval
Scanning
Training
Day Forward Scanning

III. Roles and Responsibilities

A. Project Roles and Responsibilities

Vendor Project Manager

- Julie Hill – overall PM for Vendor
- Dusty Vokacek – vendor PM for overseeing scanning

ASLD Project Managers

- Evan Brom – Oversee and manage project
- Carolyn Brown – Provide project oversight, provide status reports to ASET, coordinate overall project and training with vendor
- Roz Sedillo – Business PM for ASLD Titles and Contracts

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	700
Total Full-Time Employee Cost	\$42,000

IV. Risk Matrix, Areas of Impact, Itemized List, PIJ Financials

V. 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	N/A
Total Development Cost	VII. PIJ Financials tab	\$491,166.53
Total Project Cost	VII. PIJ Financials tab	\$698,866.53
FTE Hours	VI. Roles and Responsibilities	700

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Evan Brom		
Agency Information Security Officer:	William Reed		
Agency CIO:	Evan Brom		
Project Sponsor:	Roz Sedillo		
Agency Director:	N/A		

VI. Optional Attachments

A. *Vendor Quotes*

VII. Glossary

VIII. Additional Information

ICM has recently responded to a security audit of its SaaS environment by the State of Arizona, Department of Administration, Strategic Enterprise Technology Office, and State Chief Privacy Officer. ICM has successfully completed this audit and has been approved to Host PII/PHI data.

Links:

[ADOA-ASET Website](#)

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

Email Addresses:

[Strategic Oversight](#)

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