



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

Project Name: Transparency - Searchable Budget Database

Requesting Agency: Department of Administrative Services

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:

Project Manager: Darrell Fremont – 515-242-6009

Technical Leads: Tony Bibbs – 515-281-6125

Project Sponsor:

John Gillispie – 515-725-4707

Business Case Justification

State agencies spend money every year making their information more accessible to taxpayers. Examples of this exist for the good of the community (e.g., Sex Offender Registry, Restaurant Inspections), for ease of doing business with the State (Online job listings, RFPs, legal cases and proceedings) and for watchdog and regulatory purposes (Campaign Finance, Administrative Rules and Open Meeting Minutes). Each individual point of information has a certain measurable cost and a somewhat less-measurable benefit.

In spending this money, individual programs, bureaus and departments make certain judgments about the value of the data, the way it should be interpreted and how it will be presented. In doing so, they automatically apply their own biases and limitations to how that information can be used, often for the operational or procedural purposes for which it was collected (e.g., licensing, casework, investigation, etc.). As a consequence, the data being offered today is inherently limited by its current usage by the government.

The state of the Internet today is almost unrecognizable from the Internet of even five years ago. Millions of people regularly interact with each other in ever-expanding social networks that are governed by individual acquaintance as well as shared interests or locations. Web-scale services such as e-mail, geographic mapping, and collaborative editing are freely available and widely adopted. Individuals and communities of interest routinely invest their time and effort to investigate and validate the information presented by industry, government and the media. New and innovative combinations of information are the standard, not the exception.

Expected Results in this Project

The State of Iowa can provide its citizens with raw data on any number of subjects including budgets, expenditures, licenses, cases, projects and many others. Access through a flexible, scalable framework will

provide an interesting crowd-sourcing opportunity and a very cost-effective and maintainable long-term resource for the State. A public-access database provides the basis of such a framework, providing maximum flexibility for anyone to use, and placing as few limits as possible on the organization or assembly of the data.

Along with the data, the State will also provide a community website for those who use the data. The site should dispense reference information about the data that is available, accept requests for new types of data, and facilitate discussions by interested parties, including private citizens and government representatives. The site can also drive awareness and web traffic to the most innovative and popular solutions created with State data.

Recipients of this Service:

The public, members of the news media, government agencies, other interested parties

Request: Scope and Design funding of \$100,000.00

Project Timeline

<i>Phase</i>	<i>Start Month/Year</i>	<i>End Month/Year</i>	<i>Estimated Amount</i>
Scope Analysis	May 2009	June 2009	\$20,000.00
Design	June 2009	August 2009	\$80,000.00
Implementation			

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

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?

No

Does the project fulfill a new mandate or is it required by existing law? No

Is it required by IT standards or necessary to interface with existing application? No

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.

At this time, no other funding sources are 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.

Citizen access to state government data was limited to reports, requests, news media and other pull technology methods. By providing a portal to government expenditure raw data, the citizen can create or utilize queries to copy and import into other software applications to personalize and consume the data anytime for little or no cost. The community of users of the Transparency website will also provide a vehicle for taxpayers to provide feedback to government about the spending trends and place emphasis on spending to programs that work, and limiting spending on programs that don't.

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 impact and the number of citizens will grow over time. The early adopters will more than likely be younger, more technical taxpayer, along with the media and other interested parties.

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.

The Transparency project brings together into one place, all state government expenditure data. Access to this raw data has never been provided or proposed in the past.

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.)

Benefits of the projects will be shared by the entire state government enterprise. As the Recovery project moves forward, the Transparency project will draw from the collaborative efforts of those state government agencies. The Transparency of general fund expenditure data will expand the reach of that collaborative effort to include all executive branch agencies.

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 chance for success is very high. Most of the raw data already exists and just needs to be reformatted and vetted in such a way to be consumed by the public in new and innovative ways.

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.

As the project will be pushed out in phases, the cost of the project is not known. However, due to the information that will be provided, the benefit to cost ratio will be high.

