ADOA-ASET
Arizona Strategic Enterprise Technology

Project Investment Justification

Probation CMS Replacement Project
AO23001
Administrative Office of the Courts

Contents

1. GENERAL INFORMATION

PIJ ID: AO23001
PIJ Name: Probation CMS Replacement Project
Account: Administrative Office of the Courts
Business Unit Requesting: Information Technology 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 Adult Probation Enterprise Tracking System (APETS) has served as the statewide case management system for adult probation for over twenty years. It has provided a stable and reliable tool for case management but has reached the end of its lifecycle and is in need of replacement. The Court requires a statewide approach using a solution that meets the needs of our very diverse user groups. Some of the targets for a replacement case management system include modernization, mobility, and managerial analytics. The most sustainable and efficient solution going forward will be a commercial off-the-shelf system designed for the management of probation cases. While the priority is on replacing the adult system, the solution is also a functional fit for our juvenile probation activities and would cost-effectively unify our rural and urban county processes.

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

APETS has reached the end of its useful lifecycle. 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 reduce future 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 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
11/1/2022 12:00:00 AM	11/3/2027 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
Track 1 Adult (planning, configure, develop, build conversion, testing, training, implement solution in 4 pilot counties)	11/01/22	11/28/23

Track 2 Adult (planning, configure, develop, build conversion, testing, training, implement solution in Maricopa county)	02/14/23	09/17/24
Track 3 Adult (conversion, testing, training, implement solution in 3 counties)	11/27/23	03/26/24
Track 6 Adult (planning, configure, develop, build conversion, testing, training, implement solution in Pima county)	12/05/23	01/17/25
Track 4 Adult (conversion, testing, training, implement solution in 3 counties)	04/01/24	07/30/24
Track 5 Adult (conversion, testing, training, implement solution in 3 counties)	08/05/24	12/03/24
Track 1 Juvenile (planning, configure, develop, build conversion, testing, training, implement solution in 4 pilot counties)	10/13/25	10/27/26
Track 2 Juvenile (planning, configure, develop, build conversion, testing, training, implement solution in Maricopa county)	01/16/26	02/02/27
Track 6 Juvenile (planning, configure, develop, build conversion, testing, training, implement solution in Pima county)	01/16/26	03/03/27
Track 3 Juvenile (conversion, testing, training, implement solution in 3 counties)	10/26/26	02/23/27
Track 4 Juvenile (conversion, testing, training, implement solution in 3 counties)	03/01/27	06/29/27
Track 5 Juvenile (conversion, testing, training, implement solution in 3 counties)	07/06/27	11/03/27

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?

Yes

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?

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?

No

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?

Yes

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

APETS was originally developed jointly by AOC and Maricopa County and implemented as a Y2K solution. The rollout to the other counties began with Yuma County in 2004. The application was statewide by 2006. In 2011, APETS was upgraded from Informix to a SQL Server database for long-term supportability.

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

Active cases will be converted and systems will run in parallel for period of time. Closed case records will be archived before shutdown of old 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.

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

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:

The Maricopa implementation will require some (est. 10-20%) enhancement to support unique programs, workflows and integration to Court systems. We anticipate streamlining certain business processes based on the solution's architecture and user portal.

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. The Commission on Technology, the highest governance body over technology for the Judicial Branch, chaired by the vice chief justice, will manage any compliance issues that arise in the course of the project.

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:

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?

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?

Yes

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

Criminal data will be protected in accordance with Judicial Branch and CJIS standards. Court user data / PII will be protected in accordance with Supreme Court Rule 123 and all security standards approved by Arizona Judicial Council.

10. AREAS OF IMPACT

Application Systems

New Application Development

Database Systems

Database Consolidation/Migration/Extract Transform and Load Data;MS SQL Server

Software

COTS Application Acquisition

Hardware

Hosted Solution (Cloud Implementation)

Amazon (AWS) GovCloud;Vendor Hosted

Security

Telecommunications

Enterprise Solutions

Other

APETS is the statewide system and this is the technological replacement for that system; it will be used by all counties.

