

Project Tracking No.:

## Return on Investment (ROI) Program Funding Application

This template was built using the ITD ROI Submission Intranet application.

**FINAL AUDIT REQUIRED:** The Enterprise Quality Assurance Office of the Information Technology Department is required to perform post implementation outcome audits for all Pooled Technology funded projects and may perform audits on other projects.

This is an IOWAccess Fund Request. Amount of funding requested:

**\$90,000.00**

### Section I: Proposal

**Date:** January 4, 2007  
**Agency Name:** Iowa Civil Rights Commission  
**Project Name:** Case Management  
**Agency Manager:** Ralph Rosenberg  
**Agency Manager Phone Number / E-Mail:** 515-242-6537 / [Ralph.Rosenberg@iowa.gov](mailto:Ralph.Rosenberg@iowa.gov)  
**Executive Sponsor (Agency Director or Designee):** Ralph Rosenberg

**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 is the second phase of the project, which will provide citizens, businesses, lawmakers, public officials and stakeholder groups convenient and reliable access to information on the work and case handling of the Iowa Civil Rights Commission (ICRC). The program will ensure the availability of general data regarding the Commission's work including annual reports, trend data and other demographics as well as the status of discrimination in Iowa. The program will also facilitate sharing of information to prevent violations of our civil rights laws.*

*The application will allow those filing a complaint, and their attorneys, a user-friendly means to file on-line. This will also allow the complainants, respondents and their attorneys the ability to review the information related to the case as well as its status. Not only will this give the concerned parties the ability to access current case status but it will free time for ICRC employees, allowing them to spend more time performing duties more beneficial to a wider range of recipients.. Under our statutory authority and corresponding administrative rules, there appears to be a requirement that complaints be submitted by hard copy only. If necessary, both statutory authority and administrative rules can be amended.*

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

*Forms to file discrimination complaints are currently available for download from the agency's website. However, after these forms are downloaded they must be typewritten or filled in by hand. After receipt by ICRC, employees must then input that same information into the current computer application. There are many organizations which request or demand information. The program will provide*

*needed reports utilizing up-to-date information in a more accurate and expeditious manner. This too will allow the ICRC staff more time to perform other duties related to the elimination of discrimination in Iowa.*

*Complaints will be made available to be electronically completed online. Once complaints are filed with the Iowa Civil Rights Commission the party filing the complaint, as well as the party against whom the complaint is filed, are asked to respond to a series of questions (questionnaires) regarding the complaint. These will be available from the Commission's website, with the capability for the parties to respond online. Rapid completion of the questionnaires significantly improves the timeliness of the process. It is likely that the parties will find the electronic filing of evidence easier and this will (1) increase the information provided to the Commission and (2) increase the number of parties who provide information. Electronic filing will also minimize the possibility that the responses will be "misfiled" with the wrong case. And besides greatly decreasing the likelihood, and the excuse, that the documents were lost in the mail, the new application will allow ICRC employees to easily determine if the questionnaire has been submitted in a timely manner.*

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

*The public needs and expects greater access to government. The Iowa Civil Rights Commission wants to make this a reality for the people it serves. The program will provide current and accurate data regarding the agency so that citizens are informed about the agency, the process and jurisdiction, the laws surrounding discrimination, the demographics and demographic trends of the cases worked and the status of discrimination itself in our state.*

*The program will also provide the complainant and respondent immediate information on the status of their case and the ICRC employee currently working on the case.*

**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?

*The current program is written using C Sharp, a form of the .NET technology and Microsoft SQL. However, the application is only available to the ICRC employees. The proposed project will further advance the direction ICRC is taking. The proposed project will make the program available to the general public as well as improve upon the current processes and workflows.*

## **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:**

*The ICRC is required to provide reports on discrimination within the state of Iowa. They are currently unable to provide real time reports to the public via their website. This will allow the ICRC the ability to provide many reports on various aspects of discrimination in Iowa to the public, broadening the public's knowledge of the trends*

*in civil rights enforcement in the state. In addition, each party to a complaint has a right to know the status of their case. Currently, that can only be obtained by either written or telephone communications with the Commission office, and then only during regular business hours. The new program will allow a party to get status at times convenient to them and without interrupting the work of staff members.*

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:**

*The ICRC is required to provide reports on discrimination within the state of Iowa. They are currently unable to provide the reports simply and in a timely manner. Under Chapter 216 (i.e.216.5) of the Code of Iowa and chapter 161 (i.e. 161-3.5 and 3.6) of the Iowa Administrative Code, ICRC is required to respond to complaints and notify businesses of complaints within specific time periods, as well as make preliminary determinations regarding further processing within specific time periods. The new application will enable the public to see how well the Commission is performing in meeting those time lines.*

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

YES (If "YES", explain.)

