



ADOA-ASET

Project Investment Justification

Version 03.31.15

A Statewide Standard Document for Information Technology Projects

Project Title:

Electronic Death Registration System (EDRS)

Agency Name:	Arizona Department of Health Services
Date:	10/26/15
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I. Project Investment Justification (PIJ) Type*

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

If Yes,

Identify any cost to be incurred during the Assessment phase.	N/A
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$1.5M to 2.5M

Explain:

[Click here to enter text.](#)

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

II. Business Case

A. *Business Problem**

The Arizona Department of Health Services (ADHS) - Bureau of Vital Records (BVR) is responsible for registering, maintaining and issuing certified copies of vital records, including birth, death, fetal death certificates, and certificates of birth resulting in stillbirth for events that occurred in Arizona. The ADHS BVR and the Bureau of Public Health Statistics collaboratively focus on the mission to provide meaningful and timely information on patterns and trends in health status of Arizonans.

The current electronic death registration system, Vital Statistics Information Management System (VSIMS) is a complex web-based death certificate registration and issuance system which allows for timely surveillance of mortality. Annually, the system tracks statistics about major causes of injury and mortality among Arizona residents including detailed information by intent (accidents, suicides, homicides), and mechanism of injury (firearms, falls, drowning, drugs). VSIMS also tracks natural deaths.

In 2008, the ADHS implemented the VSIMS solution via contract with Gold Systems. In 2013, the system began experiencing major failures and performance issues. While significant strides in stabilizing the system have been made, VSIMS continues to fall short of operational expectations for an electronic death registration system. Due to the age of the system and evidence that the system has reached its capacity the ADHS BVR began to explore options to ensure continuity of service in providing an effective statewide system. The ongoing system outages and failures continue to cause hardships not only to the ADHS BVR but to our partners such as: county health department offices of vital records, funeral homes and the county offices of the medical examiner, etc.

In addition to the current functionality, the new system will also need to accept web orders to effectively provide an easier and timelier solution for customers to obtain certified copies of registered records.

As part of this effort, the ADHS Information Technology Services (ITS) also seeks to implement modern technologies and coding best practices in order to ensure a modern web application that will support business operations into the coming years.

B. Proposed Business Solution*

Recognizing the need to provide continuity of service to the ADHS BVR and our stakeholders, the ADHS ITS and BVR have initiated efforts to identify options available for the statewide electronic death registry system. When selecting the best option moving ahead the primary focus and criteria for selection for the ADHS BVR is to select a system that will not only provide stability and continuity of operations to our offices and our partners but to select a path that is most in alignment with the long term business goals and strategies of the ADHS such as enhancing the system to accept web orders.

Based on these criteria, the most viable option for the ADHS BVR is to procure through the Request for Proposal (RFP) process a new Statewide Electronic Death Registry System.

C. Quantified Benefits*

- | | |
|-------------------------------------|---------------------|
| <input checked="" type="checkbox"/> | Service enhancement |
| <input type="checkbox"/> | Increased revenue |
| <input type="checkbox"/> | Cost reduction |
| <input checked="" type="checkbox"/> | Problem avoidance |
| <input checked="" type="checkbox"/> | Risk avoidance |

Explain:

Service Enhancement

By procuring a comprehensive Customer Service Management (CSMS) and EDRS system that will also allow for web orders, we will be enhancing services provided to the public. We also anticipate that the new system will have less downtime and will be more user friendly due to advances in technology.

Problem Avoidance

VSIMS frequently experiences performance issues related to responsiveness and is difficult to maintain. In order to ensure minimal impact to business operations, our database administration team is required to continuously monitor the system and frequently work with Oracle to improve system performance. The ADHS policies and procedures around testing and quality acceptance have matured and checkpoints will be included in the contract to ensure a stable product is delivered.

