Return on Investment (ROI) Program Funding Application

This is an IOWAccess Fund Request. Amount of funding requested:
 $26,000.00

Section I: Proposal

Date:	July 1, 2006
Agency Name:	Department of Public Safety/Division of Criminal Investigation
Project Name:	Criminal History Check
Agency Manager:	Steve Conlon
Agency Manager Phone Number / E-Mail:	515- 281-5138/ mailto:steve.conlon@dps.state.ia.us
Executive Sponsor (Agency Director or Designee):	Steve Conlon

A. Project Summary: Describe the nature and use of the proposed project, including what is to be accomplished, how it will be accomplished, and what the costs and benefits will be.

This program will provide citizens and businesses with a means to use a web interface to quickly obtain a criminal history. The information will be obtained quickly and efficiently. Currently, citizens must either mail or fax a request to the Division of Criminal Investigation (DCI) or they can personally visit the DCI to obtain criminal history record information.

Current methods of payment are cash, check, money order, credit/debit card or by establishing a pre-paid account with DCI.

On line credit card payments will be included in the web site providing a quick and easy means of paying for the Criminal History.

The program will be written using current technologies for the gathering of data, the dissemination of data, security and reporting.

B. Strategic Plan: How does the proposed project fit into the strategic plan of the requesting agency?

The public needs an efficient and quick method of obtaining criminal history record information in order to make informed hiring decisions. The DCI is moving forward by providing the public with the capability to obtain such information. This can be evidenced by their recent projects: Missing Persons On Line, Iowa Sex Offender Registry (ISOR), ISOR Mapping, ISOR Email Notification and DPS Email Notification.

This application will utilize on line payments making it easy for the user to submit a payment and obtain criminal history record information.

C. Current Technology: Provide a summary of the technology used by the current system. How does the proposed project impact the agency's technological direction?

Currently, the way to obtain a criminal history record is by one of the following methods:
- Physically visiting the DCI.
- Faxing the information to the DCI.
- Mailing the information to the DCI.

The current system is time consuming for both the user and DCI employees.

The proposed project enhances the agency's technological direction by quickly and efficiently providing information to the customer.

D. Statutory or Other Requirements

Is this project or expenditure necessary for compliance with a Federal law, rule, or order?

☐   YES (If "Yes", cite the specific Federal law, rule or order, with a short explanation of how this project is impacted by it.)
Explanation:

Is this project or expenditure required by state law, rule or order?

☐   YES (If "YES", cite the specific state law, rule or order, with a short explanation of how this project is impacted by it.)
Explanation:

Does this project or expenditure meet a health, safety or security requirement?

☐   YES (If "YES", explain.)
Explanation:

Is this project or expenditure necessary for compliance with an enterprise technology standard?

☐   YES (If "YES", cite the specific standard.)
Explanation:

[This section to be scored by application evaluator.]

<u>Evaluation</u> **(15 Points Maximum)**
If the answer to these criteria is "no," the point value is zero (0). Depending upon how directly a qualifying project or expenditure may relate to a particular requirement (federal mandate, state mandate, health-safety-security issue, or compliance with an enterprise technology standard), or satisfies more than one requirement (e.g. it is mandated by state and federal law and fulfills a health and safety mandate), 1-15 points awarded.

E. Impact on Iowa's Citizens

a**.** Project Participants - List the project participants (i.e. single agency, multiple agencies, State government enterprise, citizens, associations, or businesses, other levels of government, etc.) and provide commentary concerning the nature of participant involvement. Be sure to specify who and how many direct users the system will impact. Also specify whether the system will be of use to other interested parties: who they may be, how many people are estimated, and how they will use the system.

Project Participants: general public, schools, businesses, public and private organizations, volunteer/mentoring organizations.

Participant Involvement: Everyone who accesses the internet will have the opportunity to obtain immediate search results.

