ADOA-ASET
Arizona Strategic Enterprise Technology

Project Investment Justification
(PIJ)

A Statewide Standard
Document for Information Technology Projects

Project Title: ***Offender Management System (OMS) - AIMS Replacement***

Agency Name: ***Arizona Department of Corrections***
Date: ***April 23, 2013, Revised May 7,2013***
Prepared By: ***Stephen Welsh, Laura Boden***

Revised PIJ Version – January 2013

TABLE OF CONTENTS

I. GENERAL INFORMATION 6

I.A General Information 6
I.B Special Funding Considerations 6

II. PROJECT OVERVIEW 6

II.A Management Summary 6
II.B Existing Situation and Problem, "As Is" 7
II.C Proposed Changes and Objectives, "To Be" 13

III. PROJECT APPROACH 14

III.A Proposed Technology {Required for PIJ Approval} 14
III.B Other Alternatives Considered 14
III.C Major Deliverables and Outcomes 15

IV. POLICIES, STANDARDS & PROCEDURES 16

IV.A Enterprise Architecture 16
IV.B Service Oriented Architecture Planning and Implementation 16
IV.C Disaster Recovery Plan and Business Continuity Plan 16
IV.D Project Operations 16
IV.E Web Development Initiative 16
IV.F IT State Goals 16

V. ROLES AND RESPONSIBILITIES 16

V.A Project Roles & Responsibilities: 16

VI. PROJECT BENEFITS 19

VI.A Benefits to the State 19
VI.B Value to the Public 19

VII. PROJECT TIMELINE 20

VII.A Project Schedule 20

VIII. PROJECT FINANCIALS 20

VIII.B Detailed Project Financials {Required for PIJ Approval} 20
VIII.C Funding Source {A} 21
VIII.D Special Terms and Conditions (if required) 21
VIII.E Full Time Employee Project (FTE) Hours 22

IX. PROJECT CLASSIFICATION AND RISK ASSESSMENT 22

IX.A Project Classification and Risk Assessment Matrix 22

X. PROJECT APPROVALS 24

X.A CIO Review 24
X.B Project Values 24
X.C Project Approvals 24

APPENDIX 25

A. Itemized List with Costs 25
B. Project Schedule - Gantt Chart or Project Management Timeline 27

GLOSSARY 27

PROJECT INVESTMENT JUSTIFICATION (PIJ) TEMPLATE DECISION MATRIX

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.

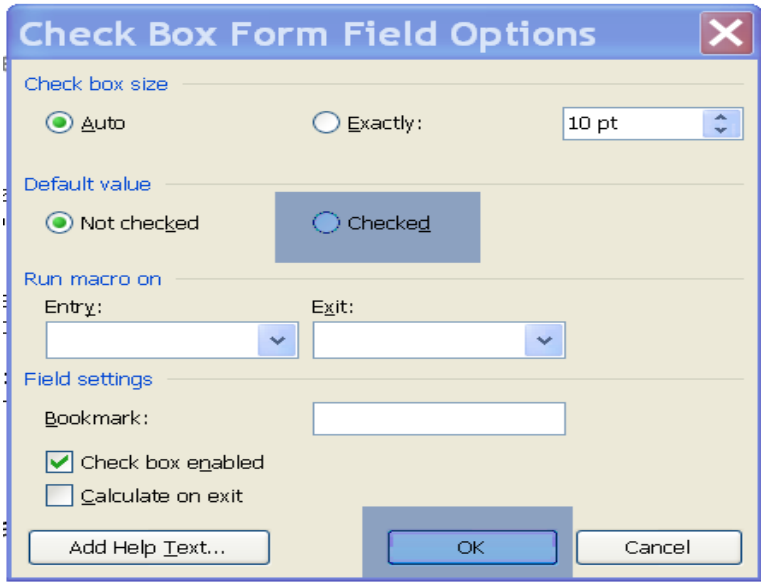
Category	PIJ Lite	Pre PIJ *	PIJ	ITAC Review
Low Risk projects: Including Operational Infrastructure Upgrades *(i.e. PC Replacement/Refresh, Network Upgrades)*				
Medium Risk projects		Optional		
High Risk projects		Optional		
Very High Risk projects		Optional		
$1.0M and Above projects		Optional		

Section	Category	PIJ Lite	Pre PIJ *	PIJ	Add for ITAC $1.0M+
I.	**General Information**				
I.A	**General Information**				
I.B	**Special Funding Considerations**				
II.	**Project Overview**				
II.A	**Management Summary**				
II.B	**Existing Situation & Problem, "As Is"**				
II.C	**Proposed Changes & Objectives, "To Be"**				
II.D	**Proposed Technology Approach**				
III.	**Project Approach**				
III.A	**Proposed Technology**				
III.B	**Other Alternatives Considered**				
III.C	**Major Deliverables & Outcomes**				
IV.	**Policies, Standards & Procedures**				
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.	**Roles and Responsibilities**				
V.A	**Roles and Responsibilities**				
VI.	**Project Benefits**				
VI.A	**Benefits to the State**				
VI.B	**Value to the Public**				
VII.	**Project Timeline**				
VII.A	**Project Schedule**				
VIII.	**Project Financials**				