Risk Avoidance

The instability of the current system has generated significant risks to operations inhibiting the release of enhancements or maintenance fixes. This has a significant impact to the business services provided to Arizona residents when the system is not

operational. The ADHS BVR and their partners are unable to register new records or issue certified copies of vital records to Arizona residents.

The new system will be stable and maintainable, thereby mitigating the risk to the business operations, maintenance releases, and expanding capability and features through system enhancements.

III. Technology Approach

A. ***Proposed Technology Solution****

The ADHS BVR is planning to utilize the RFP process to procure a fully operational EDRS and CSMS web-based system with enhanced web ordering functionality. The new system will be utilized for the administration and security of death and fetal death records including; data entry, registration of records, amendment and correction of records, issuance of certified copies for birth, death and fetal death, history of records, and orders including changes made, date, and individual user making changes. The system will also include data extracts which meet standards from national organizations including the National Center for Health Statistics (NCHS), Social Security Administration (SSA), and National Association of Public Health Statistics and Information Systems (NAPHSIS). The system will allow direct entry by data providers and support security including roles-based access to functionality.

B. ***Existing Technology Environment***

There are several pieces of functionality, described below, which comprise the current EDRS environment:

1) VSIMS

VSIMS is the main application which stores death information, primarily an Oracle mod_plsql (Oracle mod_plsql provides support for building PL/SQL based applications on the web) application containing components which employ Java functionality.

2) Online Verification System (OVS)

Software supplied by the SSA to support verifying Social Security Numbers (SSN) entered in the death record in near real-time. OVS is a Java application that communicates with the VSIMS database and also systems at the SSA.

3) Acordex Remote Attestation

Functionality which sends faxes to and receives faxes from local physicians, criminal investigators and medical examiners.

4) Historic AZ Death Certificate image viewing/printing

There is a collection of images of historic death certificates. Via the VSIMS user interface, these images can be reviewed and printed. While these images currently reside on a database server, requirements do not prescribe their location in the new system except that the directory structure will be retained below parent directory.

C. Selection Process

The BVR will evaluate RFP proposals based on the Offeror’s experience implementing and operating EDRS and CSMS systems in other vital records jurisdictions, method and approach, implementation, and operation costs.

The Offeror will be required to submit resumes for the project manager and other staff. The project manager must have a minimum of three years of experience implementing a system in other vital records jurisdictions. The other staff members will be evaluated based on vital records systems experience.

The Offeror’s response will be evaluated to determine if the method and approach are sound. The Offeror’s method and approach will be evaluated on the following, but not limited to:

- Experience and Expertise
- Method of Approach
- Cost

IV. Project Approach

A. Project Schedule*

Project Start Date: 11/2/2015 Project End Date: 6/30/2016

B. Project Milestones

Major Milestones	Start Date	Finish Date
EDRS RFP Released for Bid	11/02/15	11/23/15
EDRS RFP Responses Evaluated	11/24/15	12/22/15
EDRS RFP Contract Negotiations	12/28/15	01/18/16
Design, Develop and Test	01/19/16	4/29/16
Production Rollout	5/02/16	6/30/16

C. Project Roles and Responsibilities

ADHS Bureau of Vital Records Chief:

- Oversees entire project and contracts
- Monitors project progress
- Oversees and approves project plans
- Provides direction for project
- Maintains fiscal controls
- Ensures all deliverables meet deliverable expectation standards

OVR IT Project Manager:

- Creates project schedules

- Plans, executes, and finalizes the project according to strict deadlines and within budget
- Acquires resources and coordinates efforts of team members and third-party contactors or consultants
- Controls the project's objectives
- Plans, organizes, and integrates project and contractor teams to deliver specific measured results
- Assists in the oversight of contractor deliverables and activities
- Generates Project Status reports
- Provide status reports to Arizona Strategic Enterprise Technology (ASET) and Information Technology Authorization Committee (ITAC)

