Project Investment Justification

Version 01.01

A Statewide Standard Document for Information Technology Projects

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AZ DPS ELECTRONIC SEX OFFENDER REGISTRATION SYSTEM

Agency Name:	**Department of Public Safety**
Date:	**12/1/13**
Agency Contact Name:	**Joyce Dehnert** **Stephen Morrison**
Agency Contact Phone:	
Agency Contact Email:	

Hover for Instructions

I. Management Summary*

Arizona Department of Public Safety (AZDPS) is required to verify all addresses of sex offender registration records, contained within the Arizona Criminal Justice Information System. As outlined in ARS Statute 13-3827, AZDPS must establish and maintain an internet website and distribute the Arizona Sex Offender Registration Form and Address Supplement (in triplicate) to all 15 county Sheriff's offices in the state of Arizona. AZ DPS proposes to purchase an Electronic Sex Offender Registration System (ESORS).

II. Project Investment Justification (PIJ) Type*

[ ] Yes [x] No   Is this document being provided for a Pre-PIJ / Assessment phase?

If Yes,

Identify any cost to be incurred during the Assessment phase.	$
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	$

Explain:
Click here to enter text.

[ ] Yes [X] No   Will a Request for Proposal (RFP) be issued as part of the Pre-PIJ or PIJ?

III. Business Case

A. Business Problem*

The following are some difficulties in the process for AZDPS and the local law enforcement agencies (LEA) for Sex Offender Management.

Local LEAs are on their own to devise methods to comply with the law, as best they can. There are inconsistencies between agencies.
Sheriff's office employees, upon registration, have no effective means to ascertain the exact jurisdiction where the offender resides, often resulting in notification of the wrong jurisdiction of a new offender and the loss of valuable time.
The current paper-based systems are slow and inaccurate, often receiving missing or illegible data. The current system does not collect all the data available on an offender.
LEAs have no means to pre-register offenders to new locations; share responsibility for a single offender living, working or schooling in two or three different jurisdictions; or generally account for the movements of offenders from custody or between agencies.
LEAs do not collect and retain rich, , and historical data on offenders. An electronic file can travel with the offender as he moves about and can be shared with partner agencies such as Sheriffs, PDs. AZDPS, United States Marshalls, County Attorneys, Probation/Parole, and Arizona Department of Corrections (AZDOC).

The sex offender Registry process at DPS uses a mix of technologies to manage the registry process. This includes:

1. A home grown intranet sex offender website (internal SOWS) for law enforcement personnel to enter and view registry information.
2. An externally managed public SOW's for the public to be able to see level 2 and level 3 sex offenders and search by name, address, zip.
3. A document storage system to house related documentation.

In addition, the other law enforcement agencies around the state use a wide range of technologies (Including paper forms) to gather the information. These technologies do not interface with each other and create large scale inefficiencies.

B. *Proposed Business Solution**

AZDPS is requesting to acquire a hosted, Electronic Sex Offender Registration System (ESORS) called OffenderWatch to replace the paper-based system and existing Sex Offender Websites for law enforcement and public access. This will allow AZDPS to implement a consistent and uniform statewide electronic pre-registration and registration process, and to effectively share information and cooperate with collaborators in the Counties and Police Departments in all Jurisdictions. LEAs will follow the same electronic registration and management processes and utilize the same mapping with up-to-date jurisdictional boundaries and other services.

The OffenderWatch ESORS service is fully hosted and maintained by the vendor, but managed by AZ DPS. AZ DPS will be the only administrator. AZDPS will maintain control over required data elements, drop-down box values such as risk levels and offender status, and a host of state-specific parameters effectively tailored to Arizona statutes, norms and preferences. AZDPS will set up levels for personnel to be able to input, change, and delete the information in the database. This process will allow the state to take advantage of a new state-level community web page for information dissemination, electronic updates to the National Sex Offender Public Web site (NSOPW,) via a dedicated virtual private network (VPN) to the AZDPS CJIS database. The State web page will provide neighborhood mapping, and offender tracking with email alerts. It will notify citizens if an offender registers an address in proximity to their registered address.