Contract Services/Procurements

11. FINANCIALS

Description	PIJ Category	Cost Type	Fiscal Year Spend	Quantity	Unit Cost	Extended Cost	Tax Rate	Tax	Total Cost
Enterprise Annual SaaS Fee Year One (Adult)	License & Maintenance Fees	Development	1	1	$1,091,880	$1,091,880	860.00 %	$93,902	$1,185,782
Contingency Year One	Other	Development	1	1	$207,934	$207,934	0.00 %	$0	$207,934
Project Team Travel Year One	Other	Development	1	1	$34,152	$34,152	0.00 %	$0	$34,152
Project Team Staff Year One	Other	Development	1	1	$553,916	$553,916	0.00 %	$0	$553,916
Implementation Costs Year One (Adult)	Professional & Outside Services	Development	1	1	$1,525,419	$1,525,419	0.00 %	$0	$1,525,419
Implementation Costs Year Two (Adult)	Professional & Outside Services	Development	2	1	$1,525,419	$1,525,419	0.00 %	$0	$1,525,419
Contingency Year Two	Other	Development	2	1	$207,934	$207,934	0.00 %	$0	$207,934
Project Team Travel Year Two	Other	Development	2	1	$136,606	$136,606	0.00 %	$0	$136,606
Project Team Staff Year Two	Other	Development	2	1	$553,916	$553,916	0.00 %	$0	$553,916
Enterprise Annual SaaS Fee Year Two (Adult)	License & Maintenance Fees	Operational	2	1	$2,183,760	$2,183,760	860.00 %	$187,803	$2,371,563
Enterprise Annual SaaS Fee Year Three (Adult)	License & Maintenance Fees	Operational	3	1	$2,249,273	$2,249,273	860.00 %	$193,437	$2,442,710
Contingency Year Three	Other	Operational	3	1	$55,392	$55,392	0.00 %	$0	$55,392
Project Team Travel Year Three	Other	Operational	3	1	$136,606	$136,606	0.00 %	$0	$136,606
Project Team Staff Year Three	Other	Operational	3	1	$553,916	$553,916	0.00 %	$0	$553,916
Supervision Access Premium Annual Fee Year Three (Adult)	License & Maintenance Fees	Operational	3	1	$485,280	$485,280	860.00 %	$41,734	$527,014
Supervision Access Premium Annual Fee Year Four (Juvenile)	License & Maintenance Fees	Development	4	1	$218,880	$218,880	860.00 %	$18,824	$237,704
Enterprise Annual SaaS Fee Year Four (Juvenile)	License & Maintenance Fees	Development	4	1	$492,480	$492,480	860.00 %	$42,353	$534,833

Implementation Costs Year Four (Juvenile)	Professional & Outside Services	Development	4	1	$469,360	$469,360	0.00 %	$0	$469,360
Enterprise Annual SaaS Fee Year Four (Adult)	License & Maintenance Fees	Operational	4	1	$2,316,751	$2,316,751	860.00 %	$199,241	$2,515,992
Contingency Year Four	Other	Operational	4	1	$102,328	$102,328	0.00 %	$0	$102,328
Project Team Travel Year Four	Other	Operational	4	1	$34,152	$34,152	0.00 %	$0	$34,152
Project Team Staff Year Four	Other	Operational	4	1	$553,916	$553,916	0.00 %	$0	$553,916
Supervision Access Premium Annual Fee Year Four (Adult)	License & Maintenance Fees	Operational	4	1	$970,560	$970,560	860.00 %	$83,468	$1,054,028
Implementation Costs Year Five (Juvenile)	Professional & Outside Services	Development	5	1	$469,360	$469,360	0.00 %	$0	$469,360
Enterprise Annual SaaS Fee Year Five (Adult)	License & Maintenance Fees	Operational	5	1	$2,386,254	$2,386,254	860.00 %	$205,218	$2,591,471
Supervision Access Premium Annual Fee Year Five (Adult)	License & Maintenance Fees	Operational	5	1	$999,677	$999,677	860.00 %	$85,972	$1,085,649
Supervision Access Premium Annual Fee Year Five (Juvenile)	License & Maintenance Fees	Operational	5	1	$437,760	$437,760	860.00 %	$37,647	$475,407
Enterprise Annual SaaS Fee Year Five (Juvenile)	License & Maintenance Fees	Operational	5	1	$984,960	$984,960	860.00 %	$84,707	$1,069,667
Project Team Staff Year Five	Other	Operational	5	1	$553,916	$553,916	0.00 %	$0	$553,916
Project Team Travel Year Five	Other	Operational	5	1	$136,606	$136,606	0.00 %	$0	$136,606
Contingency Year Five	Other	Operational	5	1	$102,328	$102,328	0.00 %	$0	$102,328