**Explanation:**

*Safety extends to being free from discrimination and loss of dignity, humanity and economic loss. To achieve this goal of safety, ICRC provides a structure of civil rights enforcement. In our country, our civil rights statutes lay a framework of legal protections of freedom and equality. Civil rights laws proscribe the manner in which people should be valued and treated in our democratic society. Our civil rights laws speak to the humanity in each individual and their right to be treated to respect, dignity and hope. The Civil Rights Commission provides a cost effective law enforcement mechanism to achieve the goals of safety and security, and this application will help them provide that protection in an efficient and user-friendly manner.*

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.]

**Evaluation (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.



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## E. Impact on Iowa's Citizens

a. Project Participants - List the project participants (i.e. single agency, multiple agencies, State government enterprise, citizens, the media, 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: Iowa Civil Rights Commission, Governor's Office, Iowa Legislature, Parties to complaints and their counsel; business groups, advocacy groups, citizens of Iowa, and HUD and EEOC (federal contractors).*

*Participant Involvement: ICRC employees will utilize this program to perform their duties. Phase 2 of the Case Management system will enable the employees to perform their duties more efficiently as well as provide information in a timelier manner and with less effort.*

*Governor's Office: The Governor's Office will have immediate access to data as needed.*

*Iowa Legislature: Members of the Legislature will have immediate access to data enabling them to determine the status, extent, and trends of discrimination within the state of Iowa. They will also be able to determine the progress the Commission is making in resolving cases.*

*Parties to complaints, respondents and their counsel: The program will immediately provide the status of the complaint and the ICRC employee who is currently working on the complaint. It will also provide a means to complete forms and questionnaires on line.*

*Business Groups, Advocacy Groups, the Media, and Citizens will have immediate access to public information data through reports.*

*HUD and EEOC will have immediate access to their reports.*

**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.

*The program will greatly increase both effectiveness and efficiency. Certain employees may see work savings that could approach one hour per day. The streamlining and efficiency of the workflow will be increased.*

*Iowa citizens will have access to reports detailing how Iowa is doing regarding the elimination of discrimination. It will provide complainants, respondents and their counsel access to the status of the case and the name of the employee currently working on the case. Citizens will also be able to complete complaint forms and questionnaires online.*

*State government officials will have immediate access to the reports that they require.*

**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?

*This will provide citizens with the facts and information they have been requesting. It will also provide citizens with the facts surrounding the work of the Iowa Civil Rights Commission and the progress being made in enforcing the civil rights laws of the state. Greater access to laws and rules surrounding civil rights should prevent future problems. It will also impact citizens filing or tracking cases with the Commission, as they will now be able to access a great deal of information on-line and at their convenience.*

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

*This project definitely impacts the citizens in respect to this item. Citizens will be impacted in that they will be able to submit a discrimination complaint and have more of an opportunity to view the status and ensure all forms are completed and submitted in a timely manner. The Iowa Civil Rights Commission will be able to address discrimination complaints in a more efficient manner because of the resultant timesavings associated with completion of this project. This in turn could lead to increased safety for individuals experiencing discrimination.*

<b>[This section to be scored by application evaluator.]</b>	
<b><u>Evaluation (15 Points Maximum)</u></b> <ul style="list-style-type: none"><li>• Minimally directly impacts Iowa citizens (0-5 points).</li><li>• Moderately directly impacts Iowa citizens (6-10 points).</li><li>• Significantly directly impacts Iowa citizens (11-15 points).</li></ul>	

[This section to be scored by application evaluator.]

**Evaluation (10 Points Maximum)**

- Minimally improves customer service (0-3 points).
- Moderately improves customer service (4-6 points).
- Significantly improves customer service (7-10 points).



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## **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 do not have access to the system. Citizens and counsel must call or write to determine the status of the complaint. This results in lost time, frustration and aggravated citizens. The ICRC has a very small staff and this level of manual interaction is very time consuming, creating a domino effect where the time spent by an employee looking for case information could be better spent actually performing case work. Reports would be more efficiently prepared and more accurate. Citizens, policymakers, and stakeholders would all gain increased access to these reports.*

Provide a post-project or post-expenditure (after 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 will interact with the proposed system. In particular, note if the project or expenditure makes use of information technology in reengineering traditional government processes.

**Response:**

*The ICRC needs to reduce operating costs, improve communication with citizens and government agencies and provide accurate reports in a timely manner. The new program will accomplish the following through the online service:*

- *Enable citizens, counsel, companies and agencies to view the status of their case*
- *Determine which employee is working on the case*
- *View reports*
- *Complete forms and questionnaires*

*All the above will be able to be accomplished online. This will provide the employees with additional time to spend on the actual processing of cases. This, in turn, will result in quicker resolution of cases. Citizens will access the system through the Internet. Selected information, such as case status and reports, will be available to those persons accessing the program online. The current program will use information technology to reengineer the project in order to provide Internet access to the public and to limit the public's access to only that information they are permitted to view.*

[This section to be scored by application evaluator.]