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**				
Appendix					
A	**Itemized List with Costs**				
B	**Connectivity Diagram**				
C	**Gantt Chart, Project Management Summary**				
D	**NOI (Web Projects Only)**				

Document Instructions:

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



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

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

I. General Information

I.A General Information

Agency CIO:	Stephen Welsh	**Contact Phone:**	602-364-0600
Agency Contact Name:	Laura Boden	**Contact Phone:**	602-542-8938
Agency Contact Email:	lboden@azcorrections.gov	**Prepared Date:**	April 23, 2013 Revised May 7, 2013

I.B Special Funding Considerations

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

I. Problem Description

The Adult Inmate Management System (AIMS) is currently a mainframe-based application with multiple subsystems. The development language is COBOL II, which is outdated and has been implemented without needed documentation of the system design, processing, and relationships. The implemented programming techniques do not support timely maintenance or enhancement, creating a high degree of risk that errors may result in catastrophic system failure with serious impacts on operational capabilities within the Department. The DL/I database utilized in AIMS is hierarchical in design which results in significant costs of maintenance and difficulty in retrieving data compared to modern relational design databases. The presentation layer of the system, which utilizes text-based inputs and outputs, does not allow the efficiencies and user-friendliness of the graphical user interface presentation approach now standard in the industry. The current system design prohibits ADC from utilizing high-speed communication links and appropriate distributed processing models to ensure maximum performance, flexibility, and reliability.

Written in an obsolete programming language, the AIMS system is becoming more difficult to maintain, with its mainframe-based support work force retiring and training in this technology no longer being provided to potential recruits. Difficulty adapting release

calculations to legislative updates has very serious consequences and legal impacts. Lack of automation in the system, incompatibility to easily exchange data, and inefficiencies with processes cause extra verification and double work throughout the Agency.

II. Solution

It is paramount that ADC replaces AIMS for the accurate day-to-day management of Inmates and the long-term effective and efficient utilization of ADC's limited resources. With use of a new web based Offender Management System (OMS), a single sign-on capability could be provided. A single sign-on establishes users rights based on their directory assigned security settings, centrally managed with roles defining access levels.

The Enterprise Architecture (EA) proposed is a comprehensive framework for information technology and business that supports the Arizona State government strategic plan. Additionally, the interfaces to external systems and to exchange data will use industry-standard web service technologies such as XML wherever possible. ADC has reviewed similar systems implemented by other states, in order to gain a better understanding of the scope, high level requirements and estimated cost of replacing AIMS.

Once the new system is implemented, ADC plans to maintain the current AIMS to run in parallel mode, in order to ensure all programs, functions and data records are in the new system accurately and maintained before closure and archiving of the AIMS system by the project end date. In addition, the possibility and feasibility of a phased or modular approach will be investigated in the Request for Proposal. The ability to spread costs over multiple years, including a phased approach, will also be requested in the RFP.

III. Quantified Justification

A new replacement system for AIMS would provide security, public safety, records and efficiency benefits, both at the time of implementation and over the life of the system. ADC expends over $2.0 million dollars annually for maintenance and support of this legacy system at the ADOA Data Center. Business benefits as a result of replacing this system would be realized in three major areas:

- Benefits related to the technology the new system has been built upon;
- Benefits accruing from specific systems functionality; including but not limited to automation of business processes to provide efficiency and effectiveness to numerous manual processes currently in place throughout ADC;
- Business benefits of risk mitigation for inmate releases, outdated technology and limited available future resources.

II.B Existing Situation and Problem, "As Is"

Introduction

The Department is experiencing an increasing need to maintain more detailed information about each offender along with a constant pressure to share the information with other agencies and the private sector (Health Care). Information requirements

encompass multiple functions, requiring an integrated offender database to improve offenders' custody, correctional programs, Community Supervision monitoring, and administrative processes.

Business Related Impacts

Impacts to the Agency as a result of the age and design of the AIMS system are considerable. The current business problems and opportunities associated with the offender management processes fall into the following categories:

Male Inmate Admissions Process is compressed. Due to the physical space limitations at ASPC-Phoenix, the inmate intake reception process for males (females are processed at ASPC-Perryville) is necessarily compressed into a 5 day process (from receipt to transfer out) for the vast majority of inmates (some with unresolved medical issues may stay longer). This is unheard of in comparison to other state prison reception centers, which usually take at least several weeks. The ability to develop advanced automation solutions of the reception process is critically needed to assist in this high pressure environment. For FY 2012, there were 18,070 inmate admissions into the Department.

