ADOA-ASET
Arizona Strategic Enterprise Technology

Project Investment Justification
(PIJ)

Including Instructions

A Statewide Standard
Document for Information Technology Projects

Project Title: ***AELAS School Finance - Payments***

Agency Name: ***Arizona Department of Education***
Date: ***07/09/2013***
Prepared By: ***Ranjith Menon***

Revised PIJ Version – January 2013

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GLOSSARY 25

PROJECT INVESTMENT JUSTIFICATION (PIJ) TEMPLATE DECISION MATRIX

Determine the project type and estimated cost of the project, and complete the appropriate template/information. The instructions can be deleted within this document once the PIJ has been populated.

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**		●		

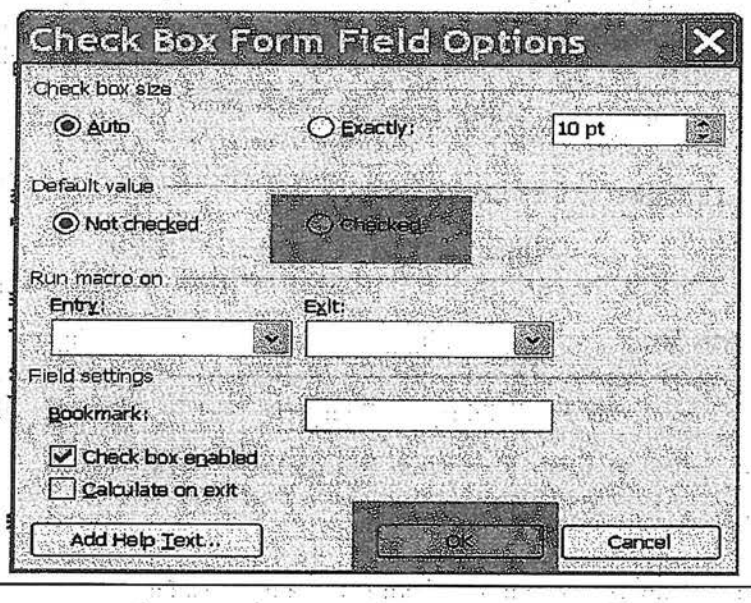
VIII.B	**Detailed Project Financials.**	●		●	
VIII.C	**Funding Source**	●	●	●	
VIII.D	**Special Terms and Conditions (if required)**	●	●	●	
VIII.E	**Full Time Employee (FTE) Hours**	●		●	
IX.	**Project Classification & Risk Assessment**				
IX.A	**Project Classification & Risk Assessment Matrix**	●		●	
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)**	●		●	

** Pre PIJ* is optional for agencies seeking approval from external entities to contract for outside labor or resources to assess scope, technology and approach. After the assessment is completed, full project details will be added to the PIJ for final PIJ Approval.

NOTE: Pre PIJ Assessments are not required for all projects but up to the discretion of the Agency.

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 {A}

Fill out agency information requested below.

I.A General Information {A}

Agency CIO:	Mark Masterson	**Contact Phone:**	602-542-3542
Agency Contact Name:	Ranjith Menon	**Contact Phone:**	602-638-7108
Agency Contact Email:	Ranjith.Menon@azed.gov	**Prepared Date:**	July 9th, 2013
		Updated Date	***May 14th 2014***

I.B Special Funding Considerations {A}

Select YES if this project requires approval for an Agency to issue an RFP or to contract for outside labor or resources to evaluate the scope of a project, in order to assess true costs associated with the proposed technology and approach. After the assessment is completed, full project details will be added to the PIJ for final PIJ Approval. ***IMPORTANT: If filling out this template for Pre PIJ Assessment Approval, each section marked with an {A} is to be filled out with preliminary information – detailed information will be updated after assessment and for the final approval.***

☐ **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 {A}

I. Problem Description

The primary responsibility of ADE with respect to the scope covered under the School Finance Payments (CSF Payment stream) is to gather data and perform calculations for the purposes of appropriating funding to Counties, Districts, Charters, and Students. The guidelines for these activities are prescribed by state and federal laws.

