IOWAccess Project Concept Paper

1. **Email completed copy to the IOWAccess Manager: malcolm.huston@iowa.gov .**
2. **Send signed hard copy to Malcolm Huston, IOWAccess Manager, DAS-ITE, Hoover B Level, Des Moines, IA, 50319-0150.**
3. **Contact ITE or vendor to prepare for project.**

Date: December 17, 2008

Project Name: Breath Alcohol Program Records

Requesting Agency: Department of Public Safety, Division of Criminal Investigation

Is this project in support of a program designated as an Iowa Great Place, pursuant to section 303.3c? No

Project Point(s)-of-Contact: James Bleskacek, 515-725-1500

Project Sponsor: James Bleskacek, 515-725-1500

Business Case Justification: Provide on line access to Breathalyzer records

Expected Results in this Project: The public may obtain all open records concerning the equipment and testing.

Recipients of this Service: the general public, attorneys in particular.

Request *(include dollar amount and description of what will be purchased - i.e. services, hardware, software)*: **$30,000 which will provide for business analysis and initial planning.**

Project Timeline

Phase	Start Month/Year	End Month/Year	Estimated Amount
Scope Analysis	Jan/2009	March/2009	$30,000
Design	March/2009	July/2009	Unknown
Implementation	Jul/2009	Dec/2009	Unknown

Resources Being Contributed *(people or funds being contributed to the project by the sponsoring agency- include role/% of time or amount in dollars)*: **Personnel to assist in the business analysis and design.**

IOWAccess Advisory Council Scoring Factors

Each IOWAccess Advisory Council member assigns a 1 to 10 point value on the following factors to your project proposal. These scores, plus your presentation before the Council and various discussion points, form the basis for the Council's decision on your proposal. Address each factor below:

1. Statutory requirement or other mandate

Is the project required by law or regulation, or is it needed to comply with state IT standards? Does the project fulfill a new mandate or is it required by existing law? Is it required by IT standards or necessary to interface with existing application?

This project falls under existing laws, specifically the Freedom of Information Act. Under the Freedom of Information Act, the state is required to produce articles of evidence that may be used against an individual.

In the field of breath alcohol, these articles include; subject test data, instrument accuracy checks, maintenance records, etc. These are examples of items that the DCI wishes to make accessible to all Iowans through this project, making sure not to provide information such as names, driver's license numbers or any other information prohibited by law.

2. Other funding source(s)

What other funding sources have been investigated and what were the results? Have they been applied for? What is available? Have transaction or other customer fees been considered? Is there a return to the IOWAccess Revolving Fund through transaction fees? Highest ranking for seeking/receiving outside funding.

There are no transaction fees which may be obtained.

The DCI is in the process of converting over the current evidential breath instrument to a new model. This is being done with federal funds through the Governor's Traffic Safety Bureau.

Others options for making this information available are also being explored and considered. These options require manual input of the data and records and are time consuming and may waste resources currently available.

3. Improved citizen access to government information

How is citizen access to government enhanced? Greater convenience? Better reliability? Proportion of manual/in person effort being replaced/eliminated? Faster response time? Easier to use? More secure? The greater the degree of citizen access to information, the more points.

This project will greatly enhance the quick availability of information that is requested by many citizens, especially attorneys. There are currently 183 instruments statewide. There are 12,000 to 15,000 tests given annually.

The Division receives one to six discoveries weekly for information pertaining to the instruments themselves or the tests that were performed using the instruments. These discoveries must currently be obtained by a staff member.

This project will allow the public to obtain the information on line immediately and at their convenience. After reviewing the information, they may then elect to print the information. The information supplied will include accuracy reports, maintenance reports (often used in court) as well as information pertaining to a particular test.

This information is available currently to the citizens of Iowa, primarily through their attorney in a discovery request. Our goal is for citizens and attorneys to have access to this information at their leisure and not have to go through the courts to obtain it.

4. Impact on citizens or the business they conduct with the governmental entity

What segment of the citizen population is affected? Is this just a select group or the public as a whole? How does the proposed solution meet an identified need vs. a "nice to have"? Is the primary beneficiary the citizen vs. does this enhance the entity's ability to serve the citizen? Highest ranking for most citizens served.

The entire citizen population is affected in one way or another by drunk driving but we anticipate most use will be gained by attorneys.

The information also could be useful for law enforcement departments in determining staffing requirements and breath testing inventory.

County attorneys and the Department of Transportation (DOT) may also find the information useful in determining the amount of drunk driving cases which take place in and around their communities.

Local media outlets could access the information to better inform the population of the dangers associated with drunk driving.

