



ALCOHOL INTERLOCK PROGRAMS: VENDOR OVERSIGHT



The knowledge source for safe driving

The Traffic Injury Research Foundation

The mission of the Traffic Injury Research Foundation (TIRF) is to reduce traffic-related deaths and injuries. TIRF is a national, independent, charitable road safety institute. Since its inception in 1964, TIRF has become internationally recognized for its accomplishments in a wide range of subject areas related to identifying the causes of road crashes and developing programs and policies to address them effectively.

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INTRODUCTION

Knowledge and use of alcohol interlocks¹ as a tool for supervision programs has rapidly expanded in the past decade. Governments, criminal justice and health agencies, frontline practitioners and non-profit organizations have embraced alcohol interlocks as an essential component of a comprehensive drunk driving strategy. Indeed, usage rates for these devices have grown from less than 100,000 devices to more than 200,000 in the past five years in the United States.

Currently, all 50 jurisdictions in the United States have an alcohol interlock program (or interlock legislation), and in the past few years many of these jurisdictions have taken steps to strengthen operations through revisions to laws and administrative rules and the development of technical device standards. Jurisdictions have also embraced monitoring protocols that incorporate graduated sanctions and reinforcements, and the use of treatment for high-risk offenders.

As interlock programs have grown, staff has also begun to consider the importance of protocols for vendor oversight and monitoring. A vendor oversight protocol describes how and by whom vendor services are monitored to ensure that operations are consistent with device and delivery requirements specified in administrative rules or in any contract or certification process. Vendor oversight can ensure uniform, quality service delivery across locations and is an important tool to ensure the integrity of program operations, regardless of service center ownership.

While many manufacturers have internal quality assurance protocols, a vendor oversight plan can monitor the extent to which such protocols are applied and also demonstrate due diligence to protect the lead program authority from liability in the event of negative, high-visibility events.

Many jurisdictions are now pursuing the development of vendor oversight plans. This guide contains a series of practical steps to guide the development process and highlights relevant issues that require consideration as part of any vendor oversight strategy. It was created with input from a panel of seasoned program and industry experts who are knowledgeable about vendor oversight practices for alcohol interlocks and other monitoring devices. It describes:

- > the development of a vendor oversight plan;
- > the identification of business requirements; and,
- > the core components of an oversight plan.

¹ An alcohol interlock device requires drivers to blow into a breath alcohol testing device connected to the starter or other on-board computer system of a vehicle before it can be started. It also requires repeated breath tests while the vehicle is in use to ensure the driver remains sober. While the alcohol interlock prevents the engine from starting and provides a warning if a positive breath sample is detected, the device will never shut off a running engine. Devices must meet a range of technical criteria before being approved for use. Devices also possess a wide range of programmable options, a data recording device and several anti-circumvention features to ensure efficient functioning and minimize tampering and circumvention attempts by offenders.

A list of critical steps to help guide the development of a reasonable and achievable vendor oversight strategy is provided below. Note that each step is ranked according to priority and importance as part of an overall vendor oversight strategy. The scheme is as follows:

- > High (H)
- > Medium (M)
- > Low (L)

Of course, those steps that have the highest ranking should be pursued in advance of those steps with lower rankings.

The development and implementation of a vendor oversight strategy can be achieved over a reasonable period of time and need not be completed immediately. As noted previously, many jurisdictions have some elements of an oversight plan in place as part of existing administrative rules, technical standards, and vendor approval processes or contracts.

