Project Investment Justification

Juvenile Probation CMS Replacement Project

SP24002

Administrative Office of the Courts

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1. GENERAL INFORMATION

PIJ ID: SP24002
PIJ Name: Juvenile Probation CMS Replacement Project
Account: Administrative Office of the Courts
Business Unit Requesting: Information Tecnology Division
Sponsor: Karl Heckart
Sponsor Title: Chief Information Officer
Sponsor Email: kheckart@courts.az.gov
Sponsor Phone: (602) 452-3350

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...):

The custom developed Juvenile On-Line Tracking System (JOLTSaz) has served as the case management system for Pima and the rural counites for the past 10 years. For Maricopa County the integrated Court System (iCIS) has been utilized for over 15 years. The juvenile probation systems are aging and do not include the technology advancements that would benefit users. Some of the advantages of the replacement case management system include modernization, mobility, and managerial analytics. The most sustainable and efficient solution going forward is a commercial off-the-shelf system designed for the management of probation cases. The juvenile departments statewide will benefit by moving to one common system used by all juvenile probation departments. In addition, having a system common to adult and juvenile probation will greatly benefit the staff and clients of all probation departments.

The JOLTSaz and iCIS systems currently track both probation and dependency data. As part of this project key

The JOLTSaz and icIS systems currently track both probation and dependency data. As part of this project key vendor and Court resources will conduct an assessment of the selected solution to confirm the solution can be utilized for probation and dependency.

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

As automation systems age, the cost of maintaining them increases dramatically. Custom-developed systems suffer the additional risk of losing their development staff to retirement over time. Technical support for the tools used to develop and enhance the software also falls into obsolescence. Obtaining a new COTS product based on newer, vendor-supported technology on a cloud-based platform will vastly reduce support costs and complexity of operations. Replacement will allow the elimination of various out-of-support technologies at the AOC. Since 8 out of 15 counties have now consolidated their adult and juvenile probation departments together, having a common case management system for both adult and juvenile probation in the State of Arizona would streamline business processes and ease the burden of managing multiple systems. This also eliminates the need to integrate solutions between departments and provides true visibility to all probation data across the state.

2.3 Describe the proposed solution to this business need.

An RFP was developed using a nationally recognized consultant. RFP 21-03 was published on October 28, 2021 which began the procurement process for obtaining a vendor-managed, off-the-shelf, probation case management solution. The AOC, along with statewide stakeholder engagement, proceeded with the established vendor selection process for proposals received. At the end of the proposal evaluation period, Tyler Technologies' case management system was selected as the solution that would best serve the needs of the state. Tyler Supervision is able to provide a single comprehensive CMS solution for Adult Probation and Juvenile Probation. The solution is securely

hosted in the AWS GovCloud, is mobile-ready, and provides full case monitoring and reporting capabilities. In addition to also providing the ability to scan and store imaged documents and electronic files, it offers an extra feature of a secure, online portal for client/officer communications.

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

Yes

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

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?

No

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

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

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

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).

The Court and Tyler will each have their own project teams consisting of a Project Manager, Business Analysts, Trainers, and Technical Leads; the Court will also engage Coordinators and Subject Matter Experts from probation departments around the state. Escalation roles/entities for both the Court and Tyler will also be established.

Shared responsibilities for both the Court and Tyler include work in the following phases: Initiate & Plan, Assess & Define, Prepare Solution, Solution Validation, Training, Go-Live (preparations and support), and Post Go-Live Activities. The Court and Tyler both have their own responsibilities as they pertain to Resource Management, Issue Escalation, Contract Compliance and Providing/Managing Deliverables. Additionally, the Court has the sole responsibility for Change Management.

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
12/4/2023 12:00:00 AM	6/3/2026 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
PROJECT START DATE	12/04/23	12/04/23
TRACK 1J: PREPARE SOLUTION	12/04/23	04/10/24
TRACK 1J: ASSESS & DEFINE	12/04/23	05/28/24
TRACK 1J: INITIATE & PLAN	12/04/23	04/23/24
TRACK 1J: Pilot (5 Counties)	12/04/23	09/11/25
Provide ADOA-ASET with a detailed plan for Track 1J	01/04/24	02/02/24