9. Transparency

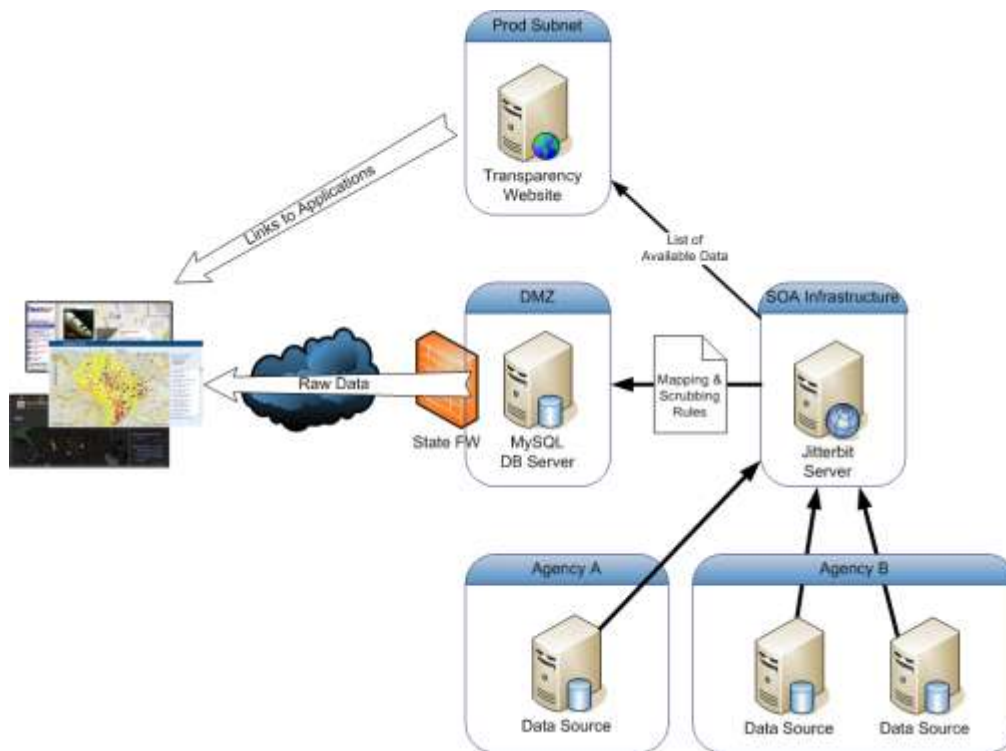
How does the project enhance open and transparent government for citizens? More points for project with high usability in allowing citizens to quickly reach information or services.

State government can make information available as reports, maps and charts, but it can also make it available as data. Specifically, state government can provide the raw source data that is the foundation for reports and statistics. The first benefit of this approach is that it provides greater transparency of government. Any individual or group would be able to check the validity of statistics and conclusions drawn from information produced by state government. This provides another avenue for citizens to participate and collaborate with state government.

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.

The technical solution being proposed offers the best uses of current tools to make expenditure data available to the public in a very convenient and community based approach while still protecting state government assets. [See diagram on next page]



Public Database – A relational database that is available to the public for querying using standard SQL syntax. This provides maximum availability of the data to citizens and imposes the fewest possible limitations on how the data can be assembled or viewed.

Data Snapshots – For more intensive uses of the public data, experience shows that offering entire data files for download is more efficient than live querying. See the Iowa Sex Offender Registry as an example.

Website and Forums – The Geeklog CMS was deployed and used very successfully for the Flood 2008 website.

Enterprise A&A – This state-wide account management system can provide citizens with a common, reusable account for use at many State websites. This system provides an instant, “out of the box” facility for registering potentially thousands of users for access to the website. Use of ENTAA for authentication is already covered by the Shared Authentication Utility starting in FY10, so there is no incremental cost after July 1, 2009. Until then, ENTAA costs \$.04 per successful login – 100 logons per day, every day would cost approximately \$120 per month.

Jitterbit – As part of the statewide SOA Infrastructure, this tool is already deployed to production, and can integrate and transform data between databases, web services and other data formats. Integration can be triggered on scheduled and event-driven bases. Use of this tool for data processing is already covered by the SOA Infrastructure Utility, so there is no incremental cost.

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 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