CSF - Classroom Site Fund Payment Calculation and Requisition

a. The Classroom Site Fund (CSF) Calculation and Payment Requisition process is a system of integrated procedures and technical components (documented individually below) used to distribute CSF revenue to qualifying entities.
b. Distribution is mandated by **A.R.S. § 15-977** which references calculations defined in **A.R.S. § 15-943.01**

IIF - Instructional Improvement Fund (IIF)

a. ***The Instructional Improvement Fund (IIF) payment is made biannually (This is an ADE policy and there is no corresponding statutory schedule) to districts and charters in order to distribute revenues gained through Indian gaming in order to improve the instructional environment in schools and assist in the prevention of dropouts.***

b. ***Distribution is mandated by A.R.S. § 15-979. The Arizona Department of Education (ADE) shall administer the instructional improvement fund based on monies deposited pursuant to ARS 5-601.02(H)(3)(a)(i) and 5-601.02(H)(3)(b)(i) plus interest earned on this money***

APOR – State & Assistance to Schools Districts and Accommodation Schools A.R.S. § 15-971

a. ***The state board of education shall apportion state aid from appropriations made for such purpose to the several counties on the basis of state aid entitlement for the school districts in each county***

b. ***Distribution is mandated by A.R.S. § 15-971.***

CHAR – Charter School Financing

a. ***A Charter School is a public school established by contract with a district Governing Board, the State Board of Education or the State Board for Charter Schools to provide learning that will improve pupil achievement.***

b. ***Distribution is mandated by A.R.S. § 15-185***

Corrections to APOR and CHAR

a. ***If the superintendent of public instruction determines that the calculation of state aid for a school district or charter school or the calculation of the school district's or charter school's budget limits within the previous three years did not conform with statutory requirements, the superintendent shall require correction of the errors***

b. ***Corrections are mandated by A.R.S. § 15—915***

The correctness of the data and calculations within the SAIS Payments system(s) is questionable at best. The system is composed of duplicated and unorganized logic. Data integrity is questionable at best. The IT department is in a pure reactive mode applying Band-Aids to a hemorrhaging system. Improvements are being made, but the technology and architecture (or lack thereof) over a period of multiple years has led to a system that is unable to be validated and difficult to understand. The level of testing able to be accomplished on the system is insufficient to ensure it is working properly. These systems are housed on technology platforms that are outdated and difficult to support.

The large degree of manual effort necessary to complete daily work by the business users introduces probabilities for incorrect results. Manual analysis, calculations and data transformation is prevalent. Although processes are currently being improved, quality assurance sometimes is at a level of checking for deviations from the norm. An extreme amount of time and effort is spent to ensure valid results are obtained.

II. Solution

Target manual processes for automation to reduce time-consuming manual effort. Analyze core business needs and identify all processes which must be implemented. Create a framework for the data flow for School Finance Payments and automate the process such that all data is obtained from a single source. Incorporate a business rules component and design the application and database.
Additionally during design; create an application solution incorporating architectural governance and standards; taking advantage of newer and robust technologies.

III. Quantified Justification

The fragility of the current system results in many operations being inter-dependent and unable to execute concurrently. Currency is currently managed by restricting system usage such that only the possessor of a plastic *'scepter'* may run any of a number of processes. System design and implementation is also inefficient incurring a great burden on the infrastructure. The large amount of manual processes in place today means that, hours are spent performing tasks that would otherwise require seconds. Some operations are performed multiple times by multiple people to help reduce errors.
Automating the entire process will greatly reduce the manual processes for payments and School Finance can eventually pay LEA's in the same month they get the data as opposed to a month or few months behind as we currently do. The cost and time savings from the proposed automation has the potential to reduce process times from weeks or months to within days or near real-time.

II.B Existing Situation and Problem, "As Is" {A}

Current School Finance's process for processing payments is highly convoluted and manually intensive.

