Licensing and Imaging Replacement System
Agency Requesting The Project:
Liquor Licenses & Control Department
Business Unit Requesting The Project:
Licensing Division
Sponsor Of the Project:
Pearlette J. Ramos
Sponsor Title:
Assistant Director of Administration

Sponsor Phone Number:	**Extension:**
(602) 542-9021	

Sponsor Email Address:
pearlette.ramos@azliquor.gov

Has a Project Request been completed for this PIJ?	Y

What is the operational issue or business need that the Agency is trying to solve?
The Department of Liquor License and Control Department (DLLC) uses their Licensing Control System (LCS) to manage the licensing and documentation of customers. The current platform is using outdated technology which is expensive and resource intensive to support, and does not meet the changing requirements of the Agency.

How will solving this issue or addressing this need benefit the State or the Agency?
A new application will provide the State with a more sophisticated tool to support the mission of the DLLC. The application will integrate both licensing and document imaging to substantially improve the State's ability to issue liquor licenses, collect associated fees for the State and support the Investigation and Compliance divisions in maintaining liquor license. In addition DLLC has identified that the proposed project will enhance customer service through automated forms and for the licensee to perform routine license update tasks.

Describe the proposed solution to this business need:
DLLC issued an RFP for a new Licensing and Document Management System. DLLC has received RFP responses that support the implementation of a Licensing and Document Management Solution that is specifically designed for the needs of Business Licensing Agencies. Through the RFP process, the available solutions support the license workflow management for the over 19 license types and also support the licensing individuals. Offerors have provided implementation options for either hosting or deployment within a State Data Center. Also, all proposed solutions will support either all or majority the financial transactions and document management requirements.

Has the existing technology environment, into which the proposed solution will be implemented, been documented?	Y

Indicate where that documentation can be found, or provide the information under separate cover before the meeting, otherwise describe below:

The existing workflows and business requirements have been documented. These documents are stored on a shared drive at DLLC.

Have the business requirements been gathered, along with any technology requirements that have been identified?	Y

Are you submitting this as a Pre-PIJ in order to issue a Request for Proposal (RFP) to evaluate options and select a solution that meets the project requirements?	N

Will you be completing an assessment phase, i.e., an evaluation by a vendor, third party or your agency, of the current state, needs, and desired future state, in order to determine the cost, effort, approach (RFP or otherwise) and/or feasibility of a project before submitting the full PIJ?	N

Does the project fall into one of the following categories: - hardware technology refresh/expansion, e.g., replacement/more laptops, radios, peripherals, etc.? - software version refresh/additional licenses, e.g., MS Office 2013 replacing 2010, extra software licenses needed for additional PCs?	N

Is the proposed procurement the result of an RFP solicitation process?	Y

Is this project referenced in your agency's Strategic IT Plan?	Y

Does your agency have a formal project methodology in place?	Y

Describe the make-up and roles/responsibilities of the project team, e.g. participants, sponsors, stakeholders, etc. below:
DLLC will be doing user acceptance testing, participate in configuring the system, go live preparation and user training, system go-live and responsible for joint project initiation, ongoing and closure management, data mapping and cleansing, provide resources, review and approve deliverables, and acceptance of the system for go-live. Vendor will be doing planning and analysis, application training, confirm, data mapping, configuration, data conversion, interface implementation, go-live preparation and user training, and project closure and responsible for joint project initiation, ongoing and closure management, software and infrastructure installation, system go live, and transition to help desk support.

Will a PM be assigned to manage the project, regardless of whether internal or vendor provided?	Y

If the PM is credentialed, e.g., PMP, CPM, etc., please provide certification information below:
PM has not taken PMP test however been a member of PMI for over 5 years. Managed over 50 projects.

Is a project plan available that reflects the estimated start date and end date of the project, and the supporting milestones for the project?	Y

Has a test/pilot phase been incorporated?	N

Have steps needed to roll-out to all impacted parties been incorporated, e.g. communications, planned outages, deployment plan?	Y

Will the implementation require any physical infrastructure improvements, e.g., building reconstruction, major re-wiring, etc.?	N

Are there any known resource availability conflicts that could impact the project?	N

Does your schedule have dependencies on any other projects or procurements?	N

Will the implementation involve major end user view or functionality changes?	Y

Will the proposed solution result in a change to a public-facing application or system?	Y

Is a detailed project budget reflecting all of the up-front/startup costs to implement the project available, e.g., hardware, initial software licenses, training, taxes, P&OS, etc.?	Y

Have the ongoing support costs for sustaining the proposed solution over a 5-year lifecycle, once the project is complete, been determined, e.g., ongoing vendor hosting costs, annual maintenance and support not acquired upfront, etc.?	Y

Have all required funding sources for the project and ongoing support costs been identified?	N

Will the funding for this project expire on a specific date, regardless of project timelines?	N

Will the funding allocated for this project include any contingency, in the event of cost over-runs or potential changes in scope?	Y

Please indicate whether a statewide enterprise solution will be used or select the primary reason for not choosing an enterprise solution:
No Statewide Enterprise Solution Available

Will the technology and all required services be acquired off existing State contract(s)?	N

Will any software be acquired through the current State value-added reseller contract?	N

Does the project involve any technology that is new and/or unfamiliar to your agency, e.g., software tool never used before, virtualized server environment?

