

Attachment 7. Current ELSI Operational Functions

To the extent possible DNR has attempted to automate all licensing functions through ELSI. Specific functions are listed here to provide Contractors an understanding of the level of detail involved. The lists should be considered as examples and not a complete description of every function or how functions interact. For examples of licenses, registrations or titles that are printed, please see attachment #9.

ELSI is more than just a method for issuing licenses to customers. It is a *system* that performs all functions associated with the licensing process. ELSI issues over 360 licenses or permits following Iowa Code and DNR Administrative Rules and business rules; performs basic enforcement operations by excluding customers from obtaining licenses for which they are not eligible; provides accounting and auditing capability for sales and revenue to license agents, DNR and state and Federal auditors; transfers revenue electronically from license agents to DNR; provides reporting capability on a customer and license basis and keeps prior years license sales available

The operations center of ELSI is a mainframe computer housed, operated and maintained by the vendor. The mainframe has complete back-up, redundancy and disaster-recovery plans that assure it will be functional as nearly continuously as possible. A replicated database housed on a server at the mainframe site provides nearly real-time query and reporting capability to DNR.

A customer database housed on the mainframe contains all records for each individual that purchases privileges through ELSI. Each customer has a permanent record that contains their personal identification (name, date of birth, social security number, driver's license number and state, and physical description) and other information that affects the customer's eligibility for licenses (e.g. state of residence, hunter safety training, disability, landowner status, etc.).

All privileges purchased by the customer during the year are recorded on his or her customer record. This information is used to verify the purchase in case a license is lost and to establish eligibility for purchasing other privileges during the year.

Agents collect fees from the customer and deposit them into their designated bank account. For internet and telephone sales, the vendor is the agent. Electronic funds transfer (EFT) occurs weekly from all agents' accounts. The ELSI vendor transmits an ACH tape to the State of Iowa's bank, which then sweeps all the agents' bank accounts and transfers the funds to DNR. Writing fees (the agent's commission) are left in the agent's bank account. Agents can download a variety of reports detailing the licenses issued and fees collected through their terminal(s).

All sales methods; POS, Internet, Phone and other methods for accepting information are fully integrated through the customer database.

Customers interface with ELSI when they purchase privileges by one of the following methods:

1. **ELSI Point of Sale:** A network of approximately 750 licenses agents sell licenses (20 located out of Iowa and the remainder in-state; 100 are government offices, 650 are retail businesses). Each agent has a Hewlett Packard Touchscreen terminal and is connected to our system through either high speed internet or through dial-up. The customer's personal identification information may be entered by scanning his or her Iowa driver's license (DL), scanning his or her IA hunting or fishing license, or by entering the customer's unique, random, system-assigned DNR identification number (assigned at the time of their first ELSI purchase), social security number or Iowa DL number and date of birth. Once the customer is identified, the terminal will only display privileges that are available to the customer at that time by applying all DNR business rules that affect the purchase. Once the transaction is validated, a Datamax-Oneil printer will print hunting and fishing licenses on durable license paper. The same Datamax-Oneil printer will print all deer and turkey tags on the same durable license paper. Customers can purchase multiple privileges on the same transaction. Agents can re-order rolls of license stock from the ELSI vendor through the ELSI system with delivery in one week. Nearly all licenses are available for purchase until the end of the season for which they are valid. Most limited-quota licenses are sold first come, first served until quotas are filled. Agents also have the option of ordering other supplies such as regulations through a supply order screen on their terminal. All equipment, including keyboard, terminal, printers, stand, all

connecting wires, and surge protector are the property of and are repaired, replaced or otherwise maintained by the vendor.