Currently, DPS manually processes about 15,000 queries a month (SING processes around 12,500 total a month that includes hits/no hits). Of that 15,000, DPS sends out roughly 4,500 actual records.
The anticipated usage is an increase of this amount. This will allow citizens to easily and quickly obtain criminal history record information for various purposes. Since the records may be obtained without DPS employee involvement, this will allow the employees to perform other much needed functions and to perform the more in depth inquiries and to solve issues and questins the public may have. Many inquires have been received by the State to allow citizens to obtain this information using a web service. Expectations are especially high for employers who routinely request criminal history record information prior to hiring.

b. Service Improvements - Summarize the extent to which the project or expenditure improves service to Iowa citizens or within State government. Included would be such items as improving the quality of life, reducing the government hassle factor, providing enhanced services, improving work processes, etc.

This project provides enhanced services to the citizens of Iowa. This will enable schools, businesses and organizations to quickly determine if an applicant has a criminal history record with the DCI and if that applicant is suitable for employment or as a volunteer.

Although the need for human intervention in the processing of criminal history record requests will decrease the need for quality assurance will increase. In order to provide the most accurate information possible, the responsibilities of the DCI employees will shift from directly processing the requests, where they could review the records before they were sent out, to more overall quality control of the records.

c. Citizen Impact – Summarize how the project leads to a more informed citizenry, facilitates accountability, and encourages participatory democracy. If this is an extension of another project, what has been the adoption rate of Iowa's citizens or government employees with the preceding project?

The citizens of Iowa will be able to make informed decisions on applicants in areas such as teaching, mentoring for Big Brother and Sister programs, volunteering at youth camps or for the boy/girl scouts.

d. Public Health and/or Safety – Explain requirements or impact on the health and safety of the public.

The safety of the public is directly affected by this application. This will provide a quick means of determining the eligibility of an applicant. This will also help to prevent the hiring of persons who are not qualified for a position due to their past criminal history.

[This section to be scored by application evaluator.]

<u>**Evaluation**</u> **(15 Points Maximum)**

- Minimally directly impacts Iowa citizens (0-5 points).

- Moderately directly impacts Iowa citizens (6-10 points).

- Significantly directly impacts Iowa citizens (11-15 points).

[This section to be scored by application evaluator.]

<u>**Evaluation**</u> **(10 Points Maximum)**

- Minimally improves customer service (0-3 points).

- Moderately improves customer service (4-6 points).

- Significantly improves customer service (7-10 points).

F. Process Reengineering

Provide a pre-project or pre-expenditure (before implementation) description of the impacted system or process.   Be sure to include the procedures used to administer the impacted system or process and how citizens interact with the current system.

Response:
 Currently, citizens and businesses must obtain a criminal history in one of the following methods:
1. Personally visit the DCI office in Des Moines
2. Submit a written application through the mail
3. Fax a request to the office.
Payment is made by cash, check, money order, credit/debit card or a pre-paid account.

Evaluation (10 Points Maximum)

- <u>Minimal</u> use of information technology to reengineer government processes (0-3 points).

- <u>Moderate</u> use of information technology to reengineer government processes (4-6 points).

- <u>Significant</u> use of information technology to reengineer government processes (7-10).

G. Timeline

Provide a projected timeline for this project. Include such items as planning, database design, coding, implementation, testing, conversion, parallel installation, and date of final release. Also include the parties responsible for each item.

 This application is expected to go to production by October 1, 2006,

Evaluation (10 Points Maximum)

- The timeline contains several problem areas (0-3 points).

- The timeline seems reasonable with few problem areas (4-6 points).

- The timeline seems reasonable with no problem areas (7-10).

H. Funding Requirements

On a fiscal year basis, enter the estimated cost by funding source: Be sure to include developmental costs and ongoing costs, such as those for hosting the site, maintenance, upgrades …

	FY06		FY07		FY08	
	Cost($)	% Total Cost	Cost($)	% Total Cost	Cost($)	% Total Cost
State General Fund	$0	0%	$0	0%	$0	0%
Pooled Tech. Fund /IowAccess Fund	47,375	65%	$26,000 Plus $5,347.98 ($594.22 for 10 months)	100%	1,782.66 ($594.22 for 3 months)	25%
Federal Funds	$0	0%	$0	0%	$0	0%
Local Gov. Funds	$0	0%	$0	0%	$0	0%
Grant or Private Funds	$0	0%	$0	0%	$0	0%
Other Funds (Specify)	$0	0%	$0	0%	$0	0%
Total Project Cost	$47,375	65%	$ 31,347.98	100%	$1782.66	25%
Non-Pooled Tech. Total	$0	0%	$0	0%	$0	0%

[This section to be scored by application evaluator.]