N

Does your agency have experience with the vendor (if known)?

N

Does the vendor (if known) have professional experience with similar projects?

Y

Does the project involve any coordination across multiple vendors?

N

Does this project require multiple system interfaces, e.g., APIs, data exchange with other external application systems/agencies or other internal systems/divisions?

N

Have any compatibility issues been identified between the proposed solution and the existing environment, e.g., upgrade to server needed before new COTS solution can be installed?

N

Will a migration/conversion step be required, i.e., data extract, transformation and load?

Y

Is this replacing an existing solution?

Y

Indicate below when the solution being replaced was originally acquired?

The existing solution is over 10 years old and was first implemented in 1991. The current platform is a combination of Small Talk and Sybase technologies, which is costly to maintain and cannot adapt to changing business and legislative requirements.

Describe the planned disposition of the existing technology below, e.g., surplused, retired, used as backup, used for another purpose:

DLLC plans to retire the legacy system after the system has been accepted and has successfully operated for 30 day without level 1 issue.

Describe how the agency determined the quantities reflected in the PIJ, e.g., number of hours of P&OS, disk capacity required, etc. for the proposed solution?

DLLC determined the level of effort for this project based on the Vendor RFP responses, which included professional services, data conversion, software, hosting services, training, warranty and maintenance.

Does the proposed solution and associated costs reflect any assumptions regarding projected growth, e.g., more users over time, increases in the amount of data to be stored over 5 years?

Y

Does the proposed solution and associated costs include failover and disaster recovery contingencies?

Y

Will the vendor need to configure the proposed solution for use by your agency?

Y

Are the costs associated with that configuration included in the PIJ financials?	Y

Will any application development or customization of the proposed solution be required for the agency to use the product in the current/planned technology environment, e.g., a COTS application that will require custom programming, an agency application that will be entirely custom developed?	N

Have you determined that this project is in compliance with all applicable statutes, regulations, policies, standards, and procedures, including those for network, security, platform, software/application, and/or data/information found at https://aset.az.gov/resources/psp?	Y

Are there other high risk project items not identified?	N

Will the proposed solution be vendor-hosted?	Y

Please select from the following vendor-hosted options:
Two leading vendor's responses have both Vendor Data Center and Commercial Data Center environments.

Describe the rationale for selecting the vendor-hosted option below:
A vendor-hosted solution increases the availability of the system, software maintenance is being kept up to date and support is always available.

Has the agency been able to confirm the long-term viability of the vendor-hosted environment?	Y

Has the agency addressed contract termination contingencies, e.g., solution ownership, data ownership, application portability, migration plans upon contract/support termination?	Y

Has a Conceptual Design / Network Diagram been provided and reviewed by ASET-SPR?	Y

Has the spreadsheet located at https://aset.az.gov/arizona-baseline-security-controls-excel already been completed by the vendor and approved by ASET-SPR?	Y

Will the proposed solution be hosted on-premise in a state agency?	N

Will any PII, PHI, or other Protected Information as defined in the 8110 Statewide Data Classification Policy be transmitted, stored, or processed with this project?	Y

Describe below what security infrastructure/controls are/will be put in place to safeguard this data:
The security infrastructure and controls documents have been provide by each Vendor and ADOA Security Officer has already reviewed and approved the controls.

Summary of PIJ Financials

Total of Development Cost:	$718,995 - $1,648,000
Total of Operational Cost:	$3,980 - $643,200
Total Costs:	$722,975 - $2,291,200