Inmate Movement. Due to the complex nature of the Department and its ongoing effort to maximize limited bed space, inmate movement from facility to facility is heavy. During FY 2012, 81,374 inmate moves from one facility to another were done, an average of approximately 220 inmates moved on public roads every day of the year! Each move represents a myriad of processes currently using Department IT resources – from health screenings, classification, protection and gang reviews. The Department must ensure inmates are classified and housed correctly to secure staff, inmate and public safety. The necessity for accuracy and timeliness of information to ensure correct movement and safety to the public is essential. Currently, automation assists in this daily movement, but it could be greatly improved, as there is a heavy reliance on manual reviews for daily transportation planning.

Inmate Releases are Critical to Public Safety: 18,374 inmates were released from prison during FY 2012, which clearly represents a significant public interest in ensuring inmates are released timely and with the best possible communication to the various agencies involved in supervising or assisting the released population. Like inmate movement, the release process also touches on a great variety of processes and staff reviews – further increasing the need for functional and sustainable automation solutions.

In conjunction with admissions, the release process highlights the lack of an effective method for sharing information, in particular inmate images, within the Department and with key stakeholders. Mug shots and offender data are stored on two separate systems. Identification marks including tattoos, cuts and marks are stored in a third system that is not readily accessible from AIMS. If one system contained all the data, safety would be improved through the reduced time needed to assess the situation, instead of having to pull information up from multiple systems.

Technology Related Impacts

Data Processing: Processing costs associated with running AIMS on a mainframe

computer are based on the number of CPU cycles. Costs are incurred each time the data in the system is manipulated, and vary depending on the time of day or day of week. Thus, when large exports of data are made to keep external systems current, there is an associated cost, which limits the number of times data processing can be run. When data is not provided and corrections are not made to external systems in a timely manner, errors can result. In particular, errors involving the housing of inmates are problematic, since inmate housing affects scheduling, and knowing the location of an inmate at all times. Sorting through errors involving housing locations creates inefficiencies for medical, dental, pharmacy, education, and other personnel.

Report Generation: Due in large part to the age of the COBOL/CICS based system report generation relies on writing computer programs to extract the data. When this data is extracted, it often times has to be merged with data from other unconnected systems, requiring additional resource time and expertise.

Incompatibility with Information Exchange Standards: The current AIMS does not comply with The National Information Exchange Model (NIEM), which is the result of a collaborative effort by the United States Department of Justice and Department of Homeland Security to produce a set of common, well-defined data elements to be used for data exchange development and harmonization. This information exchange strategy among others is crucial for ADC to provide required data to other State agencies.

Reliance on printed forms. Inability to access offender records rapidly and from multiple areas fosters a reliance on printed forms and manual processes, which decrease staff efficiency.

Current Business Processes and Operations

Currently, ADC operates 10 adult institutions and supplies offender management via AIMS for 5 private prisons within the State. A total of approximately 40,200 adult offenders occupy the institutions. Placement in the system begins when the court, counties and other contracting entities commit/re-commit offenders. It ends when offenders complete their confinement period and are released to Community Supervision. During initial intake, Reception Center (RC) staff identifies, screens, and evaluates offenders. This is done prior to assigning them to an institution, appropriate with their initial classification. Throughout an offender's confinement, ADC continually evaluates, supervises, and provides offenders with numerous services or treatment, such as health care. Other programs, to provide services to substance abusers, sexually violent predators, or those with anger management problems, may also be available. When necessary, ADC initiates additional processes during disciplinary action or when offenders file grievances.

Most adult offenders serve a term of approximately 6-8 months on Community Supervision. During this time, community supervision agents monitor offenders and ADC continues to provide services such as drug treatment or rehabilitation programs. If offenders serve their Community Supervision time without incident, or when jurisdiction expires, ADC discharges them from Community Supervision. This marks the termination

of the offenders' involvement with ADC. However, if offenders violate their Community

of the offender's involvement with ADC. However, if offenders violate their Community Supervision conditions, ADC initiates the revocation process. During this time, the violation is validated and a determination of appropriate sanctions is made. This could possibly include additional confinement time, or reassignment to or continuation upon, Community Supervision. During Community Supervision, the same Offender Management System (OMS) is used to track offenders.

The following functions combine to make an OMS:

- Intake Processing;
- Offender Classification/Movement;
- Programs;
- Sentence Calculation;
- Financial System/Inmate Trust Account;
- Movements and Count Procedures;
- Transportation;
- Discipline;
- Appeals and Grievances;
- Holds, Wants, Warrants and Detainers;
- Scheduling;
- Gang Management/Security Threat Groups;
- Property;
- Visitation;
- Pre-Parole, Parole Certification and Release;
- Community Supervision Operations;
- Administrative Processes (Significant Incident Reports, interfaces, etc.).