**Evaluation (10 Points Maximum)**

- Minimal use of information technology to reengineer government processes (0-3 points).
- Moderate use of information technology to reengineer government processes (4-6 points).
- Significant 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.

*Current estimates indicate a start to finish time frame of 24 weeks.*

[This section to be scored by application evaluator.]

**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, ...

	FY07		FY08		FY09	
	Cost(\$)	% Total Cost	Cost(\$)	% Total Cost	Cost(\$)	% Total Cost
State General Fund	\$0	0%	\$0	0%	\$0	100%
Pooled Tech. Fund /IowAccess Fund	\$90,000	100%	\$0	100%	\$0	0%
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%
<b>Total Project Cost</b>	<b>\$0</b>	<b>0%</b>	<b>\$90,000</b>	<b>0%</b>	<b>\$0</b>	<b>100%</b>
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 first phase of the project improved on the older application and was engineered to make the application ready for phase two. This is the second phase of the project making the program Internet accessible to the public.*

[This section to be scored by application evaluator.]

**Evaluation (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.

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**J. Source of Funds**

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

**Response:** \$90,000 at 100%

This should be 0%. They are looking for 100% IOWAccess funding.

[This section to be scored by application evaluator.]

**Evaluation (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. Project Budget Table**

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:

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

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						
ITD Services	\$90,000					
Supplies, Maint, etc.						
Other						
<b>Totals</b>	\$90,000	3		\$6,76800		\$36,768.00

## B. Spending plan

Explain how the funds will be allocated.

*The funds allocated will be used to develop this project. This includes costs associated with development and testing of the application.*

## 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:**

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

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

**Transaction Savings**

Number of annual online transactions:	2000
Hours saved/transaction:	1
Number of Citizens affected:	2000
Value of Citizen Hour (half of our inquiries will come from attorneys – average rate for attorneys/hour = \$150/hr - \$150+10 = \$160/2 = \$80/hr)	\$80
Total Transaction Savings:	\$160,000
Other Savings (Describe)	
<b>Total Savings:</b>	<b>\$160,000</b>

**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:**

**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 proposal will allow for a more streamlined program allowing the ICRC employee to more quickly process claims. The proposal will also allow the public to access particular case information as well as reports and to complete complaint and questionnaire forms online.*

*Our mission is to provide better communication to citizens, state government officials, federal government officials and interested groups.*

<b>ROI Financial Worksheet</b>	
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):	
<b>Benefit / Cost Ratio: (C/D) =</b>	
<b>Return On Investment (ROI): ((C-D) / Requested Project Funds) * 100 =</b>	

[This section to be scored by application evaluator.]

**Evaluation (15 Points Maximum)**

- The financial analysis contains several questionable entries and provides minimal financial benefit to citizens (0-5 points).
- The financial analysis seems reasonable with few questionable entries and provides a moderate financial benefit to citizens (6-10 points).
- The financial analysis seems reasonable with no problem areas and provides maximum financial benefit to citizens (11-15).




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## 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

*This proposal will enable complainants, respondents and their counsel involved in a case to quickly view the status of the case and to complete complaint and questionnaire forms online.*

*This proposal will allow for wider dissemination of information than is presently being provided by the Commission.*

*The proposal will allow the Commission employees to more quickly process cases. It is difficult to attach a value to a wider range of information being made available to the public when this information was not readily available to the public at any previous time.*

### 2. Citizen impact

*Discrimination cases will be more quickly worked and resolved.*

*Complainants, Respondents, and their counsel will be able to view status online and fill out complaint and questionnaire forms online.*

*The public can retrieve reports.*

### **3. Cost Savings**

*It is difficult to attach a value to a wider range of information being made available to a significantly larger audience. The cost savings include employee time and effort on working cases, answering telephones, supplying information, reviewing hard copies of cases to find information that will be readily found online and gathering information for reports.*

### **4. Project reengineering**

*Measures: Iowa Civil Rights Commission wants to reduce costs by improving employee performance. The ICRC would also like to improve communication with citizens by utilizing an online service to allow them access to case information as well as reports.*

### **5. Source of funds (Budget %)**

*Investment in this project will allow the Commission to provide vital information to citizens, government and agencies in a more efficient, timely manner. In a time of scarce resources, this automated system will allow for reduced paper costs, minimize inbound phone calls and decrease staff administration time.*

### **6. Tangible/Intangible benefits**

*The good rapport that will be created with the citizens, companies and counsels involved in cases by their ability to view the cases status online and complete documents online cannot be measured. In addition, the value added with the ability to view the reports online is immeasurable.*

*The savings realized by ICRC employees having the ability to more quickly process cases as well as review a case more quickly by viewing the data online can be measured in the increased workload that is processed.*