POS System Capabilities:

1. Access to the system can be protected by password
 - a. Each store's clerks may be provided an individual ID so their activity in ELSI can be recorded and reported.
2. The following reports are available to each agent on the touchscreen:
 - a. Weekly ACH Report
 - b. Total Agent Daily Sales
 - c. Terminal Daily Sales (for agents with more than 1 POS)
 - d. History of ACH Reports (4 weeks plus current)
 - e. Agent Void Sales report
 - f. Terminal User Totals by License Type
3. View messages from DNR
4. Provides vendor-developed and supplied training on POS terminals, DVD, manuals or by phone
5. Uses Automatic Transaction Processing (store and forward) to allow sales when the system is not functioning and to reduce the number of transmissions to the host
6. Allows agents to order tag, license stock and regulations.
7. Allows agents to scan an Iowa driver's license to obtain customer identification information.
 - a. Customer with existing record: SSN and DOB
 - b. New customer: Populates record with all required information (see No. 8)
8. Allows agents to enter or identify customer identification information manually:
 - a. Identify customer with existing record:
 - i. Name
 - ii. SSN or DNR No. or IA DL No.
 - iii. DOB
 - b. Create new customer
 - i. Name
 - ii. Current address
 - iii. Allows agent to change customer's address if necessary
 - iv. Date of birth
 - v. Social security number
 - vi. Residency status
 - vii. Iowa Driver's license number and state
 - viii. Hunter safety status and state
 - ix. Physical description (gender, eye, height, weight)
 - x. Telephone number
9. Allows agents to enter information for DNR-required wildlife surveys: Harvest Information Program and Deer and Turkey Harvest
 - a. Posts the customer's responses to the customer record and specific license for future queries
10. Allows agents to select licenses for customer by license name or code number
11. Allows agent to enter required information to print an ATV/ Snowmobile annual user permit:
12. Prints licenses, tags and permits for all privileges available at POS
13. Allows agents to void or reverse a transaction within a certain time frame
14. Allows agents to reprint or duplicate licenses within a certain time frame

2. ***RVVR's Point of Sale:*** Our recreational vehicle and vessel registration POS process is limited to only the 100 county recorders in Iowa. County Recorders are given access to a web based program called Web Administration. This is the same access that DNR staff use to view and edit records on the administrative side. They are given limited access rights to do recreational vehicle and vessel transactions. Transactions include but are not limited to; renewals, registrations, transfer of ownership, title and lien information and sales tax information. Access is controlled by the DNR central office and each user must have their own individual account. The county recorder is provided a Lexmark printer, decal paper and toner by the contractor. County Recorders can order supplies such as decal paper and toner that is shipped direct from the contractor. RVVR's is housed within the ELSI framework and RVVR's vehicle and vessel information is tied to customer accounts in ELSI. Since it is a function inside of the overall ELSI system, many of the same functions listed as part of the POS functions are used as part of the RVVR's functionality. The following are RVVR's specific functions:
1. Registration - This is the process in which all vehicle registration transactions are performed. It uses a breadcrumb navigation structure that begins with customer and vehicle selection, continues with collection of all required information (vehicle information, liens, additional owners, seller, additional options, and tax collection) and ends with final processing and printing.
 2. Vehicle Search - This is a function that allows the user to search for vehicles with active records and display all of that vehicle's information. The displayed records can be edited through Vehicle Search, but is restricted to certain fields. Anything that can affect price or tax cannot be edited, and some editing functions are restricted to DNR staff only.
 3. Vehicle History Search - This is a searchable table that houses all vehicle information that existed prior to RVVRS. This information is comprised of records that were migrated from the county recorders' old registration systems. These records had to be "converted" before transactions could be run against them. Although this table was initially created to aid in the transition of data to RVVRS, it contains historical information that is currently used for bonding, corrections and law enforcement purposes.
 4. Legacy Vehicle Information - This is a searchable table that also houses vehicle data that existed prior to RVVRS. When registrations were processed at the county recorder, a carbon copy of the registration was sent to the DNR and entered into a mainframe database. Legacy Vehicle Information allows the user to access that information from within RVVRS. Although it is not required for current registrations, it also is used for bonding and law enforcement.
 5. My Supplies - My Supplies – This is a RVVRS function that allows the county recorder to order registration paper/decals, printer cartridges, and ATV/Snow/Boat registrations. It also allows the recorder to view past order history and the status of their orders.
 6. User Management - Each RVVRS user will have a user id that needs to be linked to their agent ID. User Management is used to link the user to the agent ID.
 7. VRS Information Documents - This is where specific registration applications, documents, and manuals are stored, usually in PDF or .doc formats. County recorder can download and print these forms as needed. These can be removed, edited, or organized per the DNR's request.
 8. Set-up Printer - This is where the printer driver and printer install/setup instructions are stored. The print driver has been configured by the current contractor to specifically work with RVVRS and the printer.
3. ***ELSI internet-sales System:*** Customers may purchase licenses 24X7 from any computer with a printer and a web browser. Customers enter the Internet-sales system through DNR's Internet Home Page. They enter their own personal identification information (same options as POS); select from a list of available privileges and provide a credit card for payment. On-line sales are linked to the same customer database, business rules and EFT as the POS system. Basic hunting and fishing privileges may be printed on the customer's computer. Deer and turkey tags, user permits and OHV renewals are mailed to the customer by the ELSI vendor. Nonresidents must apply for limited-quota deer and turkey hunting licenses. A random drawing is conducted from applicants based on the number of preference points a customer has accumulated. (Preference points are earned by failing to obtain a license in a previous drawing or by purchasing one per year.) Licenses or refunds are mailed to successful and unsuccessful applicants. The Internet Sales system can perform all the functions of the POS system plus the following:

1. Provides a general information page including instructions on the process for purchasing over the internet.
 2. Provides table logic setup that stops the customer from selecting licenses for which he/she is not eligible based on past purchases or other eligibility criteria
 3. Allows selection of a privilege to cue other information requests
 4. Provides a shopping cart for customer review and modification of selections plus total cost of selections and all additional fees.
 5. Collects license and other fees via Master Card, Visa and Discover Card
 6. Delivers printable licenses (PDF file) to customer for privileges that do not require fulfillment (as determined by DNR)
 7. Delivers fulfillment file to vendor so that deer/turkey tags, books, etc. can be mailed to customer (as determined by DNR)
 - a. Customer-paid overnight shipping is available as an option for the customer.
 8. Provides a promotions page for cross-sale opportunities (e.g. magazine subscriptions)
 9. Must make it clear that "all sales are final" just prior to paying for selections.
 10. Contractor provides problem-resolution service to DNR for sales and collection issues
4. **ELSI Telephone Ordering System:** A toll-free telephone ordering system is staffed by the ELSI vendor 24X7X365. Customers provide their personal identification information and license selections to an operator who enters the information into a computer that functions the same as the ELSI on-line system. Sales are confirmed or denied, applications are processed, and payment by credit card is arranged. The vendor mails licenses and tags to the customer. Sales of privileges that require tags can be ended 10 days before the respective season unless the customer is willing to pay for over-night mail service. Nonresidents may apply for limited-quota deer and turkey licenses by calling the toll-free number and working through an operator. The phone sales system uses the Internet sales system platform. It has the same features as the Internet system plus the following:
1. Vendor records and archives all phone sales.
 2. Recordings of disputed sales are sent to DNR for resolution.
 3. The privileges available for phone sales may be different from internet sales so separate table entries are needed.