These functions will be expanded at the RFP level so that the vendor(s) can explain how their product will meet these requirements. The specific areas which are utilized in the current AIMS to perform daily operations are, but not limited to:

Intake Processing
Offender Intake and Assessment for the Arizona Department of Corrections takes place at four locations: Arizona State Prison Complex-Phoenix, adult males; Arizona State Prison Complex-Perryville, all adult and minor females; Arizona State Prison Complex-Tucson, minor males sentenced as adults; and Arizona State Prison Complex-Eyman, Browning Unit with males sentenced to death. This process usually takes about 5-10 days to complete. Inmates who are sentenced to six months or less to serve are usually processed within 3 days.

During the period at Intake Assessment, offenders take part in Admission/Orientation and are classified under the Offender Classification System. Upon entering the Department's custody, each offender is assessed for security and custody risk, and for specific services such as medical, mental health, substance abuse or sex offense treatment and/or programming needs such as education, vocational training and work skills and other placement considerations.

Offender Classification/Movement

Classification scores are adjusted based on information received during the review

period. ADC Classification categories are: Maximum, Close (to Maximum), Medium and Minimum. The Classification Unit schedules offender movement from the county jails and offender transfers between the prison units.

Programs
Programs describe services within the agency, for example, religious services.

Sentence Calculation
Sentence calculation is broken down into three chronological zones: Old, New and Truth in Sentencing. This section of the application is heavily statute driven culminating in an expected release date. The Time Computation Unit has responsibility for the calculation of release eligibility dates for all offenders and oversight of the institution release processes. This would include the auditing of intake documents for accuracy, recalculation of release eligibility dates due to forfeiture of release credits, a change in release credits earned due to disciplinary sanctions and monitoring of the release eligibility dates.

Financial System / Inmate Trust Account
This is where the detail for accounting is performed, with the balances held within the Agency component of the State accounting system. Inmate pay, commissary and retribution are some of the detail held in this area. Commissary and Inventory Management provides institutions with a canteen system, fully integrated with the Trust Accounting system. It enables the agency to process inmate purchases and returns in real time via direct debits and credits to inmate's trust accounts. This system integrates with the ADC's current commissary vendor to provide support to the continuation of the current inmate services.

Inmate Payroll integrates with the trust accounting system, and calculates wages to be paid to the inmates for work programs. It subsequently credits the inmate's trust account making tax deductions accordingly.

The Visitation Application enables the agency to process visitor's application and fees on-line or by money order. There is a one-time $25.00 background check fee for each visitor. Providing that the visitor is on an approved visitor list the applicant is loaded into the AIMS system. These fees are charged to Adult visitors only (no minor, attorneys or special visitors).

Movement and Population Count
In a perfect world once an inmate is classified and a bed is assigned movement should be minimal. This portion of the application determines if a bed is available and allows the transfer to occur. Population Count is an accounting of each inmate, including those away from the facility. Having correct counts is one of the basic functions assigned to ADC.

Transportation
Transport for inmates takes place for many reasons: movement, medical and court

related activities.

Discipline
In the event that an incident involving an inmate occurs, investigation may be required along with a subsequent event that could alter the sentence calculation.

Appeals and Grievances
The information held within this component can be used to lodge appeals or grievances that may occur.

Holds, Wants, Warrants and Detainers
Features used with handling of inmates.

Scheduling
Scheduling may be used to set aside resources for medical, court and other actions that require coordination of time for actions to take place.

Gang Management/Security Threat Groups
The crucial information of potential threats is used in a database to improve safety and provide information to correctional staff.

Property
Process used during intake to catalog personal items and during incarceration to log new belongings, for example a Television (TV).

Visitation
This component tracks the necessary steps to allow visitors access to inmates and scheduled times of visitation.

Pre-Parole, Parole Certification and Release
This component tracks the events close to inmate release, which include interaction with Parole after release including Community Supervision if necessary.

Community Supervision
During Community Supervision, the same system is used to track offenders.

Administrative Processes
These generic processes include Significant Incident Reports, reporting in general, and several Interfaces to other systems. One such interface will connect the Electronic Health Record (EHR) to the OMS. Another interface will link the inmate trust accounting with Epicor, the accounting system used by the Arizona Corrections Industries (ACI) section with ADC. ACI's Manufacturing Operations Bureau staff is responsible for the following key activities:

- **Perform Oversight.** This activity oversees the various work sites and works with institution management, State agencies' management, and private contractors to ensure ADC provides a safe and secure environment for its workers.