5. Enhanced access to government information/ greater interactivity

How does the project enhance citizen one-stop electronic access to government information and transactions or allow for greater interactivity? The most points for "beneficial" use of IT to revamp business processes. Highest for total replacement. Average if adds new dimension to existing service.

At the present time, the citizen must request the information either by mailing a request or by telephone. They must then wait for the staff to research the item, make copies of all documents and mail the documents. The citizen may also elect to come to the main office and pick up the documents. For individuals who live in Iowa, but not near the Des Moines area, this can be a very time consuming and expensive method for obtaining this information. By accessing the information over the web, they are not burdened with having to travel to Ankeny to obtain the information.

This project will allow the citizen to obtain the information when needed immediately thereby eliminating the need to request the information and wait for its delivery.

6. Collaboration

Does your project provide an opportunity for another governmental entity to share the resources or benefits? Can your project be used by another entity? The most points for projects benefiting multiple governmental entities or encouraging collaboration between entities. (May be demonstrated by letters of commitment from other entities.)

All law enforcement agencies could also benefit by accessing the information online. The Iowa Governor's Traffic Safety Bureau could also benefit by using the information to determine the success of sTEP programs and other OWI enforcement programs.

Media outlets would also have a source to compile statistical data on the amount of OWI cases.

The Department of Transportation would have a source for determining areas that require additional law enforcement presence when dealing with OWI offenders.

7. Chance for success

Describe why the project is well placed for success. Realistic timeline? Previous success rate? Sufficient support staff? Upper level management commitment? More points for projects with low technical and business risk and high chance of success.

The Division is currently in the process of obtaining new instruments. This will allow us to begin the use of these instruments with on line access to their information. It is the best time to begin this project as we will be starting with all new information.

There are other states or county agencies that already have similar programs to this in place. One such agency, The Los Angeles County Sheriffs Office website has a link to access this information:

http://app1.lasd.org/alcohol/ssb_alcohol.cfm

8. Estimated financial cost/benefit

Provide a rough calculation of costs vs. benefits. The higher the ratio of estimated benefit to the estimated cost, the more points.

Currently, it takes a staff member approximately 2 hours to obtain all the information needed for each request.   Based on DAS/ITE's current rates, we anticipate recovering the amount spent on this project within 78 months. This is based on obtaining six discoveries weekly and the total project cost being $200,000. The figure for the project is an extreme ball park figure as we do not know at this time what the cost might be.

9. Transparency

How does the project enhance open and transparent government for citizens? More points for project with high usability in allowing citizens to quickly reach information or services.

The project provides immediate access to information that is publicly available. The information is already collected, but is not in a form that is accessible to the public without having to contact an attorney or subpoena the records through the courts.

10. Efficiency

Why is this project the "best" solution for the need? Are there alternatives and if so, why are they inadequate? More points for project that replaces outdated/legacy system or localized information access.

Manual processes require more time from staff members and are always open to human error. By allowing lawyers and the general public the tools by which to obtain their own information, this will free up time Criminalists and other staff members spend doing these requests.

Criminalists already get between 400-500 subpoenas per year and are required to certify 180 evidential breath instruments throughout the state while training approximately 6000 certified officers. The state of Iowa currently employs two individuals to accomplish this task.

By allowing everyone access to this information, the Criminalists can focus on their primary duties to ensure the breath alcohol program runs as efficiently as possible.

Acknowledgement of Conditions for
Approval of IOWAccess Project

Project Approval Conditions

IOWAccess Revolving Fund project approvals are based upon the application materials submitted to the IOWAccess Advisory Council and approved by the Director of DAS. Recipients of IOWAccess projects are subject to the following conditions.

- The Iowa Accountable Government Act, Iowa Code Chapter 8E
- Information technology standards and practices that that are applicable to "participating agencies", the Office of the Governor, and elective constitutional or statutory officers pursuant to Iowa Code Section 8A.206.
- Iowa Administrative Code Section 11-25(8A) - Information Technology Operational Standards.
- Policies and procedures of the IOWAccess Advisory Council and DAS as outlined in this acknowledgement or published on their websites.

IOWAccess Project Policy Guides

The acceptance of an IOWAccess Project is based on the following:

- Sponsoring agency is responsible for the efficient and effective administration of IOWAccess Projects through the application of sound management practices.
- The IOWAccess Project Process is guidance only and describes a customary sequence used in software development. As such, sponsoring agencies are not required to conform to the IOWAccess Project Process.
- Sponsoring agency assumes responsibility for using IOWAccess funds in a manner consistent with program objectives and the terms and conditions of the IOWAccess Project.
- Sponsoring agency will commit appropriate resources in a timely manner to the project to prevent undue delay in project completion.
- Sponsoring agency will be responsible for compliance with audit requirements.
- Approval of one phase of an IOWAccess project does not mean that other phases will be approved. Each phase is subject to separate approval.