- Requires users to use multiple tools to complete the payment processes.
    - Outdated Intranet sites to get ADM numbers
    - Desktop applications that were written in VB6 and are unsupported technologies. These applications can only run in Windows XP machines adding to the risk. Windows XP is not supported by Microsoft as of April 2014.
    - All data analysis are performed in Excel by Data Analysts and then sent to further review to a Manager for sign off.
    - No established workflow within the process to facilitate data review, commenting and approval – requiring significant work (as much as 90% of review functions) outside of the system(s)
    - All data is then imported in to an Access database that is hosted on a shared network drive.
- Convolution by multiple sub processes and components

#	Payment Type	Utility Name

1	CSF Payment	http://Intranet/payments/psEntGrpAdmin.asp
2	CSF Payment	http://intranet/payments/pay_sys.asp
3	CSF Payment	VInsASDBNovember.xlsx - Excel Sheet
4	CSF Payment	http://intranet/payments/psRevAlloc.asp
5	CSF Payment	CSF Desktop Application
6	CSF Payment	xmltocsv.exe
7	CSF Payment	I:\SF\PaymentApplicationSF_csf_calcs\xml
8	CSF Payment	CSFDatabase.mdb
9	CSF Payment	http://www.ade.az.gov/Districts/Default.asp?EntityOwnerID=xxxx
10	CSF Payment	CSFDistrictPay_Pmt#.xls - Excel Sheet
11	CSF Payment	csf_2011_05.xls - Excel Sheet
12	CSF Payment	I:\SF\ADMINISTRATION\NumberedMemos
13	CSF Payment	I:\SF\Tools\PostReportsToWeb
14	***IIF Payment***	***I:\SF\CSF Payment\FY****\qryCSFPmt#.xls***
15	***IIF Payment***	***database IIF FYXXX.mdb om I Drive***
16	***IIF Payment***	***IIFDistrictPay_#.xls***
17	***IIF Payment***	***Pmt1Report.xls***
18	***IIF Payment***	***frmBasIIF.exe***
19	***IIF Payment***	***I:\SF\Tools\PostReportsToWeb***
20	***IIF Payment***	***Req_IIF_CharPymt_#.xls***
21	***IIF Payment***	***I:\SF\ADMINISTRATION\NumberedMemos***
22	***APOR Payment / 915***	***database scripts***
23	***APOR Payment / 915***	***SAIS Management Console***
24	***APOR Payment / 915***	***ORM - http://intranet/orm/ORM.asp?SystemID=1&CategoryID=1***
25	***APOR Payment / 915***	***DISTRICT PAYMENT -APOR Tables - Access database***
26	***APOR Payment / 915***	***APOR55toAPOR64Analysis.xls - Excel Sheet***
27	***APOR Payment / 915***	***I:\SF\ADMINISTRATION\NumberedMemos***
28	***APOR Payment / 915***	***I:\SF\Tools\PostReportsToWeb***
29	***APOR Payment / 915***	***SAIS Management Console SPED***
30	***APOR Payment / 915***	***http://intranet/orm/ORM.asp?SystemID=1&CategoryID=1***
31	***APOR Payment / 915***	***I:\SF\FISCAL OPERATIONS\Payments\Assessed Value***
32	***APOR Payment / 915***	***SaAportPmtSec - database table edited in Excel***
33	***APOR Payment / 915***	***I:\SF\SWILLIS\Small Schools Program.***
34	***CHAR Payments / 915***	***FY__ Payment Adjustment.xls***

35	***CHAR Payments / 915***	***Req_Aid_FY__Month_CharPmt.xls***
36	***CHAR Payments / 915***	***SAIS Management Console***
37	***CHAR Payments / 915***	***month correspondence from the Charter Board - Prints outs***
38	***CHAR Payments / 915***	***SAIS Object Run Manager (ORM) intranet/orm/orm.asp,***
39	***CHAR Payments / 915***	***CHARDatabase_New***
40	***CHAR Payments / 915***	***SF\Tools\PostReportstoWeb\PostReportstoWeb***

- Asset/Output file naming conventions are not consistent with other corollary processes
- Manual data validation
- Manual data transfer
- Requires frequent context switching for staff
- Relies on human data sources in some cases
- Review and corrections of data is nearly impossible and requires users to restart the entire process.
- The implementation today provides little in the form of traceability. It is possible to review historical amounts and values for some of the data, but not necessarily how results were obtained, what inputs led to the results, what changes were made during the process, or who made the changes. Furthermore, none of the information is readily available in a digestible manner to anyone other than an expert with a significant amount of time.
- Traceability of the manual process is limited to loosely organized backups of files.