TRACK 2J: Pima	05/03/24	10/10/25
TRACK 2J: INITIATE & PLAN	05/03/24	05/09/24

TRACK 2J: ASSESS & DEFINE	05/06/24	09/20/24
TRACK 2J: PREPARE SOLUTION	05/09/24	07/31/25
Provide ADOA-ASET with a detailed plan for Track 2J	05/09/24	05/23/24
TRACK 3J: INITIATE & PLAN	10/04/24	10/10/24
TRACK 3J: Maricopa	10/04/24	06/30/26
TRACK 3J: PREPARE SOLUTION	10/09/24	01/07/26
TRACK 3J: ASSESS & DEFINE	10/10/24	05/15/25
Provide ADOA-ASET with a detailed plan for Track 3J	10/10/24	10/24/24
TRACK 1J: PRODUCTION READINESS	02/21/25	05/22/25
TRACK 4J: INITIATE & PLAN	04/04/25	04/04/25
Provide ADOA-ASET with a detailed plan for Track 4J	04/04/25	04/18/25
TRACK 4J: ASSESS & DEFINE	04/04/25	07/03/25
TRACK 4J: 8 Counties	04/04/25	12/22/25
TRACK 4J: PREPARE SOLUTION	04/16/25	07/22/25
TRACK 1J: PRODUCTION	05/19/25	06/20/25
TRACK 2J: PREPARE SOLUTION	05/20/25	09/08/25
TRACK 2J: PRODUCTION READINESS	05/20/25	09/08/25
TRACK 1J: CLOSEOUT AND SUPPORT TRANSITION	06/12/25	09/11/25
TRACK 4J: PRODUCTION READINESS	07/01/25	09/22/25
TRACK 2J: PRODUCTION	08/20/25	09/16/25
TRACK 2J: CLOSEOUT AND SUPPORT TRANSITION	09/08/25	10/10/25
TRACK 4J: PRODUCTION	09/23/25	10/22/25
TRACK 4J: CLOSEOUT AND SUPPORT TRANSITION	10/14/25	12/22/25
TRACK 3J: PRODUCTION READINESS	12/16/25	03/03/26
TRACK 3J: PRODUCTION	02/23/26	04/14/26
TRACK 3J: CLOSEOUT AND SUPPORT TRANSITION	04/06/26	06/30/26

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?

Yes

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?

No

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)?

Yes

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?

Yes

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

JOLTSaz is a Court developed system that was first implemented in Pima County in early 2013 followed by deployed to the rural counites.

The iCIS juvenile module was developed by the Maricopa County Court IT department and was implemented in 2007.

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

The JOLTSaz system will continue to be used by counites for Detention and Dependency cases until those functionalities are replaced with new technology.

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?

Through proposals received in response to RFP 21-03 and revised in the SOW from the selected vendor.

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?

No

8.16b Describe who will be customizing the solution below:

Any customization or further development will be performed by the vendor. System will be supported solely by the vendor following implementation .

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

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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:

Unknown until Tyler conducts current- and future-state analysis based on probation business processes in coordination with the solution's existing workflows. We anticipate streamlining most business processes based on the solution's architecture and user

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?

No/Not Sure

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:

The Judicial Branch is not a budget unit as defined in A.R.S. 18-101(1). The project is in compliance with all Arizona Judicial Branch policies, standards, and procedures.

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:

Other

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

Cloud-first policy

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?

No

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?

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 Acquisition

Hardware

Other

NA

Hosted Solution (Cloud Implementation)

Amazon (AWS) GovCloud

Security

Other

NA

Telecommunications

Other

NA

Enterprise Solutions

Other

No statewide, enterprise solution available; following cloud-first strategy .

Contract Services/Procurements

Contract Project Management; Contractor Support Services; Install/Configuration Contract Services

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Implementation Costs Year One	Professional & Outside Services	Development	1	1	$515,180	$515,180	0.00 %	$0	$515,180
Facilities/Travel	Facilities	Development	1	1	$36,321	$36,321	0.00 %	$0	$36,321
Hardware	Hardware	Development	1	1	$41,824	$41,824	860.00 %	$3,597	$45,421
Other Year One	Other	Development	1	1	$150,000	$150,000	860.00 %	$12,900	$162,900
Enterprise SaaS Annual Fees Year One	License & Maintenance Fees	Development	1	1	$488,837	$488,837	860.00 %	$42,040	$530,877
Implementation Cost Year Two	Professional & Outside Services	Development	2	1	$1,030,360	$1,030,360	0.00 %	$0	$1,030,360
Facilities/Travel	Facilities	Development	2	1	$79,580	$79,580	0.00 %	$0	$79,580
Hardware	Hardware	Development	2	1	$81,362	$81,362	860.00 %	$6,997	$88,359
Other Year Two	Other	Development	2	1	$300,000	$300,000	860.00 %	$25,800	$325,800
Enterprise SaaS Annual Fees Year Two	License & Maintenance Fees	Development	2	1	$977,676	$977,676	860.00 %	$84,080	$1,061,756
Implementation Cost Year Three	Professional & Outside Services	Development	3	1	$645,680	$645,680	0.00 %	$0	$645,680
Facilities/Travel	Facilities	Development	3	1	$60,346	$60,346	0.00 %	$0	$60,346
Hardware	Hardware	Development	3	1	$60,782	$60,782	860.00 %	$5,485	$60,068