It is recommended that jurisdictions undertake a strategic approach to development and implementation over a reasonable period of time. The effort can easily be organized into manageable steps that can be achieved. As the lead authority for interlock programs, jurisdictions have the responsibility to ensure that implementation is consistent with legislation and that appropriate policies are in place to facilitate program delivery. This will protect the interlock program's integrity and allow administrators to better manage costs. For example:

1. Undertake a review of program documents (e.g., administrative rules, technical device standards, vendor approval process or contract) to identify what elements of oversight already exist in the form of business requirements.
2. Organize a committee or working group to develop a vendor oversight plan. As part of this process, committee members should discuss the variety of issues that are relevant and reach decisions that are achievable. From this, a clear cut plan can be finalized.
3. Undertake to strengthen business requirements for vendors by making appropriate revisions to the administrative rules, technical standards, and vendor approval processes or contracts.
4. Undertake to develop components to the vendor oversight strategy that are in addition to those specified in vendor business requirements. This can be approached by issue instead of attempting to develop all components at the same time. For example, jurisdictions may wish to develop a site inspection process as a first step. Once this has been finalized and implemented, jurisdictions may then wish to undertake field testing of devices or the monitoring of the use of any unaffordability or indigency strategy.

A companion piece to this report that describes critical steps and considerations involved in the transition from a paper-based reporting system to an automated data reporting system for interlock programs will be released in the winter of 2011/2012.

PLAN DEVELOPMENT

A vendor oversight plan is a strategy to monitor the delivery of alcohol interlock devices and services across a given jurisdiction. Ideally, the plan should address the continuum of service delivery – i.e., from the development of administrative rules, to the approval of vendors and devices, and through to the ongoing delivery of devices and services to participants.

Vendor oversight is rapidly becoming an essential feature of interlock programs, particularly as the number of devices, vendors, and breadth of technology increases along with the overall size and scope of program operations.

It is worth noting that many jurisdictions with an interlock program already incorporate some degree of vendor oversight. Most often, this is achieved through administrative program rules that impose responsibility on vendors to meet or exceed specific program requirements. In addition, many jurisdictions also require independent testing of devices to ensure they meet state technical standards. Similarly, jurisdictions may also require that vendors and/or their devices undergo a regular renewal of the certification or approval process (e.g., annually, every two years). Therefore, the development of a vendor oversight plan does not constitute a new undertaking, but rather a logical extension of existing practices.

There are many benefits associated with vendor oversight. In particular, it can streamline program management, clarify agency responsibilities, enhance data collection, improve service delivery, lead to increased participation resulting from client satisfaction, and facilitate a rigorous program evaluation.

There are, of course, also costs associated with a vendor oversight plan. However, a well-designed oversight plan need not be costly. Costs can be controlled through informed decision-making to ensure the appropriate timing and allocation of duties and resources across government agencies as well as interlock vendors. Given the current economic environment, it is unlikely that jurisdictions currently have the staff, the resources, or the capacity to support a comprehensive oversight strategy. As such, the development and implementation of a vendor oversight plan should be viewed as a series of incremental improvements that can be integrated into existing activities over time to ensure that plans are achievable.

The following are steps that jurisdictions should consider when developing and/or implementing vendor oversight initiatives:

Step #1: Establish the goals and objectives of the oversight plan. (H-M)

The first step in the development of any vendor oversight plan is the identification of its goals and objectives. Examples of the goals of a plan may include:

- > to preserve the integrity of the alcohol interlock program by ensuring the uniform delivery of quality devices and services to all program participants throughout the jurisdiction;
- > to hold vendors accountable and protect the program's integrity from the improper delivery of devices and services; and/or,
- > to ensure fair business practices and competition among vendors.

Examples of plan objectives are more detailed and may include the following:

- > to ensure that interlock devices are programmed to conform with jurisdictional requirements through routine calibration and testing of configuration profiles;

- > to ensure high-quality training of all program participants across service centers;
- > to ensure that devices are properly installed and maintained;
- > to maintain qualified, trusted, and knowledgeable service technicians;
- > to ensure interlock data are securely captured and files are appropriately transmitted and reported to the program authority; and,
- > to monitor customer complaints and resolutions.

Of importance, each of these goals and objectives should be associated with benchmarks (measures) to ensure that the agency responsible for vendor oversight and vendors have a clear understanding of how and with what frequency performance will be monitored. Such measures are useful to easily distinguish acceptable from unacceptable service delivery. Ultimately, these measures will form the basis to ensure transparent decision-making regarding which vendors/manufacturers are permitted to conduct business in a given jurisdiction and those that are not.