II.C Proposed Changes and Objectives, "To Be" {A}

School Finance is proposing to develop and implement a set of integrated components designed to provide School Finance a data flow between SAIS Data Push and School Finance payment streams. This will include evaluating the existing processes, tools and systems; designing and developing the future solution where the evaluation and verification of ADM data will be done within the system with an automated workflow process and payment calculation and allocation will be automatically calculated by the system based on the business rules and formulas as defined by statutes and School Finance policies; and all data will be stored in a centralized data repository to support structured and ad-hoc reporting needs.

The proposed system/s will be developed on existing Data Push Platform and will reduce the time required to process payments from 2 – 4 weeks to few hours; it also eliminates the need to use 40 different tools or processes to process payments, all processes will be using the new workflow based application. This allows for auditing and traceability and eliminates the need for data to be stored in excel spreadsheet and fragmented MS Access databases; Data will be stored in a central database that hosts all payment data and enables reporting, including Ad-hoc reporting. Proposed system also allows for increased data verification as manual processes are eliminated and users have more time to inspect and verify data. It

provides increased accountability and monitoring ability through capturing of more detailed data on programmatic and fiscal performance. It also provides better internal controls on user access through a configurable access and user profile management module, decreasing the need for manual reconciliation using excel spreadsheets.

The proposed system also provides a more configurable reporting module for payment activity, reducing manual tracking currently in place and increasing ability to retrieve and share information which is currently not possible. It also increases speed in processing payments through interface with ADE accounting software and eliminating need to request special payments outside of the system.

II.D Proposed Technology Approach {Required for Pre-PIJ Assessment Only}

NA

III. Project Approach

III.A Proposed Technology {Required for PIJ Approval}

The application will be developed upon the existing Data Push platform and will be able to initiate payment processes, verify payments, make adjustments, and generate payment requisitions and other supporting activities. The School Finance payment processes shall be workflow enabled and the business rules shall be configurable.

Software Stack:
.Net 4.5
ASP .Net MVC4 for User Interface
MS SQL Server 2008 R2 for database
MS SQL Server 2008 R2 Reporting Services for reports

Hardware Stack:
2 Medium size web servers
2 Medium size application servers
The servers are virtual machines that can be configured to increase its capacity as the demand increases

III.B Other Alternatives Considered

Do Nothing

ADE does not consider this to be a viable alternative, since not addressing the system deficiencies would eventually result in ADE being unable to meet its statutory responsibilities to pay schools.

Commercial Off-the-Shelf (COTS) ERP Applications

ERP Financial applications were considered however the current state of SAIS prevents adoption of a Financial ERP. ERP are extremely expensive to implement and would need to be heavily customized to

meet ADE's needs. With SAIS re-write pending; any implementation would have re-done and the cost involved in doing it twice makes it particularly prohibitive when we factor in the licensing and resource costs for such implementation.

III.C Major Deliverables and Outcomes

FY – 2014

Milestones

- Discovery of Existing CSF manual processes and systems
- Design of Solution Architecture and reporting solutions
- Business requirements sign off
- Test Plan
- Development of work flow and business rules
- User acceptance test
- Deploy CSF application to production

FY – 2015

Milestones

- ***Discovery of existing IIF and Aggregation manual processes and systems***
- ***Design of Solution Architecture and reporting solutions***
- ***Business requirements sign off***
- ***Test Plan***
- ***Development of work flow and business rules***
- ***User acceptance test***
- ***Deploy IIF and Aggregation application to production***
- ***Discovery of existing APOR and CHAR manual processes and systems***

