

## **National Driver History Initiative Sample Proposal Excerpts**

The following sample excerpts were taken from a proposal which received funding in FY 1998 and are for information purposes only. (The name of the state and the agencies involved have been removed to make it more generic.) The samples are broken out by the areas which should be covered in your responses as outlined in the solicitation. Please keep in mind that they are merely examples and have been abridged. Depending on the nature of your proposal, you may need to provide more detail than what is presented here, or you may not. Our intent is to provide an idea of the tone and content we are looking for so that we may evaluate your proposal as thoroughly as possible.

### **1. Lead Agency for the Project**

*[This section should clearly indicate the state agency that will have overall control of the project, including a primary contact.]*

### **2. Interagency Working Group**

*[This section should identify the agencies that will participate in the project, including, at a minimum, the DMV, court system, prosecutors, state law enforcement, Governor's Highway Safety Representative, MCSAP program representative, and other parties that are appropriate to the scope of your proposal. Each agency should include a primary contact.]*

### **3. Analysis of Existing Systems and Procedures**

*[This section describes the current business processes, procedures, and information systems which require improvement, along with possible barriers to success or other problems that may affect the timely reporting of conviction data to a driver's history.]*

#### **Sample excerpt:**

The current citation process, which includes citations for both commercial and non-commercial drivers, relies very heavily upon manual activity performed by law enforcement, the courts, and DMV staff.

Law enforcement officers are responsible for issuance of the citations. When issuing citations, the officers retrieve the driver record to confirm data including, but not limited to, the status of the personal and commercial driver license, driving privileges, violation information, physical description of the driver, and residence address. The driver record information which is retrieved by law enforcement is stored in the DMV Driver database and is maintained by the DMV. It is critical that this information is accurate in order for the officer to take appropriate action.

If the appropriate action to be taken is issuance of a citation to the driver, the officer manually completes the citation form. The physical citation will be delivered to the appropriate jurisdiction

for processing by the court. Citation processing procedures vary depending upon which court handles the citation. Some citations may be scanned into an imaging system and the data is also entered by staff into a proprietary automated system. Information regarding the citation will not be forwarded to the DMV for entry on the driver's record until a disposition or failure to appear (FTA) occurs. If a disposition or FTA occurs, the courts will send the physical citation document to the DMV for recording on the driver's record. Some courts in the state have no automated system supporting their citation processes.

Citations from jurisdictions both inside and outside the state are received daily by the DMV. Receipt of the citations prompts a number of manual processes including sorting the documents, microfilming each citation, routing to appropriate units for review, review for determination of appropriate codes and actions to enter into the automated system, and entry of pertinent data on the driver's record. Due to the large volume of citations received daily, backlogs occur which prevent the immediate entry of the information. The normal backlog prevents data entry of the citation information from occurring until approximately 2 - 3 weeks after receipt of the citation from the courts.

Recognizing that the manual process could be greatly improved by automating the transfer of citation information, the DMV, courts, and state law enforcement are coordinating an effort to allow citation data to flow electronically from the issuance of the citation to the recording of the information with the courts.

Although the largest deficiency in the citation process, impacting both commercial and non-commercial drivers' records, is the delay in reflecting information on the drivers' records due to the manual process, additional unique problems related specifically to commercial drivers also exist in the process. The two primary issues which impact the accuracy of the driver history in relation to citations issued to commercial drivers are:

- Citations are not accurately recorded due to inaccurate completion of information on the citation by the law enforcement officer who issued it. These errors are caused by a general misunderstanding regarding what qualifies as a commercial vehicle. Additional training for law enforcement in this area would assist in alleviating this problem.
- When a commercial driver moves here from another jurisdiction, only mandatory citations are transferred to the driver's record. The driver history will, therefore, not reflect all citations. We store all citations reported by the foreign jurisdiction in a separate database, referred to as the Drivers Out-of-State database, however, this information does not become part of the driver's history information and is not distributed when inquiries are made to the driver record.

*[The following describes the information system(s) in place to support the current business processes.]*

**Sample excerpt:**

The organizations involved in the citation process rely upon various systems to support their individual processing needs.