Hardware	Hardware	ent	3	1	$63,783	$63,783	860.00 %	$5,485	$69,268	
Other Year Three	Other	Development	3	1	$150,000	$150,000	860.00 %	$12,900	$162,900	
Enterprise SaaS Annual Fees Year Three	License & Maintenance Fees	Development	3	1	$1,224,267	$1,224,267	860.00 %	$105,287	$1,329,554	
Enterprise SaaS Annual Fees Year Four	License & Maintenance Fees	Operational	4	1	$1,471,737	$1,471,737	860.00 %	$126,569	$1,598,306	
Facilities/Travel	Facilities	Operational	4	1	$38,050	$38,050	0.00 %	$0	$38,050	
Hardware	Hardware	Operational	4	1	$34,778	$34,778	860.00 %	$2,991	$37,769	
Other Year Four	Other	Operational	4	1	$261,000	$261,000	860.00 %	$22,446	$283,446	
Enterprise SaaS Annual Fees Year Five	License & Maintenance Fees	Operational	5	1	$1,515,890	$1,515,890	860.00 %	$130,367	$1,646,257	
Other Year Five	Other	Operational	5	1	$130,500	$130,500	860.00 %	$11,223	$141,723	
Hardware	Hardware	Operational	5	1	$15,104	$15,104	860.00 %	$1,299	$16,403	
		Operation	5	1	$16,525	$16,525	0.00 %	$0	$16,525	

Facilities/Travel	Facilities	al								

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
$0	$0	0%
APF (Available)	**APF (To Be Req)**	**APF % of Project**
$0	$0	0%
Other Appropriated (Available)	**Other Appropriated (To Be Req)**	**Other Appropriated % of Project**
$0	$0	0%
Federal (Available)	**Federal (To Be Req)**	**Federal % of Project**
$3,965,826	$0	64%
Other Non-Appropriated (Available)	**Other Non-Appropriated (To Be Req)**	**Other Non-Appropriated % of Project**
$2,232,731	$0	36%

Total Budget Available	Total Development Cost
$6,198,557	$6,144,302
Total Budget To Be Req	**Total Operational Cost**
$0	$3,778,479

Total Budget	Total Cost
$6,198,557	$9,922,781

12. PROJECT SUCCESS

Please specify what performance indicator(s) will be referenced in determining the success of the proposed project (e.g. increased productivity, improved customer service, etc.)? (A minimum of one performance indicator must be specified)

Please provide the performance objective as a quantifiable metric for each performance indicator specified.
Note: The performance objective should provide the current performance level, the performance goal, and the time period within which that performance goal is intended to be achieved. You should have an auditable means to measure and take corrective action to address any deviations.
Example: Within 6 months of project completion, the agency would hope to increase "Neighborhood Beautification" program registration by 20% (3,986 registrants) from the current registration count of 19,930 active participants.

Performance Indicators

Upon the completion of the juvenile probation CMS replacement phase of the project all 15 counites will be utilizing the one common juvenile tracking system.

Additionally at the completion of Phase 2, the new system will be successfully implemented in all Probation departments around the state.

13. CONDITIONS

Conditions for Approval

1. Should development costs exceed the approved estimates by 10% or more, or should
there be significant changes to the proposed technology scope of work or
implementation schedule, the Agency must amend the PIJ to reflect the changes and

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submit it to ADOA-ASET, and ITAC if required, for review and approval prior to further
expenditure of funds.

2. Monthly reporting on the project status is due to ADOA-ASET no later than the 15th of the month following the start of the project. Failure to comply with timely project status reporting will affect the overall project health. The first status report for this project is due on January 15, 2023.

14. OVERSIGHT SUMMARY

Project Background

Business Justification

Implementation Plan

Vendor Selection

Budget or Funding Considerations

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor
Dave Byers

Agency CIO (or Designee)
Karl Heckart

Agency ISO (or designee)
Rod Franklin

OSPB Representative

ASET Engagement Manager

ASET SPR Representative
Emily Gross

Agency SPO Representative
Brett Watson

Agency CFO
Martin Gaxiola