FY – 2016

Milestones

- ***Design of APOR and CHAR Solution Architecture and reporting solutions***
- ***Business requirements sign off***
- ***Test Plan***
- ***Development of work flow and business rules***
- ***User acceptance test***
- ***Deploy APOR and CHAR application to production***

Outcome of this project is a fully functional automated workflow based payment processing system which will lead to the decommissioning of the existing desktop systems, excel spreadsheets and access databases. Although the decommission of the existing system is not included in the project, the successful implementation of this new payments system will provide School Finance/ADE leadership the information needed to develop a decommission plan and execute the decommission in a manner that does not disrupt service.

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:

Project Sponsor – The project sponsor will represent ADE's business needs for the project. The Sponsor serves as providing the agency commitment to the project, and signs off on any changes or acceptance criteria for agreed-upon deliverables. The project sponsor also provides guidance to the Project Manager and implementation team regarding general policy or outcomes.

Project Manager – The project manager serves as the lead for the project and ensures fulfillment of tasks and outcomes for the project. This manager is also the point person for interactions with the vendor and any other contractors brought on to implement the project. The project manager is expected to:

- Plans and conducts meetings with Project sponsor
- Develops overall Project Plan
- Manages individual tasks and the resources assigned to accomplish tasks
- Directs issue management process
- Completes status reports for ADE audiences
- Manages any changes in scope
- Conducts weekly project meetings
- Signs off on deliverables or change orders along with the Project Sponsor

Solutions Architect – The solutions architect is a vital member of the project team and will assist the project team in developing the solution in accordance with ADE standards and guidelines. The solutions architect will assist the project team in resolving issues surrounding the integration with various systems as they arise during implementation.

Business Analyst – The business analyst serves as the lead for translating business requirements into a format understandable for the technical team. The ADE business analyst for this project will see most of his/her work during the requirements gathering and preparation phase of the project. The analyst will then remain part of the team and will handle ongoing issues and requirement changes as they arise.

Technical Lead – The technical lead serves an important role in supporting the project manager by directing technical development, including coding and roll-out of the software but also testing and migration processes. The Technical lead is also responsible for resolving technical issues throughout implementation and ensuring the solution meets technical specifications identified by ADE.

Lead Developer

Responsible for reviewing the technical detail designs with the Architect/Developer and providing technical guidance, defect resolution as needed, and providing regular updates to the Project Manager.

Developer

Responsible for development and unit testing the requirements/use cases and detail designs, with defect resolution as needed.

Data Analyst

The data analyst role for this project is critical for documenting and explaining the relationships between various data elements within CSF system and other integrated systems. The Data Analyst will also develop the new database design and data warehousing schemas. The data analyst will also support the technical lead and project manager during the testing and migration phase of the project to ensure that business data is being handled properly and is able to be used as required by ADE.

Quality Analyst

Responsible for Creating and maintaining a Master Test Plan, Ensuring availability of resources , Estimating, budgeting, and planning, Executing the master test plan within budget and time constraints, Reporting on progress and quality of end product, ensuring that all conditions have been met.

ADE will be contracting the above listed positions, please see itemized list in Appendix A

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

Describe the economic impact the project may have on your agency, the State or the public. Enter score and add total. Enter total score into Project Values table on Approvals page.

***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.	4
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.	3
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: This application with eliminate manual operations and processing of payments. Do away with 13 tools and manual redundant verification. It will prevent unintentional misallocation of funds.
Operational Efficiency: This application will introduce workflow based processes with business rules and audits in place. Eliminates the needs to track payments in spreadsheets and PDF files. All processes are automated, including data entry and verification.

VI.B Value to the Public

Evaluate the impact the project will have on State customers, clients, and citizens. Enter score and add total. Enter total score into Project Values table on Approvals page.

***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.	3
Life Safety Functions: Applies to public protection, health, environment, and safety. Consider how this project will reduce risk in these functions.	0
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.	2
Total	11

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

Describe additional details on scores > 3.