As part of this project, eight scanners will be purchased. Five of the scanners are for the AZ DPS Sex Offender Compliance unit's personnel to use in the registration process. The other three are for county Sherriff's offices that do not currently have scanners accessible by the computers that will be used in those agencies to register offenders.

C.   *Quantified Benefits**

X	Service enhancement
	Increased revenue
	Cost reduction
X	Problem avoidance
	Risk avoidance

Explain:

Service enhancement

This new ESORS will allow AZDPS to implement a consistent and uniform statewide electronic pre- registration and registration process, and to effectively share information and cooperate with collaborators, in the Counties and Police Departments in all Jurisdictions.

Problem Avoidance

Problems will be avoided because LEAs will all follow the same electronic registration and management processes and utilize the same mapping with up to date jurisdictional boundaries and other services.   Data errors will be reduced because rather than LEAs faxing various forms to AZ DPS' Sex Offender unit, and that unit re-keying data, all state LEAs will utilize the same system.

IV.   Technology Approach

A.   *Proposed Technology Solution**

The OffenderWatch system is hosted by the vendor. The technology is theirs to manage. OffenderWatch will replace several systems at AZDPS. These are:

AZDPS-Sex Offender Website (SOWS.)   This is an internal database with a browser based front end. It would be replaced by the ESORS. Currently AZDPS is using DPS IT personnel to maintain the database. The SOWS database houses the offender's information, updates and notes. There are approximately 25,000 offenders in this database.

The AZDPS-Public Sex Offender Website would be replaced with a website provided by OffenderWatch.   This is where the public can search for level 2 or level 3 offenders by name, address, zip for the entire state.

AZDPS-View Center: AZDPS Sex Offender Compliance Team (SOCT) currently scans all documents into View Center for storage and retrieval. The ESORS will replace this system in the SOCT since the data will be stored in a database rather than in paper forms. Every offender must register and re-register when they move or leave the state for a certain amount of time. When DPS receives

the paperwork and court documents it is currently then scanned into ViewCenter. There are 14,844 offenders this year and that generates tens of thousands of files to be scanned into ViewCenter each year. This will no longer be necessary.

B.   Technology Environment

As stated, the OffenderWatch system is hosted by the vendor.   There is a secure client that will be loaded onto existing Windows PCs that is compatible with Windows XP, 7 and 8. This client has been tested on DPS PCs. There is also a configurable web service available for AZDPS to integrate this data with other DPS systems. Appendix A contains a set of requirements that AZ DPS produced.
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C.   Selection Process

DPS contacted all 15 County Sheriff's offices and found; 10 counties and 18 cities in AZ are already using this software and vendor. There are 14,505 sex offenders this fiscal year required to register in the State of Arizona, 10,487 are already entered into this system by other law enforcement agencies.

V.   Project Approach

A.   Project Schedule*

Project Start Date: 1/1/14.   **Project End Date**: 6/30/15

B.   Project Milestones

Major Milestones	Start Date	Finish Date
Milestone 1 – Initial Setup with OffenderWatch subscription, creation of personalized web page, testing of AZ Data load, est. of implementation steering committee.	1/1/14	6/30/14
Milestone 2 - Initial Load of offender data	7/1/14	2/28/15
Milestone 3 –Creation and testing of AZ Offender data, NSOPW and portal	3/1/15	6/30/15

VI.   Roles and Responsibilities

A.   Project Roles and Responsibilities

Captain Raymond Butler – Project Sponsor

Gregg Hayes – Project Manager

Stephen Morrison – Operational Project Coordinator

OffenderWatch, the vendor, will be responsible for building, hosting and maintaining the ESORS and public sex offender website for AZ DPS. They will custom modify data entry screens, reports and workflows to meet Arizona standards. They will maintain and support a web service so DPS can integrate other systems with OffenderWatch, and they will load existing Arizona Sex Offender data from and extract that DPS provides. They will also train DPS and other LEA personnel to use the Offenderwatch system.