Fields on Customer Record

Customer record:

1. Customer number - A unique, permanent, system-assigned, random identification number.
2. Name
3. Address: street, city, state, zip,
4. Supplemental address, if any
5. Social security number
6. Driver's license number and state
7. Residency status
8. Hunter safety number (if any) and state where course was completed
9. Comments field
10. Maintenance Log
11. Status of the record
12. Open and close dates (if any) of the record
13. Date of birth
14. Preference points accrued by nonresidents for deer and turkey licenses
15. Physical description: height, weight, eye color
16. Telephone number (if obtained from the Internet or phone system)
17. Email Address
18. How record was obtained: POS, Internet or Phone
19. Customer sales information for the current year:
 - a. Transaction number
 - b. Status of sale,
 - c. License fee

- d. Agent writing fee
 - e. Agent ID number
 - f. Agent name
 - g. Date processed
 - h. Transaction privilege type
 - i. Start date and end date for privilege
20. Deer or turkey registration information recorded with the license for which report was made
- a. Registration number
 - b. Confirmation number
 - c. Answers to specific questions
21. Landowner registration information (if eligible)
- a. Parcel id number
 - b. Other registrants to same parcel
 - c. Phone numbers
22. Revocation information (if any)
23. Citation number (if any), type, issue date, begin-end dates, issued by, law enforcement points accrued, comments
24. Harvest Information (HIP) Program information
- a. Answers to specific HIP questions
25. Special Indicators
- a. Report, Disabled, NR Landowner

Privilege Controls

Eligibility to purchase certain privileges is controlled by Iowa Code and DNR Administrative Rules which may change annually or more frequently. To the extent possible DNR requires that these rules be programmed into ELSI to prevent customers from obtaining privileges for which they are not eligible. ELSI controls the issuance of privileges to customers based on several eligibility criteria:

1. State of residence
 - a. Restricts nonresidents (NR) from acquiring certain privileges, participating in certain seasons, or hunting in certain zones.
 - b. Allows the purchase of most NR privileges at POS, but requires applications for certain limited-quota NR privileges.
 - c. Creates files for drawings when applications exceed quotas for selected limited-quota privileges.
 - d. Assigns and maintains a preference point system for customers that are unsuccessful in obtaining limited-quota privileges.
 - e. Gives preference in future drawings based on preference points acquired by the individual.
 - f. Restricts sales of privileges to certain NR customers based on their state of residence if reciprocal licensing agreements are in effect.
2. Landowner-tenant status (eligible or not)
 - a. Permits landowner and tenant, spouse and eligible children to obtain some reduced-fee privileges.
 - b. Restricts the type and total number available to the landowner family.
3. Disability status
 - a. Restricts access to certain hunting seasons or fees that must be paid based on a pre-established eligibility determination.
4. Hunter safety status

- a. Certain customers based on age and state of residence must have passed a recognized hunter safety course before a hunting privileges can be purchased.
 - b. The apprentice license is an option for certain individuals who have not completed hunter's safety. This is only available twice in a lifetime.
5. Restricts sale of privileges based on quantity, region or license type.
 - a. Certain deer and turkey privileges have annually-established license quotas for certain seasons, for individual counties, for hunting zones or by farm .
 6. Restricts privileges available to customers based on their prior privilege purchases .
 - a. Customers establish their eligibility or ineligibility for certain deer and turkey privileges when they purchase their first deer or turkey privilege.
 7. Restricts privileges to certain customers whose privilege have been suspended.
 8. Control pricing
 - a. Allows DNR to set the price and additional fees for each privilege.
 9. Control Accounting
 - a. Allows for splitting of privilege fees to different DNR cost centers.
 10. Restricts the sale of selected privileges until a report is filed with DNR and the information entered in ELSI.
 11. Owner Types – The current system can register vehicles in individual and non-individual entities such as businesses and trusts. Additional owner can also be added or deleted from registrations and titles.
 12. Registration Fees – The current system automatically calculates all appropriate fees through the use of privilege codes and business rules. Using these rules, the system properly calculates fees that include: registrations and titles, pro-rated registrations for vessels, transfers, liens, fee-type changes, reactivations, corrections, writing and administrative fees, duplicate registrations, titles, and decals, partial-year fees and late penalties. The system also has the ability to manually add fees such as mailing fees for the county recorders.
 13. Taxes – The system calculates state and local taxes, use taxes paid to other states, and allows overrides for tax exemptions for government, agriculture use and taxes previously paid to dealers or other states.