Guidelines for Costs

Allowable costs

To be allowable under IOWAccess Projects, costs must meet the following general criteria:

- Be necessary and reasonable for proper and efficient performance of IOWAccess Projects.
- Be authorized or not prohibited under State or local laws or regulations.

    ✓   Not be included as a cost or used to meet cost sharing or matching requirements of any other State or Federal Project in either the current or a prior period, except as specifically provided by State law or regulation.

Reasonable costs

A cost is reasonable if, in its nature and amount, it does not exceed that which would be incurred by a prudent person under the circumstances prevailing at the time the decision was made to incur the cost. In determining the reasonableness of a cost, consideration shall be given to:

- Whether the cost is of a type generally recognized as ordinary and necessary for the operation of the sponsoring agency or performance under the IOWAccess Project.
- Market prices for comparable goods or services.

Composition of Cost

Typical costs chargeable to IOWAccess Projects are:

- Cost of materials acquired, consumed, or expended specifically for the purpose of those Projects.
- Equipment and other capital expenditures detailed in the application and previously approved as part of the Project.

Amounts not recoverable as costs under one State or Federal Project may not be shifted to another State or Federal Project, unless specifically authorized by State or Federal legislation or regulation.

Availability of Funds

DAS Finance processes the disbursement of all funds for IOWAccess Projects. Qualifying expenditures for goods and services obtained from other than DAS-ITE or Iowa Interactive, LLC, must be paid by the sponsor and submitted to DAS for reimbursement. In order to facilitate the timely processing of IOWAccess Project reimbursements, entities must use the following process:

- The request must be submitted by the sponsor in writing or through e-mail to the IOWAccess Manager.
- The request must include the following information:
    - ✓ Identification of the IOWAccess Project for which reimbursement is being sought,
    - ✓ The amount of reimbursement requested,
    - ✓ Period of time covered by request,
    - ✓ A comprehensive description of the items covered by the request, and
    - ✓ Copies of any supportive documentation (e.g. vendor invoices, documentation for completed work).
- The IOWAccess Manager will review the supporting financial information and evaluate it against the originally approved project.

- When satisfied that the request meets the stated requirements, the IOWAccess Manager will recommend the request for approval for payment and submit it to DAS Finance for processing.
- In no case will the total reimbursement for each phase exceed the approved amount of the Project phase.

The sponsor seeking reimbursement of expenses is responsible for retaining all necessary documentation pertaining to the relevance and results of the work performed and will provide such documentation upon request. DAS Finance will refer the Auditor of State to the sponsor should there be any questions about the expenditures associated with the Project.

Sponsor Monthly Status Reports

No later than the 21st day of each month the sponsoring agency shall submit a status report to the IOWAccess Manager if work is being performed by a developer *other than DAS-ITE or Iowa Interactive, LLC*. This status report should include:

- A short narrative of the accomplishments for the month.
- Descriptions of any changes in tasks, resources, or issues materially affecting the project plan and, if necessary, a schedule with new target dates provided.

Changes to a Project

All changes to the Project, or the proposal that resulted in the Project, must be reviewed by the IOWAccess Advisory Council. The Sponsor must be prepared to appear before the IOWAccess Advisory Council to answer questions and provide any clarifications necessary prior to any action by the Council regarding a change to the Project. Reasons for requesting a change to the amount of the Project include, but are not limited to:

- Changes in the scope or objectives of the Project.
- Changes in the amount of project funding.
- Carryover of approved funding for a period of more than one year from the date of approval of the original funding.

All changes to an Project recommended by the IOWAccess Advisory Council must be subsequently approved by the Director of DAS.

Project Disputes

Iowa Code 679A.19 DISPUTES BETWEEN GOVERNMENTAL AGENCIES.

"Any litigation between administrative departments, commissions or boards of the state government is prohibited. All disputes between said governmental agencies shall be submitted to a board of arbitration of three members to be composed of two members to be appointed by the departments involved in the dispute and a third member to be appointed by the governor. The decision of the board shall be final."

Sponsor Acceptance

Signing below will signify that sponsor acknowledges and agrees to the IOWAccess project approval conditions as defined in this document.

Sponsor Signature	IOWAccess Manager Signature
Date	Date