The bottom line is that a vendor oversight plan should strike a careful balance between risk management, feasibility, and available resources. The level and degree of vendor oversight that jurisdictions can practically achieve will be a function of program size, number of manufacturers and service locations, and program staffing. It should be noted that not all tasks will have the same level of priority and careful consideration should be given to the frequency of tasks in relation to the workload and benefits associated with the tasks. As such, in some areas, direct oversight may be less important as long as state agencies are aware of the strategies that manufacturers have in place to address relevant issues.

Caveat: Jurisdictions can monitor their ability to meet objectives using a variety of strategies designed to help manage costs and effectively utilize resources. Hence, consideration should be given to the various ways in which objectives may be achieved and measures can be gathered. For example, depending on the priority of a specific objective, and the workload associated with it, monitoring can be completed by a state agency, a vendor, or an independent auditor. To illustrate, field testing of devices is essential and may be most appropriate for a state agency; conversely, the training and certification of service technicians can be managed by vendors with appropriate affidavits submitted to state agencies.

Step #2: Designate an agency to be responsible for the management of the vendor oversight plan. (H)

Ideally, one agency should be designated to manage vendor oversight. The agency that is selected will vary across jurisdictions according to program structure, agencies roles, and plan objectives. In some jurisdictions it may be that different aspects of vendor oversight are managed by different agencies (e.g., indigent funding, device field testing, data reporting). In these instances, it may be useful to select one agency to manage the oversight plan with other participating agencies reporting to it. This will help to create accountability, facilitate information-sharing, and bring consistency to operations.

It is also recommended that each agency that conducts some form of vendor oversight also designate a key agency contact person to manage all incoming inquiries and requests pertaining to vendor oversight tasks.

Step #3: Work closely with interlock program staff representing all involved agencies to gather information to assist in plan development. (H)

Frontline staff frequently interact with vendors and clients on a daily basis. As such, they possess considerable knowledge and expertise regarding program practices. They are well-positioned to identify

gaps associated with existing oversight strategies as well as solutions to address them. More importantly, their participation can ensure that any vendor oversight plan identifies feasible operational practices needed to perform oversight tasks.

Step #4: Engage manufacturers as partners early in the development process. (H)

Jurisdictions are encouraged to include manufacturers in the development of an oversight plan early on in the process. They will be important partners in the execution of any plan. Their participation in plan development will ensure that state agencies have a good understanding of what level of oversight currently exists, the extent to which vendors possess internal quality assurance protocols, in what areas oversight is most needed, and how other jurisdictions have addressed this issue.

Caveat: Discussions with manufacturers are best initiated prior to the issuance of a request for certification or the initiation of negotiation of service contracts. Some jurisdictions are unable to communicate with manufacturers once these processes are underway, so the gathering of information should be completed before this stage is reached.

Step #5: Determine which program documents are most suitable to contain elements of the vendor oversight plan to maximize flexibility. (M-L)

This step is important to provide jurisdictions with maximum flexibility and facilitate needed changes to the plan as issues arise. For example, some elements of the plan are best contained in administrative rules (e.g., technical standards for devices); others may be more suitable to incorporate into a request for certification or contract (e.g., specific data reporting requirements).

In addition, as oversight tasks are developed, the language used to describe these tasks should contain sufficient detail to articulate expectations to vendors and also to protect state agencies. However, tasks should not be so prescriptive as to preclude flexibility in achieving objectives.

Step #6: Seek input from experienced auditors during plan development. (H-M)

The development of a complete vendor oversight plan can benefit from the expertise of knowledgeable auditors. If possible, agencies should consider leveraging internal agency staff that is experienced in the development and execution of audit plans to provide insight into critical tasks, operational procedures, and appropriate measures to gauge performance.

