

Project Investment Justification

School Financial Transparency Portal

AD22006

Department of Administration

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1. GENERAL INFORMATION

PIJ ID: AD22006

PIJ Name: School Financial Transparency Portal

Account: Department of Administration

Business Unit Requesting: ASET

Sponsor: JR Sloan

Sponsor Title: State CIO

Sponsor Email: jr.sloan@azdoa.gov

Sponsor Phone: (602) 364-4788

2. MEETING PRE-WORK

2.1 What is the operational issue or business need that the Agency is trying to solve? (i.e....current process is manual, which increases resource time/costs to the State/Agency, and leads to errors..):

- Funding for K-12 education in Arizona totals \$10.63 billion or \$9,316 per pupil. An estimated difference of \$1.45 billion (or \$1,272 per pupil) between spending and funding, has created the impetus for greater accountability and transparency in public school financing administration and disclosure.

- The objective is to enable a dynamic and completely transparent 360° view of where Arizona's public education dollars come from, as well as how, when, where, and for what purpose they are spent. The Portal will report per-pupil spending by school, not just by district, and will enable dynamic, customizable views of education finance, allocations, and flows.

- Development and implementation of the SFTP will satisfy a variety of parallel regulatory requirements by not only meeting, but exceeding, provisions of the Every Student Succeeds Act (ESSA), and facilitating compliance with reporting requirements inherent to other federal education grants, including ESSER.

2.2 How will solving this issue or addressing this need benefit the State or the Agency?

- SFTP will promote compliance through exposure. Schools/Districts deviating from established USFR procedures will be self identified and presumably, shamed into compliance. The portal will provide public exposure that is expected to incentivize compliance.

- The Portal will establish a consistent, level, and transparent 360-degree view of public education financing, enabling stakeholders to visualize, learn, and understand more about the efficiency, equity, and cost-effectiveness of federal, state, and local taxpayer investments in Arizona schools.

2.3 Describe the proposed solution to this business need.

- The Portal will exist in a cloud-based, software-as-a-service state.

- Ongoing Portal utilization charges will be based upon negotiated, per-pupil licensing fees.

- The Portal will have very high availability (99.9%) to the general public via the Internet on a 24x7x365 basis with the exception of scheduled update and maintenance outage events.

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

No

2.4a Please describe the existing technology environment into which the proposed solution will be implemented.

N/A

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

Yes

2.5a Please explain below why the requirements are not available.

3. PRE-PIJ/ASSESSMENT

3.1 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?

No

3.1a Is the final Statement of Work (SOW) for the RFP available for review?

3.2 Will you be completing an assessment/Pilot/RFP phase, i.e. an evaluation by a vendor, 3rd party or your agency, of the current state, needs, & desired future state, in order to determine the cost, effort, approach and/or feasibility of a project?

Yes

3.2a Describe the reason for completing the assessment/pilot/RFP and the expected deliverables.

The RFP has been completed in response to House Bill 2898, mandating analysis, solicitation and development of a School Financial Transparency Portal, necessary for the public to see and understand allocation and expenditure of education funding from source to recipient; and, the difference between education funding received and spent by Districts, Public and Charter schools throughout the State of Arizona. The expected deliverable is a public facing web portal, providing a dynamic and completely transparent 360-degree view of where Arizona's education dollars come from, as well as how, when, where, and for what purpose(s) they are spent.

3.2b Provide the estimated cost, if any, to conduct the assessment phase and/or Pilot and/or RFP/solicitation process.

68400

3.2e Based on research to date, provide a high-level cost estimate to implement the final solution.

2500000

4. PROJECT

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

Yes

4.2 Describe the high level makeup and roles/responsibilities of the Agency, Vendor(s) and other third parties (i.e. agency will do...vendor will do...third party will do).

ADOA will provide detailed business requirements; procurement support; project oversight; and, a designated Product Owner to monitor, manage and coordinate Vendor development efforts through an iterative Agile process. The Vendor will provide technical services and high-fidelity prototypes to ensure alignment and consistency with stated business requirements and underlying legislative mandates. Once complete, the Vendor will be responsible for ongoing operational support in a cloud-hosted, software-as-a-service environment.

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

Yes

4.3a If the PM is credentialed, e.g., PMP, CPM, State certification etc., please provide certification information.

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

Yes

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

Yes

5. SCHEDULE

5.1 Is a project plan available that reflects the estimated Start Date and End Date of the project, and the supporting Milestones of the project?