- **Create Jobs.** This activity creates opportunities for offenders to develop marketable skills and good work habits through enterprises that produce quality

products and services for ADC customers

- **Evaluate Inmate Performance.** This activity oversees the preparation of objective evaluation of an inmate's job performance.

- **Manage Inmate.** This activity enters inmates' work performance information into AIMS.

Legal and Public Policy Constraints

A solution is required which will meet all current safety, regulatory, security and audit requirements, and be flexible enough to accommodate future safety and regulatory changes into the system. The replacement OMS will include public domain information and confidential data, which requires restricted access and a greater level of system security. Any information that relates to the identity of specific applicant health or mental health is strictly confidential and requires written consent to release.

Other legal and public policy mandates that may have implications for a replacement OMS include:

- Health Insurance Portability and Accountability Act (HIPAA)
- Public Records Act
- Information Practices Act
- Security and Privacy
- Freedom of Information Act
- Federal Criminal Code
- Welfare and Institutions Code
- Arizona State Laws
- Arizona Strategic Plan (ASET)
- ADC Policies and Procedures

II.C Proposed Changes and Objectives, "To Be"

The Adult Information Management System (AIMS) provides "critical" information and business services to the Department. Its core business functions: Inmate Identification, Movement, Location, Count, Sentencing, Disciplinary actions, Trust Accounting, and Time computation, form the mainstay of the Department's operations. Without access and availability to AIMS, the activities of various offices within the Department would stop. AIMS is essential to the daily operations of the Department.

However due to its 30 year age, complexity, and outdated technology (programming language, database, reporting), AIMS is unable to reasonably meet the growing data demands placed upon it, or take advantage of the newer technologies being deployed by

other organizations. In its present state, AIMS faces failure on two fronts, the data front and the technology front as its technologies are dated and "old", and in every respect unsustainable. It is paramount that ADC replaces AIMS for both the accurate, day-to-day

management of Inmates and the long-term effective utilization of ADC's limited resources.

As part of a prior Pre-PIJ, the Department has contracted with an independent consultant to assist in the development of an RFP to replace AIMS. Subsequent to review, technical correction, approval and funding, the Department intends to release it to the vendor community. In the RFP, the Department is seeking to replace AIMS with current, contemporary technology. Key items to be addressed in the RFP include Vendor Staffing, Hosting, Work Planning, Testing, Training, and Data Conversion, to name just a few.

The objective of the RFP will be the acquisition and development of an Offender Management System that provides data and information that is highly useful and definitive in the practice and management of both institutional and community corrections. The AIMS Replacement project will produce a comprehensive database and data structure to serve the expanding needs of the Arizona Department of Corrections, and its customers. The "New" OMS will provide a wider and deeper view of corrections data, facilitate user navigation work, and be flexible in its ability to provide for data integration and system access. The ADC user community will be better served by applications that provide ease of navigation, and an efficient, uncomplicated work environment.

Specific areas of focus for addressing current requirements include the inmate time calculation subsystem and system security:

> The inmate time calculation subsystem needs to be identified, cataloged, and made available through appropriate access methods such as a "validated" data warehouse. This will enable those dependent on the system to effectively retrieve information essential to their business processes.
>
> With use of a newer web-based system, single sign-on capability would allow user rights to be established based on their directory and assigned security settings, allowing access via Windows servers and thin client technology.

III. Project Approach

III.A Proposed Technology

ASET has published vision and architecture guidelines that describe a comprehensive framework for information technology and business supporting the Arizona State government strategic plan at http://aset.azdoa.gov . ADC fully supports and participates in this effort through the design, development and integration of AIMS supporting components that are compliant with EA technology. ADC's Enterprise Architecture (EA) facilitates the application of information technology (IT) to business initiatives and objectives, and aids subsequent change in an orderly, efficient manner by describing a

direction for current and future activities. These are supported by underlying principles, standards, and best practices. ADC's EA comprehensively supports and enhances ASET's EA and improves the ability to deliver responsive, cost-effective government

functions and services through interfaces to external systems. ADC will further employ industry-standard web service technologies such as XML wherever possible to support the exchange of data as well. Effective utilization of technology to achieve business functions and services, increasing citizen access to those services, sharing information and resources at all levels of government, and maximizing investment in IT resources are major motivating factors for the development and implementation of EA.

As part of the RFP process, the processing and database characteristics of the current system will be evaluated in conjunction with current user requirements. This will establish a foundation for identifying and implementing new software solutions to meet those requirements that support ADC's EA. New system architecture will minimize the risks of catastrophic failure while providing day-to-day operational and customer service efficiencies.

The new OMS is expected to be web-based, single sign-on capable, operated upon a hosted platform, and able to support the considerable software development and testing that is expected to be required. The OMS hardware infrastructure needs to be flexible and fluid, allowing operations to execute in a "traditional" production environment, with development, test, and training facilities apart from the production environment.