- Law enforcement offers an interface to all law enforcement agencies in the state to the DMV database to retrieve inquiry information. Driver Summary information and Abstract of Driver Records (ADRs) can be retrieved via this network. The communication protocol being used is a point-to-point variant of 2780-BSC (bisynchronous) protocol.
- One court uses a SEQUENT platform to retrieve inquiry information from DMV, to support their application and to initiate the FTA file transfer process. The communication protocol is emulating a cluster of 3270 terminals using 3270-BSC protocol.
- A minimal number of part-time municipal courts are not automated and rely on a totally manual system. These courts obtain driver record information through written requests to DMV for abstracts of driver records (ADRs).
- The judicial system uses an IBM 370-compatible platform using LU 6.2 protocol. OAC supports the JIS application and the file transfer of FTA information from JIS to DMV.
- DMV relies upon a Unisys 2200 with mainframe applications, including the Drivers database, written in COBOL. The database is Unisys Data Management System (DMS) 1100, a hierarchical database.

These systems currently interface with one another primarily for inquiries. The current automated FTA transfer process uses and manipulates files transferred from the court systems to update the DMV Unisys system. Although there are errors in the current FTA process, these are due to specific programming errors which require resolution rather than an inability of the systems to function in support of a common process. Therefore, it is expected that an electronic transfer process for citations could be supported in the current system environment.

*[This section should describe what diversion/deferral programs—if any—are used by your state, and the impact they have on the timely and accurate posting of conviction data to the driver history record.]*

**Sample excerpt:**

When petitioning for deferred prosecution, the petitioner must indicate that the wrongful conduct was caused by alcoholism, drug addiction, or mental problems for which treatment is needed and that if treatment is not obtained, the probability of reoccurrence is great. The petitioner must agree to pay the cost of diagnosis and treatment, if financially able to do so. An assessment by an appointed treatment agency is scheduled and the agency prepares a report for the court stating its findings and recommendations.

Before the court will enter an order deferring prosecution, the court [must make] specific findings that:

- the petitioner has stipulated to the admissibility and sufficiency of the facts as contained in the written police report
- the petitioner has acknowledged the admissibility of the stipulated facts in any criminal hearing on the underlying offense or offenses held subsequent to revocation of the order granting deferred prosecution

- the petitioner has acknowledged and waived the right to testify, the right to a speedy trial, the right to call witnesses to testify, the right to present evidence in his or her defense, and the right to a jury trial
- the petitioner's statements were made knowingly and voluntarily

If prosecution is deferred, the court sends a deferred prosecution form to DMV rather than the citation. DMV will enter the deferred prosecution information on the driver's record.

When processing diversion agreements, the citation information is not entered on the driver's record, however, the appropriate administrative action will be entered. Therefore, the driver's record will not bear evidence of a citation, but will display appropriate revocation action taken.

*[This section should describe what statutory limitations—if any—exist in your state with respect to sharing conviction data among DMV and the courts.]*

**Sample excerpt:**

Statutory authority determines who is authorized to receive information maintained on the drivers' records and also defines what information is available to various requesters. State code controls disclosure of driver record information by the DMV. Access to the full driving record is limited to specific types of authorized requesters. Therefore, not all citation-related information maintained on the driver record is available for viewing by all requesters. Even for those requesters authorized to access the full driving record, there may be citation-related information that will not be available. This situation occurs when citations are resolved in the courts in a manner which does not require, or is determined to not require, the citation to be forwarded to the DMV for recording on the driver record. Citation information may also be absent from the record due to loss and/or misplacement of the document in the current manual process.

*[If there are any other limitations or risks which may impact the success of your project, please list them as well.]*

**Sample excerpt:**

It is crucial to the courts, law enforcement, and the DMV that the analysis and functional design project is successful and leads to a construction and implementation project. Consequently, following a conservative risk management approach is proposed.

This section presents the overall risk management approach for this project and identifies potential risks along with a plan for mitigation of those risks. As part of the project, the risks will be fully identified, analyzed, and a risk mitigation plan developed for each.

*Potential Risks to the Project*

Examples of risks and mitigation approaches that will be considered in fuller detail when performing risk and mitigation planning for the project include:

1. The scope of the improvements grow. The improvements being considered for the citation process and the electronic FTA process will grow as further clarification occurs.

2. Other high priority projects, especially Year 2000 efforts, may be identified or may be delayed prompting the organizations to redirect resources from this project.

3. Due to complex system requirements, implementation on different platforms with multiple components, and the involvement of users from separate organizations, the project scope may change and/or grow or consensus/compromise on issues may be delayed leading to schedule slippage. Schedule delays may occur because department resources are directed toward higher priority projects.