Yes

5.2 Provide an estimated start and finish date for implementing the proposed solution.

Est. Implementation Start Date

Est. Implementation End Date

4/11/2022 12:00:00 AM

2/17/2023 12:00:00 AM

5.3 How were the start and end dates determined?

Based on project plan

5.3a List the expected high level project tasks/milestones of the project, e.g., acquire new web server, develop software interfaces, deploy new application, production go live, and estimate start/finish dates for each, if known.

Milestone / Task	Estimated Start Date	Estimated Finish Date
Data acquisition, QA, ETL Processing Solution	04/04/22	04/22/22
High Fidelity User Experience MVP Prototype including graphics, content, initial copy, navigation, and user flows	04/25/22	05/20/22
Administrative Utilization Dashboard and Export Specifications	05/23/22	06/10/22
Homepage with navigation to Guided User Experiences, Search by School, Search by District (Staging Site)	06/13/22	06/24/22

ETL Upload Testing, QA, and compliance flags	06/27/22	07/08/22
School Profiles and District Profiles(Staging Site)	07/11/22	07/22/22
Guided User Experiences (Revenues, Expenditures, ESSER, USFR) (Staging)	07/25/22	08/05/22
Funding Allocations (Staging Site)	08/08/22	09/02/22
Ad-Hoc Reporting for requirements related to school or district comparisons (Staging Site)	09/05/22	09/30/22
Final content/copy edits and Product Owner Acceptance	10/03/22	10/07/22
Final testing suite and QA Product Owner Acceptance	10/10/22	10/21/22
Utilization Dashboard Solution Product Owner Acceptance	10/24/22	10/28/22
Data Warehouse / Historical Data Repository Product Owner Acceptance	10/31/22	11/11/22
SFTP Product Owner Certification and Acceptance	11/14/22	11/18/22
FAQs, Methodology Documentation and Data Downloads	11/21/22	11/25/22
Go Live Support	11/28/22	01/13/23
Final payment to vendor	01/16/23	02/17/23

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

Yes

5.5 Will any physical infrastructure improvements be required prior to the implementation of the proposed solution. e.g., building reconstruction, cabling, etc.?

No

5.5a Does the PIJ include the facilities costs associated with construction?

5.5b Does the project plan reflect the timeline associated with completing the construction?

6. IMPACT

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

No

6.1a Have the identified conflicts been taken into account in the project plan?

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

No

6.2a Please identify the projects or procurements.

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

Yes

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

Yes

7. BUDGET

7.1 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.?

Yes

7.2 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.?

Yes

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

Yes

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

Yes

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

Yes

8. TECHNOLOGY

8.1 Please indicate whether a statewide enterprise solution will be used or select the primary reason for not choosing an enterprise solution.

Other (please specify)

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

No

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

No

8.3a Describe how the software was selected below:

8.4 Does the project involve technology that is new and/or unfamiliar to your agency, e.g., software tool never used

before, virtualized server environment?

Yes

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

No

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

Yes

8.7 Does the project involve any coordination across multiple vendors?

No

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

Yes

8.9 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?

No

8.9a Describe below the issues that were identified and how they have been/will be resolved, or whether an ADOA-ASET representative should contact you.

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

Yes

8.11 Is this replacing an existing solution?

No

8.11a Indicate below when the solution being replaced was originally acquired.

8.11b Describe the planned disposition of the existing technology below, e.g., surplus, retired, used as backup, used for another purpose:

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

Licensing fee is based on the number of students enrolled in public districts and charter schools per enrollment year

8.13 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?

Yes

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

Yes

8.14a Please select why failover and disaster recovery is not included in the proposed solution.

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

Yes

8.15a Are the costs associated with that configuration included in the PIJ financials?

Yes

8.16 Will any app dev or customization of the proposed solution be required for the agency to use the project in the current/planned tech environment, e.g. a COTS app that will req custom programming, an agency app that will be entirely custom developed?

Yes

8.16a Will the customizations inhibit the ability to implement regular product updates, or to move to future versions?

Yes

8.16b Describe who will be customizing the solution below:

The vendor will be doing it

8.16c Do the resources that will be customizing the application have experience with the technology platform being used, e.g., .NET, Java, Drupal?