Systems will be considered that allow for modern data exchange to enable long-term interoperability. For example, health based electronic protocols for data exchange between Electronic Medical Records (EHR) systems. Other Interfaces to ACI, DHS, DES, and Future Fed-HIE require mention.

III.B Other Alternatives Considered

Alternative 1: The Do Nothing alternative in this case ignores the risk inherent in operating AIMS. As technology ages, there is a possibility that it may not be recoverable, or has a prohibitively high repair cost. The AIMS system was originally implemented in March of 1985. Shortages of system capability, as well as staff support to maintain the system in operating condition, should be anticipated and addressed.

III.C Major Deliverables and Outcomes

The new system will provide improved capture and processing of inmate-related data into a modern data storage mechanism that will facilitate timely, accurate, and readily accessible information for operational, legislative, and civic purposes. The project will involve existing state personnel to plan and assist the design of the system, and to support it after implementation. Vendor personnel will install and configure a system to meet ADC's requirements in a timely fashion. The specifics of the deliverables will be developed once the vendor has been selected and the analysis is complete.

1. Send out Request for Request for Proposal (RFP)

2. Evaluate Responses and Questions, Score, if required per evaluation
3. Formulate Response to Questions, Respond
4. Select Vendor
5. Approve Contract deliverables; Agency project plan, requirements, budget and

5. Approve Contract deliverables: Agency project plan, requirements, budget and schedule
6. Approve Contractor Design and Development
7. Project Kickoff
8. Project Monitoring and Control
9. Data Conversion
10. Project Testing
11. Project Implementation/Roll-out
12. Project Review and Archiving
13. Project Closure

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://aset.azdoa.gov/security/policies-standards-and-procedures as applicable for this project?

If **NO** please describe ***NEW*** or ***EXCEPTIONS*** 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:

Please identify Project Roles & Responsibilities:

ADC Information Technology (I.T.) and Offender Operations Division staff will partner with Vendor staff to define the business requirements and rules of system operation.

1. I.T. Chief Information Officer (CIO) and Project Manager (PM) will be responsible for overall project management of Vendor to install the new system as well as the design and ongoing support of the data storage approach needed to support it.
2. State, ADC and Vendor staff experienced in large-scale systems projects will be assigned to the project in various roles as needed to meet project objectives and deadlines.
3. Knowledgeable State, ADC and Vendor staff members will supplement in-house members assigned to the project for design, development, and implementation activities.
4. Formal change management procedures will be followed to control design changes and to reduce scope creep.

Vendor will have responsibility to provide experienced and knowledgeable staff to perform the necessary roles in support of the project with a Manager of decision making authority and Project Manager along with appropriate staff in contact with ADC CIO, PM and teams during project.

Stephen Welsh, The Department's CIO will have the overall responsibility for the design and implementation of this project and will supervise staff and consultants for the project. The CIO is familiar with the technical design and operations of the Department's current IT infrastructure, including the current end user access model and systems. He has 15 years experience in managing and designing multi-server, multi-application networks. He also has significant experience in the design and operations of centralized storage, backup and recovery, network architecture design as well as user access control and network security.

Laura Boden, ITS4, Project Manager will perform overall project management, scheduling and performance monitoring and controlling of the project team to ensure all

resources are utilized and the project is successfully completed, on time, in accordance with state requirements and with the highest level of quality and customer satisfaction. She has over 10 years of experience in planning for the expansion, enhancement and replacement of telecommunications and network infrastructure and communications systems; applicable information systems, applications or specialized software products

systems, applicable information systems, applications or specialized software products for PC, mainframe and network for the purpose of installation, deployments and support of the business needs of the organization.

Curt Czarsty, ITS4, Infrastructure Manager and Mike Roa, ITS3, Network Specialist II will perform as leads on work associated with installation, configuration and virtualization of servers and developing and managing the virtualized client applications for this project. They are the administrators of the Department's network/server and security Cisco and Microsoft directory services, user work space and applications provisioning functions, and administer the Department's network storage system and data backup system. They are thoroughly familiar with configurations and requirements for expanded capabilities. They have 20 years of experience in information technology, computer systems operations and in systems and network administration.

Andrew Dean, ITS5, Applications Manager and Jim Tarantino, ITS, Program Specialist will perform as leads on work with AIMS mainframe. They currently program the Department's AIMS services, applications, provisioning and functions. Combined, they have a considerable number of years of experience in information technology and mainframe, COBOL and CICS programming including experience in IMS and DB2 databases.

Chuck Manning and Diana Harrison, Offender Operations Division's Administration will perform as leads on work associated with Offender Operations, AIMS, functions, programs, policies and procedures, users and teams throughout project. They have a combined 61 years correctional experience and 24 years working directly with IT user related issues and project development, management and implementation.