This threat requires that the project manager, divisional managers, stakeholders and staff involved in the project work closely with regular exchange of information (both formally and informally) to make certain that the requirements definition and detailed design phases go as planned. Clear communication with appropriate documentation is key.

4. The business requirements to be supported and the definition of the system architecture could turn out to be more complex than planned.

Development of multiple programs on multiple platforms and interfaces required between the DMV Unisys and the court environments entail a level of complexity that may not have been fully appreciated.

5. The cost/benefit analysis does not support the continuation of the project to full implementation of an automated citation process.

*[If necessary, describe how this project would improve your business processes in ensuring the timely and accurate reporting of driver conviction data.]*

**Sample excerpt:**

The greatest problems in the current system will be alleviated by electronic transfer of citation information for commercial and non-commercial drivers from the courts to DMV and automated update of the citation data in the DMV Driver database. These areas of improvement include:

1. Greater accuracy and currency of data on the commercial and non-commercial driver records.

The driver record will be more current, reflecting court actions in a more timely manner. If data is updated on the DMV driver database electronically from the courts and OAC rather than requiring a physical document to be shipped to the DMV and processed, the additional processing delays will be eliminated. The manual steps taken by DMV to reenter the data will no longer be required. Accurate data will be reflected on the driver record within one day of receipt of the citation information from the courts rather than a delay of 2 -3 weeks.

2. Reduction in backlogs.

With over 10,000 documents received weekly by the DMV for entry onto the driver record, it is common for backlogs to exist. Normally, approximately 30,000 citations will be backlogged awaiting entry on driver records. This means that the driver record may not reflect a citation until 2 - 3 weeks after it is received by the DMV. If driver record information is released during this period of time, it will not reflect the full picture of the driver record.

3. Reduction of labor required to support large volumes of manual data entry.

4. Reduction of labor required to support and receive shipment of manual citations from the courts to the DMV.

5. Improved processing of Out of Service Orders issued to commercial drivers.

Although the implementation of an electronic update process for citation data from the courts to DMV will not inherently eliminate the following deficiencies, the following areas are recognized as requiring improvement and each will be fully explored and resolved as part of this project:

1. Inconsistency in law tables

Citation documents contain a reference to the state code, county/city/municipal laws, or foreign jurisdiction laws which have been violated by the driver. Rather than entering this actual legal reference on the driver records, DMV staff are first required to convert the information to an ACD specific violation code. However, not all codes can be converted to a DMV equivalent code. If the codes cannot be converted, the citations cannot be entered onto the driver records. These citations are referred to as “no codes” and are filed without entering the citation information into the automated system.

It is essential that all legal references be supported by the various organizations to prevent this “no code” situation. Development of an updateable table to support this data is essential.

2. Citation number format

The DMV’s citation field length and format are insufficient to support the entry of all appropriate data. Truncation and/or manipulation of the number creates situations where citations cannot be located and updated correctly. Enhancing the citation number field to recognize valid citation numbers would eliminate these errors.

3. Differences in address structure

Unique data structures for the address field exist in the automated systems supporting the courts and DMV. Since citations prompt address changes in the DMV system, these differences need to be fully understood, resolution needs to be reached on requirements that must be supported, and processes must be geared to support address changes. Otherwise, outdated addresses will be retained on driver records and disseminated to law enforcement, courts, and others upon inquiry.

The current electronic FTA process also has a number of known deficiencies, and potentially unknown deficiencies, that require further investigation and resolution. This project offers the opportunity to identify solutions for the following, plus investigate if other problems exist in the process:

1. Processing of electronic FTAs by the DMV relies on use of a key composed of record type and citation number. The process was designed based upon the premise that the citation number is a unique key, however, citation number is not unique. Therefore, it is possible for an electronically transferred FTA to be considered a duplicate citation when another citation bearing the same number exists. Duplicate citations are dropped from the automated update process and treated as exceptions that must be manually researched and resolved. Revision of the program to correct this issue would allow timely update of citation information.

2. For adjudications, the DMV automated update process relies only upon citation number to locate an accurate driver record for update. This limited criteria causes matches to be missed in the process. If additional matching criteria were considered, the percentage of matches would be increased, resulting in faster update of the driver record with the adjudication information.

3. The inconsistency in law tables discussed earlier also impacts the automated FTA process. Since DMV is unable to recognize local law references, the automated process currently processes only records that have RCW references. As discussed earlier in this document, local law references need to be supported by this process. In order to accomplish this, each local law needs to be associated to a DMV specific violation code. It has been estimated that about 80 percent of the local laws would match existing DMV codes and that DMV would have to create new violation codes for the laws which are not supported by current DMV codes.