Evaluation (10 Points Maximum)

- The funding request contains questionable items (0-3 points).

- The funding request seems reasonable with few questionable items (4-6 points).

- The funding request seems reasonable with no problem areas (7-10).

I. Scope

Is this project the first part of a future, larger project?

☐ YES (If "YES", explain.)   ☑ NO, it is a stand-alone project.
Explanation:

Is this project a continuation of a previously begun project?

☑ YES (If "YES", explain.)

Explanation:

The original project was allocated $47,375. After requirements gathering and completing a project plan, it was ascertained the project will need an additional $25,635 to complete.

[This section to be scored by application evaluator.]

<u>Evaluation</u> **(10 Points Maximum)**

- This is the first year of a multi-year project / expenditure or project / expenditure duration is one year (0-5 points)

- The project / expenditure is of a multi-year nature and each annual component produces a definable and stand-alone outcome, result or product (2-8 points).

- This is beyond the first year of a multi-year project / expenditure (6-10 points)

The last part of this criteria involves rating the extent to which a project or expenditure is at an advanced stage of implementation and termination of the project / expenditure would waste previously invested resources.

J. Source of Funds

On a fiscal year basis, how much of the total project cost ($ amount and %) would be <u>absorbed</u> by your agency from non-Pooled Technology and/or IOWAccess funds? If desired, provide additional comment / response below.

Response: FY07: $30,972.98 at 100%

[This section to be scored by application evaluator.]

<u>Evaluation</u> **(5 Points Maximum)**

- 0% (0 points)

- 1%-12% (1 point)

- 13%-25% (2 points)

- 25%-38% (3 points)

- 39%-50% (4 points)

- Over 50% (5 points)

Section II: Financial Analysis

A. <mark>Project Budget Table</mark>

It is necessary to _estimate and assign_ a useful life figure to _each_ cost identified in the project budget. Useful life is the amount of time that project related equipment, products, or services are utilized before they are updated or replaced. In general, the useful life of hardware is three (3) years and the useful life of software is four (4) years. Depending upon the nature of the expense, the useful life for other project costs will vary between one (1) and four (4) years. On an exception basis, the useful life of individual project elements or the project as a whole may exceed four (4) years. Additionally, the ROI calculation must include all _new_ annual ongoing costs that are project related.

The Total Annual Prorated Cost (State Share) will be calculated based on the following equation:

$$\left[\left(\frac{Budget\ Amount}{Useful\ Life} \right) \times \%\ State\ Share \right] + \left(Annual\ Ongoing\ Cost \times \%\ State\ Share \right) = Annual\ Prorated\ Cost$$

Budget Line Items	Budget Amount (1st Year Cost)	Useful Life (Years)	% State Share	Annual Ongoing Cost (After 1st Year)	% State Share	Annual Prorated Cost
Agency Staff						
Software						
Hardware						
Training						
Facilities						
Professional Services						
ITE Services	$47,325			$7,130.64	100%	
Supplies, Maint, etc.						
Other				$	100%	
Totals	$73,325.			$7,130.64		

B. Spending plan

Explain how the funds will be allocated.

 The funds allocated will be used to complete development of this project and to provide funding for hosting for the remainder of the fiscal year.

C. Tangible and/or Intangible Benefits

Respond to the following and transfer data to the ROI Financial Worksheet as necessary:

1. **Annual Pre-Project Cost** - This section should be completed only if state government operations costs are expected to be reduced as a result of project implementation. **Quantify actual state government direct and indirect costs** (personnel, support, equipment, etc.) associated with the activity, system or process prior to project implementation.
Describe Annual Pre-Project Cost:

Quantify Annual Pre-Project Cost:

	State Total
FTE Cost(salary plus benefits):	$0.00
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	$0.00
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	$0.00
Total Annual Pre-Project Cost:	$0.00

2. **Annual Post-Project Cost** - This section should be completed only if state government operations costs are expected to be reduced as a result of project implementation. **Quantify actual state government direct and indirect costs** (personnel, support, equipment, etc.) associated with the activity, system or process after project implementation.