Step #7: Review current practices among manufacturers to gain insight into their respective protocols, practices, and procedures to inform the development of an oversight plan. (H)

A review of existing manufacturer practices can greatly facilitate the development of an oversight plan and minimize the resources required to create new documentation, protocols and processes. At the same time, this review can help ensure that compliance with the vendor oversight strategy is feasible and achievable for all manufacturers conducting business in a jurisdiction.

Important manufacturer practices that should be considered as part of this review include:

- > data management tools and software capabilities;

- > workflow processes;
- > internal auditing of service centers (e.g., proper signage, cleanliness, safety equipment, sufficient inventory and staff, required protocols relating to installation, servicing, and de-installation) in conjunction with appropriate protocols to resolve any issues;
- > technician training and certification processes;
- > technician support services (e.g., number that technicians can call for assistance);
- > client and/or family training protocols to use the interlock device;
- > customer service training;
- > manufacturer auditing of service center procedures;
- > communication of technical updates to service centers;
- > checklists and report forms that are used with clients; and,
- > complaint resolution processes.

Caveat: Site visits to service centers can be beneficial to gauge existing practices, gain firsthand experience with the breadth of oversight practices across manufacturers, and provide operational insight into effective and streamlined monitoring processes. The information gathered through site visits can be useful to assist in the development of service center auditing procedures as part of the oversight plan.

Caveat: It is likely more appropriate to meet with manufacturers individually to discuss their internal oversight protocols. Some aspects of their internal operations will be considered proprietary and vendors will not be inclined to share such internal practices with other manufacturers.

Step #8: Determine what data elements may be required to manage vendor oversight, and how these elements will be collected and managed. (H)

The identification of data elements and the development of data collection and management processes are critical components of any vendor oversight plan. This step has growing relevance as more jurisdictions are moving away from paper reporting processes and developing complex and comprehensive automated data management strategies. Not only can the level of automation across manufacturers vary, but many manufacturers also have proprietary reporting software. Efforts are needed to ensure that any automation of the interlock program is also compatible with and able to accommodate existing systems. This step will also assist jurisdictions in future efforts to develop standardized reporting procedures.

There are many benefits associated with program automation. Not only can it reduce workload, increase the quality and quantity of available information to inform decision-making, and speed up the processing of offenders, but it can also facilitate vendor oversight and improve the monitoring of indigent offender programs. The primary reason for data collection is to monitor offender compliance with interlock program rules and program automation greatly improves the efficiency with which this monitoring can take place.

It is important to recognize that the automation of an interlock program is one of the most significant program costs that will be incurred. Decisions made at this stage will have considerable implications for the program as they will affect the volume and quality of information, the workload associated with tasks, the flexibility of the system, and the costs associated with system upgrades downstream.

Hence, there is a list of critical questions that should be considered as part of discussions surrounding this element of a vendor oversight strategy.

- > What data elements will vendors be required to report either as part of offender interlock files or other administrative reports (e.g., number of installs/removals, number of indigent offenders, number of technical issues with devices). Each of these data elements should be clearly defined.
- > What data elements will vendors be required to submit to the administering agency for the purpose of offender monitoring? What data elements are not needed for review and should not be submitted?
- > What, if any, data elements can be changed and who will have the authority to change them? Certain data elements should never be changed or if changes are made, they should be tracked so it can be determined who changed it and/or why it was changed. Is a “notes” section necessary to track reasons for changes?
- > What is the protocol for manufacturers to export and transmit data to a central server (e.g., data format, security of transmission, identification of missing data) and is confirmation of transmission required.
- > What data elements require a response or follow-up?
- > Will communication be one-way or two-way (i.e., will vendors only be able to receive information but not initiate queries)?
- > How much data can the server manage (e.g., storage capacity)? There are costs associated with data storage depending on the capacity of the system and length of time information will be retained (e.g., number of offender and administrative reports, frequency of reports, size of reports that will be accumulated over X number of years). Data capacity may be a more significant issue particularly in jurisdictions utilizing more sophisticated devices that include photo identification or GPS reporting.
- > At what point will data be archived and what level of accessibility is needed for archived data (e.g., access within 24hrs versus one week)?
- > Will modifications to the system be required downstream (e.g., to allow other agencies to submit or to access certain types of data)?