VII. Project Timeline {A}

VII.A Project Schedule

Provide estimated schedule for the development of this project. These dates are estimates only; more detailed dates will be required at project start up once the project schedule is established.

Project Start Date: **07/01/2013** **Project End Date:** ***06/30/2016***

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.A Pre-Assessment Project Financials {Required for Pre-Assessment PIJ Only}

Project Funding Details for Pre-Assessment Project Investment Justification Only

Assessment Costs are the sum of all costs expended during the initial discovery phase of a project to get to the point of understanding the true project scope, cost and schedule. Development Costs are the sum of all expenditures through implementation of the initiative including Assessment Costs. Operating Costs are the sum of all on going expenditures after implementation.

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

ESTIMATED COSTS						
Category	*FY_2014*	*FY_2015*	*FY___*	*FY___*	*FY___*	*Total*
Assessment Costs						$ -
Development Costs						$ -
Total Development Costs (Including Assessment)	$ -	$ -	$ -	$ -	$ -	$ -
Operational Costs (If estimate is available)						$ -
Total Estimated Project Costs	$ -	$ -	$ -	$ -	$ -	$ -

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.*
NOTE: *FTE costs may be included in section VIII.e below, as required.*

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

DEVELOPMENT COSTS						
Category	FY 2014	**FY 2015**	FY___	FY___	FY___	Total
Professional & Outside Services	$ 780,000	***$ 1,330,000***				$ 2,110,000
Hardware	$ 20,000	***$ 135,000***				$ 155,000
Software		***$ 35,000***				$ 35,000
Communications						$ -
Facilities						$ -
License & Maintenance Fees						$ -
Other						$ -
Total Development Costs	$ 800,000	***$ 1,500,000***	$ -	$ -	$ -	$ 2,300,000

Enter Total Development Cost (above) in Project Values table on Approvals page.

OPERATIONAL COSTS						
Category	FY 2014	FY 2015	FY___	FY___	FY___	Total
Professional & Outside Services						$ -
Hardware						$ -
Software						$ -
Communications						$ -
Facilities						$ -
License & Maintenance Fees						$ -
Other						$ -
Total Operational Costs	$ -	$ -	$ -	$ -	$ -	$ -

Enter Total Project Cost (below) in Project Values table on Approvals page.

	FY 2014	**FY 2015**	FY___	FY___	FY___	Total*
TOTAL PROJECT COSTS * Includes development and operational costs	$ 800,000	***$ 1,500,000***	$ -	$ -	$ -	$ 2,300,000

VIII.C Funding Source {A}

Identify all funding sources including General Fund, federal grants, and any appropriated or non-appropriated funds that may apply to this project within each of the Funding Source Categories, i.e. State Highway Fund, Watercraft Licensing Fund. Add total project dollars by development and operational budget to the columns for "Currently Available" and "New Request" by Funding Source category. If you have requested new additional appropriations or spending authority, use the "New Request" column.

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

Funding Source Category	Name of Funding Source	Currently Available ($)		New Request ($)		Total ($)
		Development Budget	Operational Budget	Development Budget	Operational Budget	
General Fund						$ -
Federal ARRA Fund						$ -
Other Appropriated Funds FY 14	*Automation Projects Fund (AELAS ARS 15-249)*	*$ 800,000*				$ 800,000
Other Appropriated Funds FY 15	*Automation Projects Fund (AELAS ARS 15-249)*	*$ 1,500,000*				$ 1,500,000
Other Non Appropriated Funds						$ -
TOTAL PROJECT COSTS (Should = development and operational totals above)		*$ 2,300,000*	$ -	$ -	$ -	$ 2,300,000

VIII.D Special Terms and Conditions (if required) {A}

Special Terms and Conditions (if 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 **0**

Total Full Time Employee Cost **$**

IX. Project Classification and Risk Assessment

Provide a risk score for each of the risk factors and total. If Not Applicable, the score for a particular risk factor would be 0. Assessing the level of risk at the beginning of a project will help in proactively managing and mitigating risks turning into issues and impacting project success. Add detailed explanation as needed.