Yes

8.16d Please select the application development methodology that will be used:

Agile/Scrum

8.16e Provide an estimate of the amount of customized development required, e.g., 25% for a COTS application, 100% for pure custom development, and describe how that estimate was determined below:

50%, they are creating an interface to link together several different products into one coherent software

8.16f Are any/all Professional & Outside Services costs associated with the customized development included in the PIJ financials?

Yes

8.17 Have you determined that this project is in compliance with all applicable statutes, regulations, policies, standards & procedures, incl. those for network, security, platform, software/application &/or data/info found at aset.az.gov/resources/psp?

Yes

8.17a Describe below the compliance issues that were identified and how they have been/will be resolved, or

whether an ADOA-ASET representative should contact you:

8.18 Are there other high risk project issues that have not been identified as part of this PIJ?

No

8.18a Please explain all unidentified high risk project issues below:

9. SECURITY

9.1 Will the proposed solution be vendor-hosted?

Yes

9.1a Please select from the following vendor-hosted options:

Commercial data center environment, e.g AWS, Azure

9.1b Describe the rationale for selecting the vendor-hosted option below:

Legislature mandated the software as a service solution

9.1c Has the agency been able to confirm the long-term viability of the vendor hosted environment?

Yes

9.1d Has the agency addressed contract termination contingencies, e.g., solution ownership, data ownership, application portability, migration plans upon contract/support termination?

Yes

9.1e Has a Conceptual Design/Network Diagram been provided and reviewed by ASET-SPR?

Yes

9.1f 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?

No

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

No

9.2a Where will the on-premise solution be located:

9.2b Were vendor-hosted options available and reviewed?

9.2c Describe the rationale for selecting an on-premise option below:

9.2d Will any data be transmitted into or out of the agency's on-premise environment or the State Data Center?

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

No

9.3a Describe below what security infrastructure/controls are/will be put in place to safeguard this data:

10. AREAS OF IMPACT

Application Systems

New Application Development

Database Systems

Database Consolidation/Migration/Extract Transform and Load Data

Software

COTS Application Customization

Hardware

Other

Server based web enabled environment

Hosted Solution (Cloud Implementation)

Amazon (AWS) GovCloud

Security

Security Controls/Systems - Other

AZRamp compliant vendor server environment

Telecommunications

Other

Vendor provided server based telecommunication environment

Enterprise Solutions

Other

The legislature mandates require a cloud hosted vendor hosted solution

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Education Finance Reporting and Data Visualization Software.	Software	Development	1	1	\$475,000	\$475,000	0.00 %	\$0	\$475,000
Contractor's Salary/Day For 10/17/21 - 3/31/22 (Already spent on Project# AD22004)	Professional & Outside Services	Development	1	114	\$600	\$68,400	0.00 %	\$0	\$68,400
Contractor's Salary/Day For 4/1/22 - 6/30/22	Professional & Outside Services	Development	1	64	\$600	\$38,400	0.00 %	\$0	\$38,400
Education Finance Reporting and Data Visualization Software Plus Maintenance Fees For 7/1/22 - 3/31/23	Software	Development	2	1	\$2,025,000	\$2,025,000	0.00 %	\$0	\$2,025,000
Contractor's Salary/Day For 7/1/22 - 12/31/22	Professional & Outside Services	Development	2	126	\$600	\$75,600	0.00 %	\$0	\$75,600
Education Finance Reporting and Data Visualization Software Licensing Fees for 4/1/23 - 6/30/23	License & Maintenance Fees	Operational	2	3	\$104,167	\$312,501	0.00 %	\$0	\$312,501
Education Finance Reporting and Data Visualization Software Licensing Fees For 7/1/23 - 6/30/24	License & Maintenance Fees	Operational	3	1	\$1,250,000	\$1,250,000	0.00 %	\$0	\$1,250,000
Education Finance Reporting and Data Visualization Software Licensing Fees For 7/1/24 - 3/31/25	License & Maintenance Fees	Operational	4	9	\$104,167	\$937,503	0.00 %	\$0	\$937,503

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
\$0	\$0	0%
APF (Available)	APF (To Be Req)	APF % of Project
\$6,000,000	\$0	100%
Other Appropriated (Available)	Other Appropriated (To Be Req)	Other Appropriated % of Project
\$0	\$0	0%
Federal (Available)	Federal (To Be Req)	Federal % of Project
\$0	\$0	0%
Other Non-Appropriated (Available)	Other Non-Appropriated (To Be Req)	Other Non-Appropriated % of Project
		15

\$0	\$0	0%
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