Caveat: There are advantages and disadvantages to permitting a service center to make modifications or decisions as it relates to the filtering and submission of data. If technicians are given the authority to make device configuration/specification adjustments or alterations to pass/fail data, close monitoring and tracking of these practices by the administering agency is needed to ensure that program integrity is not compromised.

Step #9: Discuss potential strategies to effectively manage the use of currently approved devices as well as approval protocols to permit the use of technological advances. (M)

Interlock technology is rapidly evolving, making it challenging for jurisdictions to keep pace with device modifications and the inclusion of new features. Many jurisdictions already require devices to meet specific technical standards through independent lab or state testing protocols and this is an important element of a vendor oversight plan.

However, few jurisdictions have developed protocols for actively tracking multiple versions of devices or determined at what point a device has been sufficiently modified to warrant a separate certification process. Jurisdictions are encouraged to consider how modified devices will be managed to ensure that

any modifications are consistent with existing technical standards and that the quality of devices that are acceptable for use in a jurisdiction remains consistent.

Several issues should be considered during discussions regarding the management of modified devices and/or the inclusion of new device features. These include:

- > At what point will devices be considered sufficiently modified as to warrant a new certification process?
- > How often will modifications be permitted (e.g., at any point, only during any renewal of certification so devices can be field tested)?
- > How will new versions of devices be tracked and monitored once the initial device approval has been completed?
- > What modifications to field testing protocols are needed to accommodate any device modifications or new features?
- > How will these device changes be incorporated and who will incorporate these changes into the vendor oversight strategy?

Step #10: Discuss potential strategies to effectively manage service centers and the service technicians who deliver service directly to impaired drivers. (M)

The quality of services that are delivered by service center technicians and staff at service locations across a jurisdiction will significantly affect program participation and public perceptions of the program. It is vital that interlock clients receive professional service from knowledgeable and well-trained staff that is appropriately supervised and equipped to manage a diverse client base. At the same time, it is important to program managers that all service centers deliver high-quality, standardized client training to ensure consistency in program delivery.

The inclusion of effective management strategies for service locations and service technicians as part of an oversight plan can ultimately reduce workload, increase program participation, minimize complaints, and demonstrate due diligence on the part of state agencies. The cost for these measures is typically paid for by the manufacturer in the form of licensing fees.

Critical questions regarding service center technicians that require consideration include:

- > What qualifications are required of service technicians?
- > Will service technicians require a background check?
- > Will service technicians require any type of certification? If so, what certification is required? To illustrate, technician certification can take one hour (written testing).
- > Who will have responsibility for certifying service technicians (e.g., the state, the manufacturer, an independent agency)? If the certification is being granted by the manufacturer it is important that state agencies are aware of on what basis certification is granted.
- > What type of reporting is required in relation to the certification of service technicians?
- > Will certification have to be renewed? If so, how often?

Critical questions regarding service locations that require consideration include:

- > Will service centers require any type of certification or license to do business? If yes, what is the process that will be followed? To illustrate, a service center certification can take as little as 20 minutes if it consists of a vendor declaration and minimal paperwork to confirm that requirements are met.
- > Who will be responsible for certifying or licensing service locations? If vendors are responsible then on what basis will a certification or license be granted and will any reporting to the state be required?
- > How frequently must certifications and/or licenses for service locations be renewed?
- > How many service centers/service technicians are able to conduct business in a jurisdiction?
- > Are service locations required to have a qualified service technician on duty at all times or just during scheduled appointments?

Caveat: Consider visits to service locations to inform the development of a suitable audit structure and to identify components of an audit that should be included.

BUSINESS REQUIREMENTS

There are a wide variety of program requirements that manufacturers and/or their respective devices must meet in order to be approved in a jurisdiction. These requirements are often specified in the form of technical standards, testing protocols, administrative rules and legislation. Several jurisdictions have already developed such documents that are part of their interlock strategy. In this case, a mere review of the documents may be warranted to ensure all relevant components relating to vendor oversight have been suitably addressed and incorporated.