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)

PIJ Project Classification & Risk Evaluation					
Risk Factor	Low (0)	Medium (1)	High (2)	Very High (3)	Score
Project Management Complexity					
Project Team Size (# of people)	1-5	6-10	11-15	> 15	1
Project Manager (PM) Experience	Deep experience in this type of project	Some experience in this type of project and able to leverage subject matter experts	Some experience in this type of project and has limited support from subject matter experts	New to this type of project	0
Team Member Availability	Dedicated staff for project activities only as assigned	Staff is in place, few interrupts for non project tasks are expected and have been accounted for	Available, some turnover expected, some interrupts for non project issues likely	Dedicated team not available; staff will be assigned based on capacity	0
# of Agencies involved in Development activity	1	2	3	> 3	0
Vendor (if used)	No Vendor required	Vendor has been used previously with success	Vendor has been used previously with some management support required	New Vendor and/or multiple vendors	1
Project Schedule	Schedule is flexible	Schedule can handle minor variations, but deadlines are somewhat firm	Scope or budget can handle minor variations, but deadlines are firm	Scope, Budget and Deadlines are fixed and cannot be changed	0
Project Scope	Scope is defined and approved	Scope is defined and pending approval	Scope being defined	High level definition only at this point	1
Budget Constraints	Funds allocated	Funds pending approval	Allocation of funds in doubt or subject to change without notice	No funding allocated	1
Project Methodology	Defined methodology	Defined methodology, no templates	High level methodology framework only	No formal methodology	0
IT Solution Complexity					
Product Maturity (if purchased)	Product implemented & working in > 1 state agency or business of similar size	Product implemented & working in 1 agency or business of similar size	Product implemented & working only in an agency or business of smaller size	Product not implemented in any agency or business	3
Solution Dependencies	No dependencies or interrelated projects	Some minor dependencies or interrelated projects but considered low risk	Some major dependencies or interrelated projects but considered medium risk	Major high-risk dependencies or interrelated projects	0
System Interface Profile	No other system interfaces	1-2 required interfaces	3-4 required interfaces	> 4 required interfaces	0
IT Architectural Impact	Follows State IT approved design; principles, practice & standards	New to the State but follows established industry standards	Evolving "industry standard"	No standards, leading edge technology	0
Deployment Impact					
Process Impact	No business process changes	Agency wide process changes	Multi-State Agency process changes	State-wide process changes	0
Scope of End User Impact	Department or Division level only	Multiple Division or Agency wide impacts	Multi-Agency impacts	State-wide impacts	0
Training Impact	No training is required	Minimal training is required	Considerable training is required	Extensive training is required	1
				Total Risk Score	8

X. Project Approvals

X.A CIO Review {A}

Key Management Information	Yes	No
1. Is this project for a mission critical application system?	Y	
2. Is this project referenced in your agency's Strategic IT plan?	Y	
3. Is this project consistent with agency and State policies, standards and procedures?	Y	
4. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	Y	
5. Is this project in compliance with the statewide policy regarding the Accessibility to Equipment and Information Technology for Citizens with Disabilities?	Y	
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
Assessment Cost *{A}*	VIII. Project Financials **{Required for Pre-Assessment PIJ Approval Only}**	$
Economic Benefits	VI. Benefits to the State	21
Value Rating	VI. Value to the Public	11
Total Development Cost	VIII. Project Financials	***$800,000 + $1,500,000***
Total Project Cost	VIII. Project Financials	***$2,300,000***
FTE Hours	VIII. Project Financials	0
Project Risk Factors	IX. Risk Summary	8

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 {A}

Select One ☐ Pre PIJ Assessment Approval Only ☒ PIJ Project Approval

Project Title: ALEAS School Finance Payment Systems

Responsibility	Printed Name	Signature	Email and Phone
Project Manager:	Ranjith Menon		Ranjith.Menon@azed.gov 602-638-7108
Domain Director	Komal Dubey		Komal.Dubey@azed.gov 480-544-1514
Director – Program Support Office	Lisa Blyler		Lisa.Blyler@azed.gov 602-542-3144
Chief Technology Officer	Ed Jung		Ed.Jung@azed.gov 602.542.3545
Agency CIO:	Mark Masterson		Mark.Masterson@azed.gov 602-542-3542
Project Sponsor	Elliot Hibbs	P.P. RBeghe	Elliott.Hibbs@azed.gov 602-364-2347