Describe Annual Post-Project Cost:

Quantify Annual Post-Project Cost:

	State Total
FTE Cost(salary plus benefits):	$0.00
Support Cost (i.e. office supplies, telephone, pagers, travel, etc.):	$0.00
Other Cost (expense items other than FTEs & support costs, i.e. indirect costs if applicable, etc.):	$0.00
Total Annual Post-Project Cost:	$0.00

3. **Citizen Benefit** - Quantify the estimated annual value of the project to Iowa citizens. This includes the "hard cost" value of avoiding expenses ("hidden taxes") related to conducting business with State government. These expenses may be of a personal or business nature. They could be related to transportation, the time expended on the manual processing of governmental paperwork such as licenses or applications, taking time off work, mailing, or other similar expenses. As a "rule of thumb," use a value of $10 per hour for citizen time.

Describe savings justification:

<div align="center">

Transaction Savings
</div>

Number of annual online transactions:	180,000
Hours saved/transaction:	.5
Number of Citizens affected:	180,000
Value of Citizen	$10.00
Total Transaction Savings:	$90,000
Other Savings (Describe)	
Total Savings:	$90,000

4. **Opportunity Value/Risk or Loss Avoidance** - Quantify the estimated annual non-operations benefit to State government. This could include such items as qualifying for additional matching funds, avoiding the loss of matching funds, avoiding program penalties/sanctions or interest charges, avoiding risks to health/security/safety, avoiding the consequences of not complying with State or Federal laws, providing enhanced services, avoiding the consequences of not complying with enterprise technology standards, etc.
   Response:
   This will enable the citizens (employers, volunteers, etc) to obtain a criminal history immediately and at any time of day as the program will be available 24 hours a day, 7 days a week. Citizens will no longer be mandated to obtain a history during normal working hours.

5.**Benefits Not Readily Quantifiable** - List and summarize the overall non-quantifiable benefits (i.e., IT innovation, unique system application, utilization of new technology, hidden taxes, improving the quality of life, reducing the government hassle factor, meeting a strategic goal, etc.).

Response:
This application will greatly enhance the quality of life of citizens and will reduce what could be considered as the government hassle factor as citizens will be able to obtain the criminal history through a web interface.

ROI Financial Worksheet	
A. Total Annual Pre-Project cost (State Share from Section II C1):	
B. Total Annual Post-Project cost (State Share from Section II C2):	
State Government Benefit (= A-B):	
Annual Benefit Summary:	
State Government Benefit:	
Citizen Benefit:	
Opportunity Value or Risk/Loss Avoidance Benefit:	
C. Total Annual Project Benefit:	
D. Annual Prorated Cost (From Budget Table):	
Benefit / Cost Ratio: (C/D) =	
Return On Investment (ROI): ((C-D) / Requested Project Funds) * 100 =	

Appendix A. Auditable Outcome Measures

For each of the following categories, list the auditable metrics for success after implementation and identify how they will be measured.

1. Improved customer service
The application provides a means for the customer to quickly and efficiently obtain criminal history record information.

2. Citizen impact
Citizens will be able to quickly determine a person's eligibility for employment. This project will assist in providing a safe environment in schools, churches, volunteer organizations and businesses.

3. Cost Savings
The cost savings for this project can be found in the amount of time the DPS employee will not be required to obtain criminal histories. Their time will be spent performing other duties such as more research, quality control, etc.

4. Project reengineering

5. Source of funds (Budget %)
IowAccess funds will provide 100% of the funds required for the development ($73,325) and first year's hosting fees.

6. Tangible/Intangible benefits
The positive relationship that will be created with the citizens, businesses and organizations by their ability to obtain criminal history record information by using the internet. Additionally, this will provide DCI with reports that have not been available prior to this application.