4. Although the address is sent with the electronic data, whether or not a change of address should be applied to the DMV Driver database is not currently considered by the program. Outdated address information is retained on the driver record and distributed to law enforcement, courts, and other authorized requesters on inquiries. Notices and correspondence from DMV continue to be sent to outdated addresses causing drivers not to receive important correspondence and creating a large volume of returned mail. Update of the address in the electronic process should occur. Again, the inconsistency in address formats discussed in an earlier issue would impact resolution of this issue.

5. Exceptions encountered in updating records during the automated process are noted on reports to DMV staff. No notice is provided to the court which originated the transaction regarding the error condition encountered. Reporting exception conditions to the originator should to be considered since, currently, some updates are not processed (e.g. the listing is overlooked on the report) and the originator is unaware of the need to verify accurate update.

#### **4. System Requirements**

*[This section should provide a description of how you propose to solve the problem you have and the means by which you will do so. For example, the sample state requested funding for*

*only a portion of its overall effort to automate the citation transfer process. The nature and scope of projects will vary among state, but the following sample shows the types of detail you will need to include.]*

**Sample excerpt:**

Within the scope of the project being proposed for funding through the Driver History Initiative Proposal to support the electronic transfer of citation data from the courts to DMV are the first two activities: *conducting a Preliminary Analysis and System Architecture phase and definition of a Functional Design.*

Activities required to move to a fully automated environment:

*Preliminary Analysis and System Architecture*

- Document the existing environment
- Confirm all improvement opportunities
- Document the business requirements
- Develop the conceptual data and process models
- Determine the technical solution(s)
- Determine the cost effectiveness

*Functional Design*

- Develop the Functional Data Model
- Develop the Functional Process Model
- Define the Functional Specifications for the Processes
- Identify Performance Metrics

*System Construction*

- Build the physical data and process models
- Construct the Programs
- Conduct Unit and Functional Tests

*Implementation*

- Install the Application in a Test Environment
- Conduct System and Acceptance Testing
- Train Users
- Obtain Acceptance from the System Owner
- Start the Application in Production
- Conduct a Post-Implementation Evaluation

If funding is received, the following deliverables will be developed by this project:

- Survey of Current System
- Business Requirements
- Conceptual Data Model
- Conceptual Process Model
- Technology Assessment, including recommendation
- Cost/Benefit Analysis
- Functional Data Model
- Functional Process Model

- Functional Specifications
- Performance Metrics Report

Also, as a result of the initial Analysis and Design project the following accomplishments will occur:

- The current inadequacies in the electronic FTA process, both procedural and system-related, will be determined and documented.
- Procedural modifications will be defined.
- System Change Request(s) will be developed for system modifications.
- System modifications required to enhance the FTA process will be analyzed and defined.
- An estimate detailing time and cost to implement the system modifications will be developed.
- The system modifications will be prioritized and placed into the queue for programming changes.

The ultimate goal of citation process improvement is to increase the accuracy and timeliness of recording of information on the DMV Drivers database, thus providing a more accurate, up-to-date commercial and personal driver record history which will be reflected on ADRs; when information is requested by appropriate organizations and jurisdictions; and when information is provided to the national system, CDLIS. In accomplishing this goal, redundant and labor intensive processes will be eliminated.

A standard project methodology will be used to guide the project. The methodology is based on a business-driven approach which requires a high-level of user involvement and commitment in defining the system requirements and confirming that the design supports the business requirements.

## **5.0 Findings, Recommendations, and Final Report**

*[This section should include the means by which your project will be evaluated and the results and recommendations contained in your final report once the project is complete.]*

### **Sample excerpt:**

In order to evaluate the success of the project, standard project performance measures will be selected. These measures should be based on earned value analysis, a commonly used method for project performance measurement that integrates scope, cost, and schedule measures.

Earned value analysis will be conducted based on measurement of three key values for each activity. These values are:

- Budgeted cost of work scheduled (BCWS): This is the budget amount planned for the project or on a specific activity within it. At the beginning of the project, the time phased BCWS for the entire project becomes the Performance Measurement Baseline (PMB) for the project. The initial project cost of the PMB is called the Budgeted at Complete, or BAC.