B.   Project Manager Certification

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

C.   Full-Time Employee (FTE) Project Hours

Total Full-Time Employee Hours	1248
Total Full-Time Employee Cost	$40,386.00

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

VIII. Project Approvals

A. Agency CIO Review*

Key Management Information	Yes	No
1. Is this project for a mission-critical application system?	X	
2. Is this project referenced in your agency's Strategic IT Plan?	X	
3. Is this project in compliance with all agency and State standards and policies for network, security, platform, software/application, and/or data/information as defined in http://aset.azdoa.gov/security/policies-standards-and-procedures, and applicable to this project? If **NO**, explain in detail in the "XI. Additional Information" section below.	X	
4. Will this project transmit, store, or process sensitive, confidential or Personally Identifiable Information (PII) data? If **YES,** in the "XI. Additional Information" section below, describe what security controls are being put in place to protect the data.	X	
5. Is this project in compliance with the Arizona Revised Statutes (A.R.S.) and GRRC rules?	X	
6. Is this project in compliance with the statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	X	

B. Project Values*

The following table should be populated with summary information from other sections of the PIJ.

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	II. PIJ Type - Pre-PIJ Assessment Cost	$
Total Development Cost	VII. PIJ Financials tab	$227,780.08
Total Project Cost	VII. PIJ Financials tab	$980,790.00
FTE Hours	VI. Roles and Responsibilities	1248

C. Agency Approvals*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Gregg Hayes		
Agency Information Security Officer:	Graciano Cervantes		
Agency CIO:	Graciano Cervantes		
Project Sponsor:	Capt. Raymond Butler		
Agency Director:	Col. Robert Halliday		

IX. Optional Attachments

A. Vendor Quotes

X. Glossary

ESORS – Electronic Sex Offender Registry System

(A)CJIS – (Arizona) Criminal Justice information Systems – A set of rules, developed by the FBI, to protect Criminal Justice Information.

LEAs – Law Enforcement Agencies

XI. Additional Information

As part of the requirements for this project, and as is mandated by the FBI, AZ DPS has stated that the solution shall meet the current FBI CJIS Security Policy and the data communication and encryption shall adhere to the FIPS 140-2 standards in order to protect the PII and criminal justice information.

Links:

ADOA-ASET Website

ADOA-ASET Project Investment Justification Information Templates and Contacts

Email Addresses:

Strategic Oversight

ADOA-ASET_Webmaster@azdoa.gov

Appendix A – AZDPS requirements for a hosted ESORS:

Vendor shall provide all equipment, hardware, software, facilities, personnel, services and all other items of expense required to provide a safe and secure ESORS to the law enforcement agencies in Arizona. Hardware, software, facilities, personnel and services will include a minimum of :

1.1. The System shall be hosted by the Vendor.

1.2. The system shall have the current capacity to support 300 concurrent users and 600 total users located throughout the state in 200 agencies. User load may increase over time. Maximum developed system load is anticipated to be 1000 users.

1.3. The public website averages 30,000 hits daily with peaks of 80,000.

1.4. The system shall require both desktop and mobile solutions.

1.5. The solution shall meet the current FBI CJIS Security Policy and the data communication and encryption shall adhere to the FIPS 140-2 standards.

    1.5.1. As the system is hosted by the vendor, communication will be over the internet, and all encryption, and safeguards required by the most recent Criminal Justice Information System policy will be provided by the vendor solution.

2.1. The Offeror shall supply all software, including any software upgrades, programming and personnel required to provide and maintain an ESORS capable of collecting, storing, analyzing, and sharing sex offender registry data statewide.

2.2. The Offeror shall install any federally mandated updates or changes at no charge.

2.3. All data submitted/collected via this System shall be the property of the State. Additionally, all data shared by participating law enforcement agencies shall be owned by that law enforcement agency. The Offeror shall not restrict the state's ability to access, transfer or share its data by proprietary means, and shall provide a mechanism for data extraction or transfer utilizing standardized industry protocols.

2.4. System Implementation Milestones: The following milestones shall be mandatory achievements for the Vendor to submit a request for payment in accordance with the terms of this Contract.

    2.4.1. The Vendor shall complete the Project Management Phase and installation of ESORS core software and hardware by six months from award.