Project Cost - Itemized

Item	Description	Category	Development (Implementation) or Operational (Ongoing)	Fiscal Year Spend	Qty or Hours	Unit Cost	Extended Cost	Enter Tax Rate if Applicable (Generally 8.6% for PHX)	Tax	Total Cost
1	COTS Solution Acquisition	Software	Development	1	1	$718,995 to $1,648,000	$718,995 to $1,648,000		Tax Incl	$718,995 to $1,648,000
2	Recurring Software Support/Hosting	License & Maint Fees	Operational	FY2-5	1	$995 to $160,800	$995 to $160,800		Tax Incl	$3,980 to $643,200
3		[--Select--]	[--Select--]	[--Select--]						
4		[--Select--]	[--Select--]	[--Select--]						
5		[--Select--]	[--Select--]	[--Select--]						
6		[--Select--]	[--Select--]	[--Select--]						
7		[--Select--]	[--Select--]	[--Select--]						
8		[--Select--]	[--Select--]	[--Select--]						
9		[--Select--]	[--Select--]	[--Select--]						
10		[--Select--]	[--Select--]	[--Select--]						
11		[--Select--]	[--Select--]	[--Select--]						
12		[--Select--]	[--Select--]	[--Select--]						
13		[--Select--]	[--Select--]	[--Select--]						
14		[--Select--]	[--Select--]	[--Select--]						
15		[--Select--]	[--Select--]	[--Select--]						
16		[--Select--]	[--Select--]	[--Select--]						
17		[--Select--]	[--Select--]	[--Select--]						

Total Development Cost	$718,995 - $1,648,000
Total Operational Cost	$3,980 - $643,200
Total Itemization of Costs:	$722,975 - $2,291,200

Summary of Funding Sources

Fund Type	% of Project	$ of Project (Available)	$ of Project (To Be Requested)
Base Budget	100.00%	$805,530.74	$0 - $1,485,670
APF			
Other Appropriated			
Federal			
Other Non-Appropriated			

PIJ Development & Operational Cost Summary

Description	Type	Year 1	Year 2	Year 3	Year 4	Year 5	Extended Cost
Professional & Outside Services	Development	$718,995 to $1,648,000	$0	$0	$0	$0	$718,995 to $1,648,000
	Operational	$0	$0	$0	$0	$0	$0
Hardware	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$0	$0	$0	$0	$0
Software	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$0	$0	$0	$0	$0
Communications	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$0	$0	$0	$0	$0
Facilities	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$0	$0	$0	$0	$0
Licensing & Maintenance Fees	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$995 to $160,800	$995 to $160,800	$995 to $160,800	$995 to $160,800	$3,980 to $643,200
Other	Development	$0	$0	$0	$0	$0	$0
	Operational	$0	$0	$0	$0	$0	$0
	Development Cost:	$0	$0	$0	$0	$0	**$718,995 - $1,648,000**
	Operational Cost:	$0	$0	$0	$0	$0	**$3,980 - $643,200**
	Total Cost:						**$722,975 - $2,291,200**

Areas of Impact

1 **Application Systems**

	Application Enhancements
X	Internal Use Web Application
	Mobile Application Development
	Arizona Enterprise Solution Platform (AESP) based Application
	New Application Development
	az.gov Web Portal Application
	Other: (Please specify below)

2 **Database Systems**

	Data Warehouse/Mart
X	Database Consolidation/Migration/Extract Transform and Load Data
	Database Products and Tools:
	Oracle
	MySQL
	DB2
	MS SQL Server
	Other: (Please specify below)

3 **Software**

	COTS Application Customization
X	COTS Application Acquisition
	Mainframe Systems Software
	Open Source
	PC/LAN Systems Software
	Virtualization
	Other: (Please specify below)

4 **Hardware**

X	LAN/WAN Infrastructure
	Mainframe Infrastructure
	Storage Area Network Devices
	Public Safety Radios, Systems
	PC Purchases, Peripherals
	Tape Libraries/Silos
	UPS Devices
	Other: (Please specify below)

5 Hosted Solution (Cloud Implementation)

	State Data Center
X	Commercially Hosted:
	Amazon (AWS) GovCloud
	Century Link - I/O Data Center
	AWS (non-government) cloud
	Microsoft Azure
X	Vendor Hosted
	Other: (Please explain below)

6 Security

X	Encryption
	Security Appliances:
	Firewall
	Intrusion Detection System (IDS)
	Intrusion Prevention System (IPS)
	SecurityControls/Systems - Other: (Please specify below)
	Physical Controls (Badging Systems, Iris Scanners, Other: (Please specify below)
	Other: (Please specify below)

7 Telecommunications

X	Network Communications Infrastructure
	Telephone Upgrade-Business-Specific
	Cabling
	Wireless Access Points
	Telephony Upgrade-EIC Solution
	Trenching
	Videoconferencing
	Other: (Please specify below)

8 Enterprise Solutions

	Business Intelligence System
	E-Signatures
	Geographic Information Systems
	Other Imaging - Photos, Fingerprints, etc.
X	Document Management/Imaging
X	eLicensing
	Management Systems - Financial, Grants, Asset
	Disaster Recovery/Business Continuity
	Other: (Please specify below)