For those jurisdictions without such documents, it is recommended that they draw upon materials from those jurisdictions that have previously completed these steps. Jurisdictions to consider as part of this review process include: Florida, Colorado, Oklahoma, Virginia, Washington, Illinois, and New York.

Core practices that should be included and/or clarified in one or more of the key program documents mentioned previously are briefly described below.

Devices

- > Each interlock device model must be certified by the authorized agency knowledgeable about breath testing instruments. In addition, technical standards may also wish to address the use of different versions of device models by specifying the point at which a model has undergone significant upgrades/updates and should be re-certified. As a priority, jurisdictions should commit to the certification of devices in a timely manner to ensure that devices for the program are readily available and that there are no interruptions in service.
- > Manufacturers should be required to verify the integrity of their devices by submitting a certification from a qualified and accredited independent laboratory (e.g., ISO or other designation) and abiding by NHTSA guidelines. The certification should include a description of the tests that were conducted and a result. The jurisdiction may also wish to utilize their own breath instrument testing facility (e.g., police lab or health and human services agency) to verify that devices are appropriately programmed and that required features are operational.
- > Specific definitions of violations and associated consequences should be created. These definitions are important for two important reasons. First, definitions are necessary to ensure the quality of monitoring/reporting of data. Second, these definitions are important to ensure clients understand what behaviors are unacceptable, what behaviors will be reported, and the consequences for these behaviors during the training process. Jurisdictions are encouraged to review and discuss proposed definitions with manufacturers to ensure that the broad range of possible scenarios that may occur are accounted for and considered in relation to proposed definitions.
- > Manufacturers should be familiar with what constitutes violations and formally acknowledge that they understand what information is to be collected by the device and reported to the jurisdiction. A list of important actions that should be clearly defined and reported includes:
 - » ignition attempts with dates/times;
 - » starts and stops with dates/times;
 - » breath test failure;
 - » BAC levels of failed breath tests;
 - » violation reset² ;

² The definition of a violation reset varies by jurisdiction and will likely be defined in administrative rules. For example, in Oklahoma, a violation reset is defined as three penalty fails at start-up within a fifteen minute frame, an illegal start, or a retest violation.

- » failure to take (skipped) running retest;
 - » running retest failure;
 - » circumvention attempts (e.g., start without a passed test);
 - » device lockout; and,
 - » missed service appointment.
- > Each device should have the capability to reliably store all data without interruption between downloads and must be capable of storing all data required by the jurisdiction as noted in administrative rules.
 - > Strategies relating to the wiring of the device to protect against tampering should be approved (e.g., use of special tape, plastic tabs, hard wiring of device). It may not be necessary for jurisdictions to specifically require certain strategies, but at a minimum, they should be aware of how service centers are managing this and be comfortable with these practices.
 - > Jurisdictions should, at a minimum, require vendors to submit device maintenance and calibration protocols so they are aware of these processes. Alternatively, jurisdictions may wish to specify requirements of these processes that must be followed.
 - > The programming of device features should be exclusively performed by the manufacturer to ensure device consistency across the jurisdiction and to remove the possibility of modifications to devices by service technicians. This practice can protect the integrity of the manufacturer and the services provided.
 - > Each device should be installed with an alarm device, other than the vehicle horn, that emits warning sounds audible to other motorists when the driver either fails a running retest or fails to submit a sample for a running retest. Use of the vehicle horn alone to satisfy this requirement should be unacceptable. Jurisdictions are encouraged to review state laws to ensure that chosen practices are permitted by law.
 - > Each device shall have a toll-free number permanently marked on the unit which is viewable by the licensee after the unit is installed.
 - > Manufacturers should carry liability insurance in the event of device failure.
 - > Jurisdictions are encouraged to develop acceptable rules and protocols to manage the use of mail-in devices (if such practices are permitted) and ensure quality assurance (if used in rural areas). For example, protocols should be developed to ensure data integrity and to ensure that the service and calibration procedures required by the state are adhered to in the event that the service and calibration occurs outside of the jurisdiction. Clients also have the right to be made aware of all costs involved in participating in a mail-in program (e.g., shipping, downloading, etc.). This should be communicated to the client at the outset of program participation.
 - > As part of vendor business requirements, it may be worthwhile to consider the inclusion of protocols to protect vendors in the event that vehicles change ownership or that offenders abscond with devices. For example, if a vehicle is sold, impounded or repossessed, or if the offender removes the device or relocates to another jurisdiction, it is important that vendors have the legal authority to retrieve the device from the vehicle as this represents a significant investment.