Name	**Agency**	**Responsibility**
Vendor	Vendor	Contract Manager
Vendor	Vendor	PM
Stephen Welsh	ADC IT	Contract Manager
Laura Boden	ADC IT	PM
Curt Czarsty	ADC IT	Infrastructure Manager
Andrew Dean	ADC IT	Applications Manager
Jim Tarantino	ADC IT	Mainframe
Mike Roa	ADC IT	Infrastructure Support
Chuck Manning	ADC Offender Operations	Operations
Diana Harrison	ADC Offender Operations	Operations

Joyce Raschiatore	ASET	Project Oversight

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

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

Description	Score
Agency Performance: The extent to which duties and processes will improve or positively affect business functions. Consider reduced redundancy and improved consistency for the agency.	5
Productivity Increase: The improvements in quantity or timeliness of services or deliverables. Consider improved turnaround time or expanded capacity of key processes.	3
Operational Efficiency: 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.	3
Accomplishment Probability: The extent to which this project is expected to have a high level of success in completing all requirements for the division or agency.	3
Functional Integration: 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
Technology Sensitive: 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
Total	21

Additional Information *(provide details on Benefits that score > 3)*

Describe additional details on benefits > 3 score. Also provide details on any savings that may be applicable.

Agency Performance and Functional Integration: Minimize or eliminate erroneous Community Supervision releases, scheduling of offender programs, services and activities that are cumbersome and inefficient. Ensure safety of offender, staff and public. Inmate mug shots and offender data accessible and stored in one system. Minimize or eliminate reliance on printed forms and access offender records rapidly and from multiple areas increases Officer efficiency and decreases risk to all.

VI.B Value to the Public

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

Description	Score
Client Satisfaction: Rate how stakeholders may respond to anticipated improvements. This could apply to health and welfare services, quality of life or life safety functions.	3
Customer Service: 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.	4
Life Safety Functions: Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions.	4
Public Service Functions: Applies to licensing, maintenance, payments, and tax. Consider how this project will enhance services in these functions.	3
Legal Requirements: 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.	5
Total	19

Additional Information *(provide details on Value to the Public scores > 3)*

Describe additional details on scores > 3.

Customer Service: The new system will provide faster, easier, more timely and accurate access to inmate information which will facilitate processing of inmate-related actions and responding to external requests for reports and statistical data.
Life Safety Functions and Legal Requirements: AIMS is the repository of all inmate management information utilized within ADC in achieving its mission. The replacement system will streamline processes and improve timeliness, accuracy and accessibility of data essential to public protection and safety and the welfare of inmates, such as A.R.S. 31-221, Article 2 supporting that ADC will maintain master records on each inmate committed to the department, and A.R.S. 31, Article 4 supporting Inmate Healthcare authorizes for the proper care of inmates and mental healthcare.

VII. Project Timeline

VII.A Project Schedule

Provide <u>estimated</u> 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.

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.B Detailed Project Financials {Required for PIJ Approval}

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.*

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)

VIII.D Special Terms and Conditions (if required)

Special Terms and Conditions (if required)
RFP for Offender Management System – AIMS Replacement will be required.

VIII.E Full Time Employee Project (FTE) Hours

Provide <u>estimated</u> 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:	16,640
Total Full Time Employee Cost:	$

IX. Project Classification and Risk Assessment

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)
AIMS Replacement RFP, pages 48 and 49, in the Project Initiation and Management section of the AIMS Replacement RFP specifies a Risk Management Plan to be produced as part of the Software Project Management Plan (SPMP). The SPMP will serve as the controlling document for managing the project associated with the RFP, and will define the technical and management processes that apply to the project. A Risk Management Plan is specified in the management approach of the Software Project Management Plan. Proper software development and planning tools, acceptance testing techniques, will be utilized to mitigate risk.

X. Project Approvals

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

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
Economic Benefits	VI. Benefits to the State	21
Value Rating	VI. Value to the Public	19
Total Development Cost	VIII. Project Financials	$24,000,000.
Total Project Cost	VIII. Project Financials	$24,000,000.
FTE Hours	VIII. Project Financials	16,640
Project Risk Factors	IX. Risk Summary	30

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.