Base Budget (Available)	Base Budget (To Be Req)	Base Budget % of Project
$0	$18,033,652	75%
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**
$0	$0	0%
Other Non-Appropriated (Available)	**Other Non-Appropriated (To Be Req)**	**Other Non-Appropriated % of Project**
$5,971,344	$0	25%

Total Budget Available	Total Development Cost
$5,971,344	$7,642,335
Total Budget To Be Req	**Total Operational Cost**
$18,033,652	$16,362,662
Total Budget	**Total Cost**
$24,004,996	$24,004,996

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

As this is a probation system project, the first phase of the project will focus on adult probation. At the completion of Phase 1, the new solution will be successfully implemented in all 15 Arizona counties' Adult Probation Departments. As confidence is gained in the adult probation solution, the second phase of the project focusing on juvenile probation will be kicked off. At the completion of Phase 2, the new system will be successfully implemented in the Juvenile Probation departments around the state.

13. CONDITIONS

Conditions for Approval

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

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 December 15, 2022.

Prior to go live, the Agency must work with the Department of Administration (ADOA) and Department of Homeland Security (AZDOHS) Cyber Command, to assure the System Security Plan document is completed and approved by Cyber Command in order to ensure that the selected solution will provide an appropriate level of protection for State data.

14. OVERSIGHT SUMMARY

Project Background

Under the direction of the Chief Justice, the administrative director and the staff of the Administrative Office of the Courts (AOC) provide the necessary support for the supervision and administration of all state courts. The AOC is

comprised of eight divisions, one of which is the Adult Probation Services Division that oversees the effective statewide administration of adult probation programs and services in accordance with statutory and administrative guidelines.

AOC is currently utilizing the Adult Probation Enterprise Tracking System (APETS) to manage adult probation cases statewide. APETS is a custom-developed solution that is antiquated and reaching its end of life which limits resources with the ability to maintain the solution which also affects the maintenance cost.

Business Justification

The completion of the project will allow AOC to be on a cloud-based platform which will reduce future support costs, improve daily operations, streamline business processes. AOC researched counties with consolidated case management systems for both adult and juvenile probation departments and found business processes to be streamlined and provide visibility between various functional areas within the department. AOC would be able to eliminate multiple system management and share probation data throughout the state.

Implementation Plan

The agency will be responsible for engaging Subject Matter Experts from probation departments around the state, and responsible for Change Management.

The agency and the vendor will share responsibilities for the following phases: Initiate & Plan, Assess & Define, Prepare Solution, Solution Validation, Training, Go-Live (preparations and support), and Post Go-Live Activities.

The agency and the vendor will each have their own project teams consisting of a Project Manager, Business Analysts, Trainers, and Technical Leads. Additionally, both will have their own responsibilities as they pertain to Resource Management, Issue Escalation, Contract Compliance and Providing/Managing Deliverables.

Vendor Selection

The agency utilized the Request For Proposal (RFP) processes to select the vendor.
Tax is not included in the vendor quote, tax is included in the PIJ financials.

Budget or Funding Considerations

Funding for the project will consist of 74% base budget and 26% federal budget.

15. PIJ REVIEW CHECKLIST

Agency Project Sponsor

Dave Byers

Agency CIO (or Designee)

Karl Heckart

Agency ISO (or designee)

Richard Blair

OSPB Representative

ASET Engagement Manager

ASET SPR Representative

Emily Gross

Agency SPO Representative

Brett Watson

Agency CFO

Martin Gaxiola