9 Contract Services/Procurement

X	Contracted Project Management
	Contractor Support Services
	Install/Configuration Contract Services
	State Contract
	Vendor provided
X	Procurement (RFP, IFB, DPR, etc.)
	Other: (Please specify below)

Meeting Invite Checklist

Role	Name	Email Address	Date Reviewed
Agency Project Sponsor*	**Pearlette Ramos**	pearlette.ramos@azliquor.gov	03/18/16
Agency Chief Information Officer (CIO) (or designee)*	**Pearlette Ramos**	pearlette.ramos@azliquor.gov	03/18/16
Agency Information Security Officer (ISO) (or designee)*	**Pearlette Ramos**	pearlette.ramos@azliquor.gov	03/18/16
Joint Legislative Budget Committee (JLBC) representative			
Office of Strategic Planning & Budgeting (OSPB) representative			
ADOA-ASET Strategic Program Manager *	**James Dean**	James.Dean@azdoa.gov	03/18/16
ADOA-ASET Security, Privacy & Risk (ASET-SPR) representative*	**Tim Guerriero**	Tim.Guerriero@azdoa.gov	03/18/16
Agency CPO or State Procurement Office (SPO) representative	**Jeff Stearns**	Jeff.Stearns@azdoa.gov	03/18/16
Agency CFO or Finance representative (if different from CPO)			
Others to Invite (if applicable):			
Consultant	**Eric Tingom**	etingom@tingomgroup.net	03/18/16

* Required Atendee

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✓	Has the value of the IT project to the public and the State been identified?
✓	Does the proposed solution address the stated problem or situation?
✓	Has the budget unit demonstrated competency to carry out the project successfully?
✓	Have all applicable questions in the PIJ been addressed?
✓	Have the Areas of Impact associated with the project been identified?
✓	Is sufficient sponsorship and support by budget unit leadership evidenced in the meeting?
✓	Has the compatibility of the proposed solution with other budget unit solutions been addressed?
✓	Has a reasonable Project Plan been provided?
✓	Has the compliance of the proposed solution with all applicable statewide standards been confirmed?
✓	Have any potential risks or issues associated with the project or the proposed solution been identified and appropriately addressed to minimize unintended consequences?
✓	Have the cost estimates for the project been vetted for accuracy?
✓	Have the PIJ Financials been completed?
✓	Have any/all of the following startup costs to implement the project been included under Development in the financial tables, if applicable - tax; shipping; upfront maintenance and support; professional services (P&OS); ancillary software to run on equipment; ancillary hardware to install equipment, e.g., cables; other associated costs, e.g., training, travel, documentation, etc.?
✓	Have any/all of the following ongoing/5-year support costs, once the project is implemented, been included under Operational in the financial tables, if applicable - ongoing vendor hosting costs, including any projected increase over time; annual maintenance and support not acquired upfront; extended costs after warranty expiration; P&OS commitments beyond implementation?
✓	Have you confirmed that no Full Time Employee (FTE) related costs have been included in the project costs?
✓	Have quotes been provided for all itemized costs in the PIJ, e.g., professional services, hardware, software, licensing, etc.?
✓	Do the quotes match the itemized list and only reflect those items and costs (within 5%) associated with this project?
✓	If not, describe below how the costs in the PIJ differ from the quotes, e.g., if quantities are different, costs are comprised of portions of multiple quotes provided, etc.:
	N/A

If any of the above are not complete, the PIJ cannot be approved at this time.....

PIJ Disposition

	Approved
	Approved with conditions
	ITAC Recommended
✓	ITAC Recommended with Conditions
	Not Approved

Strategic Program Manager Analysis

In October of 2014, the Department of Liquor Licenses and Control (DLLC) submitted a Pre-PIJ to issue and RFP to replace the existing licensing solution. DLLC issued the solicitation, and has reviewed the responding vendor bids against the requirements and is ready to award. The ADOA-ASET Oversight group met with the State Procurment Officer assisting DLLC with the solicitation, as well as DLLC to review the project and provide guidance of the PIJ process with active solicitations. After review of the PIJ, there are no outstanding issues, or concerns regarding the project or the procurment. Reccomended to ITAC with Conditions via delegated authority

Authorized Approver:	James Dean	Approval Date:	3/18/2016

Condition (If Applicable)

Upon award, the Arizona Department of Liquor License and Control (DLLC) must notify ADOA-ASET and the Information Technology Authorization Committee (ITAC) via a formal communication regarding the identity of the selected vendor and final proposed costs.
The DLLC will work with ADOA-ASET Security, Privacy, and Risk (SPR) to ensure the appropriate security controls are in place, in regards to the approved solution, in order to protect State data if a vendor hosted solution is selected.