Administrative Control:

DNR staff with administrative authority can perform the following tasks:

1. Search customer records by:
 - a. Name
 - b. Customer id number
 - c. Transaction number
 - d. Social security number
 - e. Driver's license number
 - f. Parcel id number (landowner-tenant registrations)
 - g. VIN Number (snow/ATV permits)
 - h. Registration Number
 - i. Title Number
 - j. Manufacturer ID
 - k. Decal Number
 - l. Privilege
2. Search a permanent activity log for:
 - a. Date/time any entry or deletion took place
 - b. Transfer information
 - c. Transfer history
 - d. Edit sales made at agents locations

3. List all privileges and privilege types
4. Control functions and interaction of privileges with each other
 - a. Permit or deny purchases based on customer:
 - i. Age
 - ii. State of residence
 - iii. Hunter safety status
 - iv. Prior privilege purchases
 - v. Landowner status
 - vi. Disability status – temporary or permanent
 - vii. Zone selected
 - viii. Other
5. Control pricing of:
 - a. License fees
 - b. Admin fees
 - c. Convenience fees
6. Control agent accounting by accessing/modifying the following information:
 - a. Agent id
 - b. Agent business name/corporation name/supplemental name
 - c. Agent contact name/phone number
 - d. County name
 - e. Region of state
 - f. Address: street, city, state, zip,
 - g. Federal tax ID
 - h. Business type code
 - i. DNR account manager number
 - j. Agent status/open date/close date
 - k. State tax ID
 - l. ACH account type
 - m. Ach number
 - n. Transit routing number
 - o. ACH status:
 - i. ACH peg balance/Current ach amount/YTD gross amount
 - ii. Deposit amount
 - iii. Days advance ACH
 - iv. Ach fail total/fail MTD/fail YTD/description/frequency
 - v. Prior ACH amount/date/pre note indicator/pre note date
 - vi. Agent business hours/season open-close dates
 - vii. Agent parent corporation number
 - viii. Agent shipping address, supplemental Address
 - ix. Account type
 - x. Agent file loc
 - xi. Comment field
 - p. Year to date sales
 - q. Sales by day
 - r. Sales by timestamp
 - s. Account balance
 - t. Void transactions
7. Monitor sales by:
 - a. Privilege type by county

- b. Privilege type by agent
 - c. Privilege type by state
 - d. Running queries on data
8. Monitor or modify the activity log:
- a. Enter new field data vs. old field data
 - b. Enter the person making change
 - c. Enter a timestamp

WebAdmin ELSI Access

The following have password restricted access to our WebAdmin portal of ELSI for certain authorized functions:

1. *Law Enforcement* - Conservation Officers access customer records from their personal computers. Conservation Officers have a 24 x 7 x 365 telephone number to call to resolve licensing issues.
2. *Department of Human Services* - The Iowa Department of Human Services periodically searches the ELSI database for social security numbers of persons in violation of support orders. DHS uses the current address on the ELSI record to search for the violator to bring them into compliance. ELSI will restrict privilege sales to those who do not comply with DHS payment requirements.
3. *Department of Public Safety* - Access to customer records for criminal investigations and to make a "Sportsman's Check" through the "Iowa System."
4. *Department of Revenue* – Access to put revocations or suspensions on ELSI accounts for delinquent tax payments.
5. *County Recorders* - Performs renewals and registrations of recreational vehicle and vessels and dealers.
6. *Iowa DNR Staff* – Performs a variety of administrative duties.
 - a. *Licensing Staff* - Perform administrative functions in support of DNR, license agents and customers.
 - b. *Fish and Wildlife Staff* - Certain research, survey and marketing activities are coordinated through ELSI (HIP, Harvest Reports, customer surveys, etc.).
 - c. *DNR Phone Center* - Respond to customer enquiries.
 - d. *DNR Accounting Staff* - Receive and reconcile reports. Interface ELSI information with state accounting systems.