Appendix

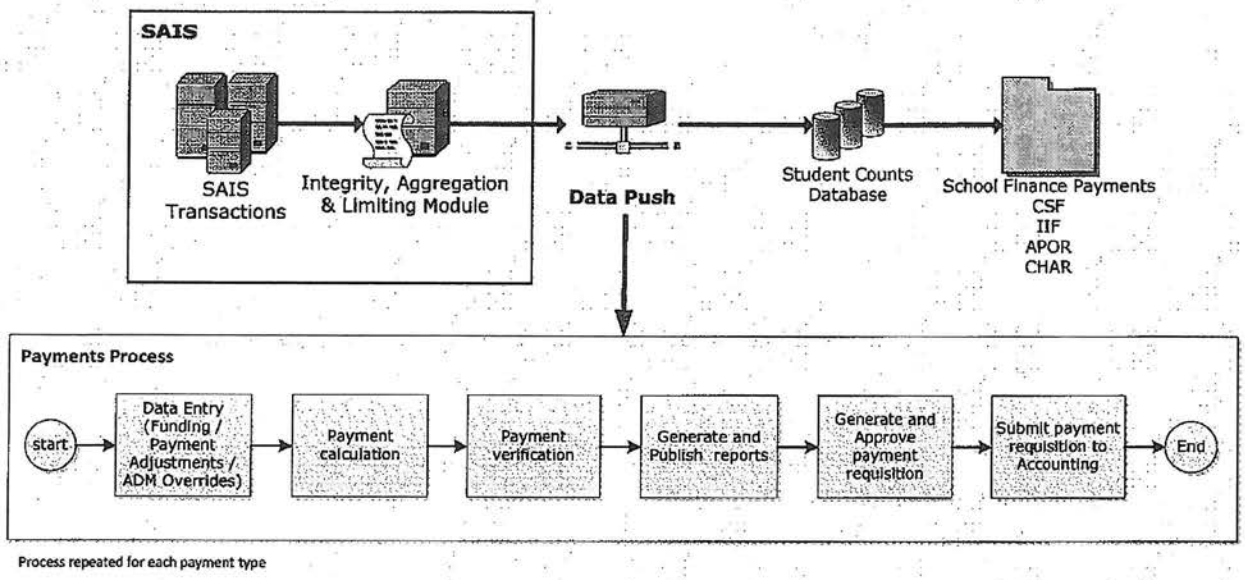
A. Itemized List with Costs

For ALL projects, an Itemized List of expenditures, including unit costs and extensions, is required to substantiate Project Financials. Both Development and Operational costs must be included. An attached spreadsheet and/or vendor quote may be appropriate.

Project Investment Justification Financial

B. Connectivity Diagram

For projects $1 million and above in development cost, attach a high-level schematic drawing, indicating major hardware components. If your project is an expansion of existing facilities, clearly indicate existing and new components. A hand-drafted drawing is acceptable.



Glossary

If special terminology and acronyms are used, consider including a glossary of terms.

Acronym	Definition
ADE	Arizona Department of Education
CSF	Class Room Site Fund
IIF	Instructional Improvement Fund
APOR	Annual Appropriations
CHAR	Charter School Payments
LEA	Local Education Agency
SAIS	Student Accountability Information System
ERP	Enterprise Resource Planning Software
ADM	Average Daily Membership – used in payment calculations for LEA's
ASDB	Arizona School for Deaf and Blind
JTED	Joint Technical Education District

Document Information

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Contacts:	**ASET Oversight Managers:** http://aset.azdoa.gov/content/project-investment-justification **Web Design (NOI Contact):** http://aset.azdoa.gov/webtools