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
June 29, 2009
Project Name
Web-Based Local Government and Annual Report Database – Expansion to School Districts
Requesting Agency
Iowa Department of Management
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 *(include name and phone number)*
Jim Nervig 515-242-5240; Lisa Oakley 515-281-8485
Project Sponsor *(include name and phone number)*
Dick Oshlo 515-281-5201

Business Case Justification
Goal: To establish a centralized database and application with Internet accessibility that would allow school district officials to prepare and certify budgets each year. This database and application will be added to the web-based local government and annual report database developed last year. School districts currently prepare budgets using an Excel file that is uploaded through the web to the Department of Management. The data is extracted to the department's mainframe system. Various mainframe Cobol programs are used to audit the budget data and calculate school foundation aid. The goal of this project is to provide functionality and features at least comparable to the existing Excel spreadsheets and mainframe programs currently used. This architecture will eliminate the current process of the Department of Management sending revised budget information back to school districts through the mail.

Importantly, the goal is also to make budget information available on-line as soon as the data is reported by the school district authority and again, after the school foundation aid formula is calculated and finalized by the Department of Management. The school district budget information will also be available to the general public.

Project Purpose: This project will create a web-based application for the school district budget process, eliminating the need for the Department of Management to deliver and support individualized Excel files to local governments on an annual basis.

By going to web entry and a centralized database, school districts will be able to directly load budget data into, and edit the data on, a SQL database. This system will be able to make preliminary budget data available on-line, saving significant time and effort for the public and any other parties, looking for such data. Currently someone wanting preliminary data for a school district must contact that school district directly. The new system would eliminate that

process and allow them to get the preliminary data from the database via the Internet, with a minimum of effort.

Background: The Iowa Code requires school districts to prepare and adopt a budget annually by April 15. The Department of Management provides an Excel workbook that is used to create files for reporting the data. The Department of Management has to make sure the workbooks will work over the wide range of Windows operating systems and office suites used by school districts. The workbooks contain numerous error checks to ensure data is entered correctly.

The completed budget files are then uploaded to the Department of Management's website. After County Auditors' certify the budgets, selected data is then extracted from the Excel files and imported into the existing mainframe system. After the Department of Management checks for errors and calculates the school foundation aid formula using mainframe Cobol programs, the resulting final budget data is posted to the website for downloading.

For those interested in detailed information from school district data, reports can be generated upon request. Some users (Department of Education, Legislative Services Agency, Iowa Farm Bureau) request the entire database.

Expected Results in this Project
The move to a web-based budget database for school districts will allow the general public and other interested parties to have web access to school district budgets. School district staff will be able to enter budget data using a standardized platform. Moving to a web-based system will allow the state to make essential information about school district budgets available to school districts and the public for their general usage. This will help to reduce errors and expedite availability of information.

Recipients of this Service
General Public
School District Officials
Iowa County Auditors
Iowa Department of Management
Iowa Department of Education
Iowa Department of Revenue
Legislative Services Agency
Iowa Association of School Boards
Iowa Association of School Business Officials
Iowa Farm Bureau Federation

Request *(include dollar amount and description of what will be purchased - i.e. services, hardware, software)*
This request is for $30,000 for the Scope Analysis phase.
Project Timeline

Phase	*Start Month/Year*	*End Month/Year*	*Estimated Amount*
Scope Analysis	07/2009	10/2009	$30,000
Design			
Implementation			

Resources Being Contributed *(people or funds being contributed to the project by the sponsoring agency- include role/% of time or amount in dollars)*

Department of Management staff will be available to work with ITE staff in defining the scope of the project.

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?

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.

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.

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.

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.

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.)

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.

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.

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.

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.

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