    2.4.2. The Vendor shall complete all training requirements for IT personnel, Administrators and Trainers at least 60 days prior to the ESORS go live date.

2.4.3. As determined by AZDPS in the Project Planning Phase, the Vendor shall have a limited ESORS go live date for the ESORS on or before six months of award.

2.4.4. The vendor shall have all employees background-checked prior to install.

2.4.5. The vendor shall have all employees attend an ACJIS Security and Awareness Training class.

2.5. Offshore Performance of Work Prohibited: Offerors shall declare all anticipated offshore services.

2.5.1. Required Functionality of Software: The following information is a detailed list of services the software must be able to perform:

2.5.2. Map and verify sex offender address, up to 3 physical addresses and one mailing address.

2.5.3. Provide extensive fields of information for data integration.

2.5.4. Add additional fields and customization as needed.

2.5.5. Store/track all names by which the offender has been known.

2.5.6. Store/track online identifiers, means any electronic e-mail, address information or instant message, chat social networking or other similar internet communications name.

2.5.7. Store passport information (not yet required in AZ but for future).

2.5.8. Store travel, Immigration numbers and Immigration documents if offender is an alien.

2.5.9. Store telephone numbers (home, cell, work, family) and any other designations used by the offender for routing or self-identification in telephonic communications from fixed or cellular.

2.5.10. Store historical telephone data.

2.5.11. Store/track multiple social Security number(s).

2.5.12. Store address of current, secondary, and third residences including previous, temporary, and occasional ones; all addresses must have a verified and attempted box for yearly tracking.

2.5.13. Store current and previous employment or volunteer contact information (name and address of organization or employer).

2.5.14. Store other employment information – travel routes, general area of work.

2.5.15. Store professional licenses and numbers.

2.5.16. Store names and addresses of schools that offender is attending or working at if applicable.

2.5.17. Generate automatic email to the assigned law enforcement entity for each educational institution listed in the system. Identify the triggers for automatic email generation.

2.5.18. Store identifying information on vehicles owned or driven by offender, to include vehicle description (make, model color, year), license plate number, vehicle identification number and owner information; historical tracking of this data.

2.5.19. Store identifying information on aircraft, watercraft or off road vehicles owned or driven by offender and registered in any jurisdiction; historical tracking of this data.

2.5.20. Store birth dates.

2.5.21. Store place of birth.

2.5.22. Store physical description of offender: height, weight, sex, hair color, eye color, scars tattoos, amputations, other distinguishing characteristics, etc. Pictures of tattoo(s).

2.5.23. Maintain statutory codes in a table within the application. This table must be used for statutes/offenses which the offender has been convicted, including the applicable National Sex Offender Registry code for each offense.

2.5.24. Store current photograph and all other previous photographs for historical use.

2.5.25. Store DNA information; possible link with Crime Lab.

2.5.26. Store and retrieve court documents from all states and counties.

2.5.27. Generate automatic alerts to the registration sheriff's office and DPS SOCT at time of update.

2.5.28. Provide accessibility to data for all Arizona law enforcement agencies to access the data with appropriate access codes. System should be able to uniquely identify the device using ACJIS Routing Indicator (RI) from where the data is accessed and the user (using Terminal Operator Certification ID [TOC ID]) who accesses the data per ACJIS security guidelines.

2.5.29. Maintain a user-friendly internet public website, with a sex offender locating feature that is searchable by all data elements.

2.5.30. Provide data extraction for full participation in the National Sex Offender Public Website (NSOPW) which includes, but is not limited to, searches by name, country, city/town, zip code and geographic radius.

2.5.31. Provide links to educational institutions and public safety related information for each sex offender residential address.

2.5.32. Provide a field for agency to update information on the website. This information must be tractable.

2.5.33. Include on the website a disclaimer (AZ DPS SOCT must be able to maintain the disclaimer information to display any legislative changes) that must be accessed before entering site and acknowledged by the user that they have read, understood, and will comply with the disclaimer before they are allowed to enter the site.