ASET Office

- Monitors and oversees high-risk technology projects across all State Agencies
- Prepares meeting materials and presents documentation on project justification and status, as well as recommendations, for ITAC
- Monitors project status and delivers reports from the agencies at least quarterly to ITAC
- Prepares documentation and materials for ITAC meetings and provides project justification and recommendations

ITAC

- Consists of public and private business and ITS leaders
- Has jurisdiction to approve or reject any ITS project valued over \$1 million
- Arizona State Chief Information Officer is a member of ITAC

V. Project Approvals

A. Agency CIO/ISO Review and Initials Required*

Key Management Information	Yes	No	Inits
1. Is this project for a mission-critical application system?	X		BSM
2. Is this project referenced in your agency's Strategic IT Plan?	X		BSM
3. Have you reviewed and is this project in compliance with all applicable Statewide policies and standards for network, security, platform, software/application, and/or data/information located at https://aset.az.gov/resources/psp ? If NO , explain in detail in section "VIII. Additional Information" below.	X		BSM
4. Will any PII, PHI, or other Protected Information as defined in the 8110 Statewide Data Classification Policy located at https://aset.az.gov/resources/psp be transmitted, stored, or processed with this project? If YES , the Protected Data section under "VII. Security Controls" below will need to be completed.	X		BSM
5. Will this project migrate, transmit, or store data outside of the agency's in-house environment or the State Data Center? If YES , the Hosted Data section under "VII. Security Controls" below will need to be completed.	X		BSM

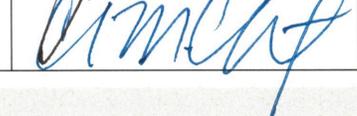
6. Is this project in compliance with the Arizona Revised Statutes and GRRC rules?	X		BSW
7. Is this project in compliance with the Statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	X		BSW

B. Project Values*

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

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	I. PIJ Type - Pre-PIJ Assessment Cost	\$
Total Development Cost	V. PIJ Financials tab	\$1.5M to 2.5M
Total Project Cost	V. PIJ Financials tab	\$1.5M to 2.5M
FTE Hours	See Hover text for FTE Hours	

C. Agency Approvals*

Approver	Printed Name	Signature	Email
Project Manager:	Marcy Fleming		Marcella.fleming@azdhs.gov
Agency CIO/CISO:	Paula Mattingly		Paula.mattingly@azdhs.gov
Agency CFO:	Cindy Smith		Cindy.smith@azdhs.gov
Project Sponsor:	Krystal Colburn		Krystal.colburn@azdhs.gov
Deputy Director	Janet Mullen		Janet.mullen@azdhs.gov
Agency Director:	Cara Christ		Cara.christ@azdhs.gov

VI. Security Controls

Collaboration with the ADOA-ASET Security, Privacy and Risk (SPR) team may be needed to complete this section, which is only required for those projects that involve data that is Protected or Hosted outside of the Agency or State Data Center. Additional information can be found in the NIST FRAMEWORK section under RESOURCES at <https://aset.az.gov/resources/psp> or you may wish to contact ASET-SPR directly at secadm@azdoa.gov for assistance.

A. Protected Data

Click here to enter text.

B. Hosted Data

Check here if the <https://aset.az.gov/arizona-baseline-security-controls-excel> spreadsheet is attached. Otherwise explain below what information/ support is needed to complete the spreadsheet and/or why no sheet is attached:

Click here to enter text.

Check here if a Conceptual Design / Network Diagram is attached. Otherwise explain below what information/support is needed to complete the diagram and/or why no diagram is attached:

Click here to enter text.

VII. Additional Information

VIII. Attachments

The following are examples of supporting documents that should be sent as email attachments when required:

- A. *Vendor Quotes*
- B. *Arizona Baseline Security Controls spreadsheet*
- C. *Conceptual Design / Network Diagram*
- D. *Other*

IX. Glossary

Other Links:

[ADOA-ASET Website](#)

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

Email Addresses:

[Strategic Oversight](#)

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