- Actual cost of work performed (ACWP): This is the total amount of costs that are incurred completing an activity.
- Budgeted cost of work performed (BCWP): This is the actual cost of the work performed to date divided by the budgeted cost of work scheduled for the entire project. This is the earned value of the work accomplished on an activity and can be summarized at the project level.

In addition to the Project Management Performance Measures selected and relied upon for this phase of the project, candidate performance measures will be identified for improvements that will be realized in the Construction and Implementation phase. An example of the type of performance measures that may be determined to be candidates are the following:

- Staff time (and costs) saved through less data entry.
  - Average staff time required to process customer information
  - Average cost for staff time per customer (requiring data entry) served
- Law enforcement, court and licensing staff time saved through faster completion/ recording of citations
  - Average processing time per DMV data entry person, per citation
  - Average data entry time (for basic driver information) per citation
  - Average processing time per court data entry person, per citation
  - Number of citations requiring rework
- More accurate driver records
  - Percentage of time that DMV records provide law enforcement with incorrect information
  - Percentage of time that DMV records provide courts with incorrect information
- More accurate customer addresses
  - Percentage of returned correspondence/notices sent to drivers and registered owners of vehicles
  - Percentage of time that DMV records provide law enforcement with incorrect addresses

Determination of the performance measures will allow baseline data to be collected which will be essential to determining project success when the improvements are implemented.

## **6.0 Implementation Plan and Budget**

*[This section will describe how your project will be implemented and the costs associated with each task involved.]*

**Sample excerpt:**

In addition to the deliverables which will be developed and delivered throughout the project cycle, a final report will be compiled from summaries developed by the individual organizations involved in the project. A standard format noting topics to be addressed in the summaries will be provided to each organization.

Performance measures to be captured and baseline data to support the measures will be defined as part of the project. Continued evaluation of the performance measures will occur and data will be compiled. This data may be of interest to other jurisdictions as a supplement to the Final Report and Feasibility Study.

The budget for the Analysis and Functional Design project has been determined based upon:

- salary and benefits for a full-time Project Manager to lead the effort
- salary and benefits for a part-time business expert to coordinate the business input
- salary and benefits for a part-time technical expert to coordinate the technical analysis
- salary and benefits for a part-time coordinator for the courts
- miscellaneous costs to cover travel, supplies, and printing costs
- the assumption the time commitment that will be required of the participating organizations' to support the work tasks involved in the assessment of the current environment, definition of requirements, identification of improvements, and functional design will be absorbed by current staff

Refer to the project budget worksheet on the following page for the specific details which compose the project estimated costs of \$X.

*[The following section outlines how you should prepare the timetable for the completion of your project. The following chart shows how the sample state estimated that its project would take one year to complete and broke out the costs associated with each task.]*

Budget	Oct-98	Nov-98	Dec-98	Jan-99	Feb-99	Mar-99	Apr-99	May-99	Jun-99	Jul-99	Aug-99	Sep-99	Total
<b>Preliminary Analysis &amp; System Architecture</b>													
Project Staffing and Workplan													
Conduct Assessment													
Identify Strengths, Weaknesses & Improvements													
Develop Improvement Recommendations													
Perform Technology Assessment													
Perform Cost/Benefit Analysis													
Conduct Risk Assessment													
Document Results of Analysis													
Develop Performance Metrics													
<b>Functional Design</b>													
Develop the Functional Data Model													
Develop the Functional Process Model													
Define Functional Specs for the Project													
Document Results of the Assessment													
<b>Work hours per month</b>	00	00	00	00	00	00	00	00	00	00	00	00	00
<b>Project Staff Hours (Include hourly rates for each)</b>													
PM (@\$/hr)	00	00	00	00	00	00	00	00	00	00	00	00	00
BL (@\$/hr)	00	00	00	00	00	00	00	00	00	00	00	00	00
TL (@\$/hr)	00	00	00	00	00	00	00	00	00	00	00	00	00
Courts Coordinator (@\$/hr)	00	00	00	00	00	00	00	00	00	00	00	00	00
<b>Total Project Staff Hours</b>	00	00	00	00	00	00	00	00	00	00	00	00	00
Total by Quarter			00			00			00			00	00
<b>Total Project Staffing Costs</b>	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000
Total Costs by Quarter			\$0000			\$0000			\$0000			\$0000	\$0000
<b>Other Costs</b>			\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000
(Travel, Printing, Etc.)			\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000
<b>Contingency Funds</b>	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000
<b>Total Project Costs</b>	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000	\$0000