2.5.34. Interface with Arizona Sex Offender Registration System (SORS) and process National Crime Information Center (NCIC) responses. New registrations and updates will be performed by the county sex offender units around the state.

2.5.35. The AZDPS SOCT team will act as a clearing house for updates and edits before they are electronically posted to the ESORS System. Therefore, the new ESORS system must have a mechanism in place to allow for the review, edit and acceptance/rejection of registrations before they are posted to the SORS system through the interface, and a method to send rejected registrations back to the originator for corrections if/when needed.

2.5.36. Sort entries by county, city, DOC and assigned DPS caseworker when registrations are entered and sent to DPS for verification.

2.5.37. Track physical record information (judgment & commitment orders, pre-sentence investigations, police reports, etc.)

2.5.38. Track individual actions due to address change, release from custody, registration, etc.

2.5.39. Provide agency and drop down definable menu forms from the system on each registrant, including editable text/boilerplate language.

2.5.40. Provide a tip line feature with notification to appropriate law enforcement agencies and AZDPS, with a copy to e-mail designation.

2.5.41. Provide data conversion from existing registry system to new system. Existing registry system (SOWS) will be decommissioned when the new web based system goes live. DPS will provide a text file extract of the data in either .CSV or XML format.

2.5.42. Store and track absconder information.

2.5.43. Generate offender letters from Word templates; available letter templates shall include the Standard Annual Verification Letter, Homeless Annual Verification Letter, Failure to Comply/Never Registered Verification Letter, Incorrect Address and MVD Credential Verification Letter, Incorrect Address Verification Letter, Incorrect MVD Credential Verification Letter, and an Out of State Offender Verification Letter. These letters are generated in word format. Several fields are populated from the database ie: Registration number, Mailing address or Physical Address.

3.   :

3.1.1.1. The vendor will establish an on-site training schedule in all 15 Arizona counties and a continuing on-line training site for operational personnel in the two months preceding the operational date of the electronic registration management system and provide continuing on-line training for the duration of the grant at specified intervals. Unless otherwise agreed to training shall be a train-the-trainer type of training. The vendor shall provide training manuals (electronic manuals preferred) for all training attendees and six copies of "train-the-trainer" manuals. All training shall be provided by the vendor two months before the System goes live.

3.1.1.2. The Vendor shall provide a tiered customer support program. The tiers shall, at a minimum cover the following areas: (1) AZDPS Trainers, (2) System Administrators. The Customer support program shall be in addition to any personal on-site assistance provided to AZDPS, during the installation of the ESORS and a requirement for any licensing, maintenance and support contract. Customer support shall at minimum be available to provide technical assistance to all ESORS trainers and administrators by phone and email, and for AZDPS specified IT technical contacts via remote assistance technologies (i.e. VPN, WebX or GotoMeeting) Monday through Saturday, 7am to 5pm, for six months after the System has successfully completed acceptance testing as determined by the State. If during the six month period any significant defects are determined by the State the six month period will reset to start from the date any defect is corrected, at no additional charge to the State.

3.1.1.3. Progress Reports: Vendor shall provide two copies of a summary report listing progress and critical issues within five (5) days following the end of the calendar month.

3.1.1.4. AZDPS and Vendor will develop and implement processes and procedures for the collection and reporting of Performance Measures within two months of implementation of the electronic registration management system and will report monthly measures.

3.1.1.5. AZDPS and Vendor agree that three personnel of AZDPS will act as the liaison between all participants of the Arizona Sex Offender Working Group. The vendor is responsible for all expenses related to training; airfare, hotels, car rental, and per diem for its employees for the duration of the grant.

3.1.1.6. AZDPS and Vendor will develop and implement an Arizona Working Group Users Committee of Justice professionals. Through the Arizona Users Committee, AZDPS will develop the structure for focused strategic planning and establish Arizona Best Practices for sex offender registration, tracking and community notification. The Arizona Working Group Users Committee includes representatives from AZDPS, Department of Corrections, USMS, sheriff's offices, and police departments. The meeting will be set quarterly and the vendor will participate at each meeting.