X.C Project Approvals

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: Offender Management System (OMS) - AIMS Replacement

Responsibility	*Printed Name*	*Approval Signature*	*Date*
Project Manager:	Laura Boden		
Agency CIO:	Stephen Welsh		
Project Sponsor:	Michael Kearns, Administrative Division Director		
Agency Director:	Charles L. Ryan, Director		

Appendix

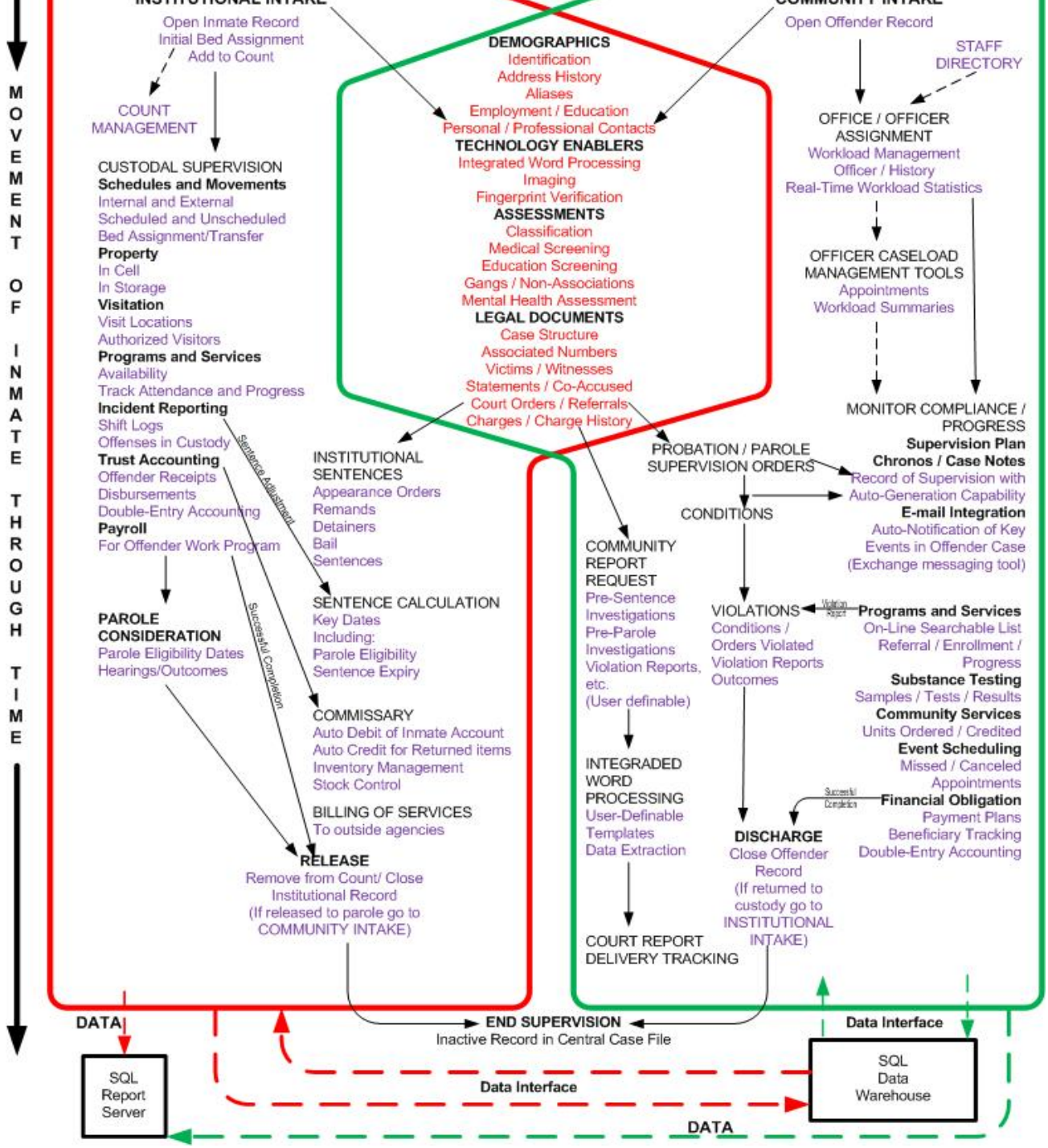
A. Itemized List with Costs

AIMS Replacement RFP FY 2014-FY 2016:
Category: Prof and Outside Services:
License - One - Time 8,000,000.00

Customization	4,000,000.00
Interfaces	3,000,000.00
System Integration	4,000,000.00
Conversion	1,500,000.00
Training	1,500,000.00
Subtotal Professional & Outside Services	22,000,000.00
Category: Capitol/Non-Capital Equipment	
Hardware	$1,500,000.00
Software	$500,000.00
Subtotal Capital/Non-Capital Equipment	$2,000,000.00
Grand TOTAL	24,000,000.00

B. Connectivity Diagram

ADC's current network connectivity and topography supports new system. Inmate record/system processes:



C. Project Schedule - Gantt Chart or Project Management Timeline

Attached Gantt Chart

Glossary

Document Information

Title:	Project Investment Justification – PIJ Version January 2013
Originator:	Arizona Department of Administration – AZ Strategic Enterprise Technology Office
Date:	January 2013
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	Web Design (NOI Contact): http://aset.azdoa.gov/webtools