4. :

4.1. The Offeror is not required to provide computers, printers, or non-ESORS required software for system users.

4.2. Server-related hardware, operating systems or third party software and/or Database Management System (DBMS) required by the Offeror for the ESORS shall be supplied by the Offeror.

5. Ideal system capabilities:

5.1. Provide a flexible search engine with comprehensive query, subject locator information.

5.2. Provide a separate test environment to test changes before moving changes to production.

5.3. Generate error reports to evaluate and validate data; reports should be exportable to MS Excel.

5.4. Provide varied levels of security for data entry, view only and partial/full access. Security to abide Arizona Criminal Justice Information System (ACJIS) Security guidelines and access controls.

5.5. Generate automatic public e-mail notification of offender tracking changes with secured identity verification and a 6 month validation and removal process.

5.6. Provide real-time multi agency access, upload and interface.

5.7. Add additional elements and update software to meet technological advances and changes in statutory requirements as needed.

5.8. Provide GEO coding (GPS Mapping) and/or user interface with supported software; support 3 physical addresses and one mailing address.

5.9. Display digital image with dated historical storage and access; indexed by document type.

5.10. Automate offender registration notification generation as determined by state requirements; must also include editing capability for users; customizable to each individual offender with regard to length and frequency of registration.

5.11. Interface with U.S. Postal service address program or other reliable program to validate addresses.

5.12. Automatically generate statistical reports and non-compliant registration reports, reports should be exportable to MS Excel; provide current and historical tracking of Compliance/non-compliance for each registrant. Reports: Fiscal year attempts, fiscal year verified. Offender reports broken down alphabetically by county, city, DOC, absconder, and deported.

5.13. Provide the ability to enter free text information with varied levels of security entry and access.

5.14.   Integrate with the Arizona Department of Administration (AZDOA) financial system, sending out statements and be able to accept credit card or bank transfer registration payments (AZ does not charge offenders at this time but wants the ability to do so in the future); provide financial account information.

5.15.   Generate offender letters from Word templates; available letter template options shall include Standard Verification Letter, Homeless Verification Letter, Failure to Comply/Never Registered Verification Letter, Incorrect Address and MVD Credential Verification Letter, Incorrect Address Verification Letter, Incorrect MVD Credential Letter, and Out-of-State Offender Verification Letter.

6. Additional Conditions/Considerations/Agreements:

6.1. AZDPS and vendor will configure, customize, import data, address mapping and other agency specific files, and begin operation of electronic registration management system within six months of project implementation date. Existing registry system (SOWS) will be decommissioned when the new web based system goes live.

6.2. AZ DPS and vendor will establish knowledge transfer session with DPS ITB.

6.3. Vendor must provide detailed test, use case, system, and design and training documentations. Vendor must also provide database model diagram.

6.4. Electronic registration management system must be able to export certain files to different agencies daily. When the SORS interface becomes available, and upon SOCT record review SORS will automatically send information to the National Crime Information Center (NCIC) via the DPS switch, upon entry and or modification. An error message will be returned with the specific reason the record is rejected or remains sent with no response. The electronic registration management system must have the capability to store NCIC responses. NIC information in its database.

6.5. All activity in the application shall be recorded in an audit log (uniquely identifying the user TOC ID per ACJIS security guidelines to include maintenance routines. Track field level changes by whom, date, timestamp, old and new values in the field being updated. Logs must be searchable and maintained for a minimum of ten (10) years, preferably on-line.

6.6. Electronic registration management system must be able to handle migration from current system to new electronic registration management system.

6.7. Electronic registration management system should have the capability to back-up the database daily.

6.8. Electronic registration management system must be able to search all data fields.

6.9. Electronic registration management system must be able to display certain fields for the public website.

6.10. Authorized agencies must be able to search, input, and query all fields at zero cost. Mailing notifications will be determined by the law enforcement agency making the request.

6.11. Electronic registration management system must be able do nightly exports.

6.12. Electronic registration management system must have two-way communications between electronic registration management system and agencies, electronic registration management system and AZ DPS SORS system, electronic registration management system and AZ AFIS.

6.13. Capable of generating offender letters from Word template.