Service centers

- > Vendors should review the jurisdiction's administrative rules and agree in writing to comply with these requirements.

- > Jurisdictions should require that vendors conduct background checks for service technicians and any staff that has access to client data and/or interlock data. Service center staff should also be required to sign confidentiality agreements that adhere to relevant jurisdictional laws. Jurisdictions should be aware of what internal protocols exist to ensure that staff adheres to security and privacy requirements.
- > Jurisdictions may wish to specify whether subcontractors may be used for any installation, de-installation, preventative maintenance or routine service, or data download service.
- > Jurisdictions should be familiar with vendor practices in relation to termination of employees and actions taken to immediately remove employee access to information.
- > Service center staff should not have the ability to make any changes to the device software, configurations, or reports.
- > Vendors should inform the program authority about the selected locations (placement and building type) for service centers. The program authority may also choose to approve any locations.³ Criteria may include:
 - » service centers should be located within a reasonable distance from all potential clients throughout a jurisdiction (e.g., 50 mile radius);
 - » service locations should have a licensed technician available during business hours;
 - » separate waiting area for clients so they cannot observe installation;
 - » clients do not have access to data on the computer;
 - » files and paperwork are secured in a locked filing cabinet to protect client information; and,
 - » technicians should have access to a help desk that can respond to technical challenges that arise.
- > Jurisdictions should retain the authority to conduct unannounced visits of service centers.
- > Service centers should provide regular and emergency maintenance services and/or provide any manufacturer-recommended preventative maintenance. Vendors should ensure that all service centers possess all of the diagnostic and other equipment, tools, and replacement parts or complete units needed to assure device functionality.
- > In the event of a device related failure, the vendor should have a plan for repair or replacement of a device. If repairs or unit replacement will require more than a specified time, the service location should make suitable alternative transportation arrangements for the client at no cost to the client.
- > Service locations should be able to accommodate the service requirements of clients who are not available during the usual business hours (Monday through Friday, 8:00 a.m. to 5:00 p.m.).
- > Service centers should have liability policies and insurance and/or surety bonds to protect the jurisdiction in the event of service error or if locations are closed such that clients must find other service locations.
- > Service locations should provide each client with a copy of a certificate of installation in a form prescribed by the program authority. This certificate and other information should also be transmitted to the program authority when a device is installed.

³ The program authority may not have the capacity to conduct visits for all new service center locations as this could be onerous and costly in terms of resources.

- > The period that service locations must retain client files and records following device de-installation and/or the completion of the interlock program or probation should be specified. On average, business records are retained between 5-7 years.
- > The service location may be required to provide a certificate of destruction of records to the program authority (however, this could become a workload issue).

Lease agreements

- > Jurisdictions should review each vendor's lease agreement that they use with clients. The lease should include mention of formal program requirements of the jurisdiction. A review of the lease is important to ensure that the vendor lease requirements of the licensee do not conflict with the requirements of the interlock program.
- > Service locations should provide each client with a signed copy of the lease agreement. The lease agreement should also include language that describes the steps to be taken by the client, the service location, and the program authority upon expiration of the restricted license period. The vendor should provide lease agreements to the State upon request.
- > The service location should also verify a client's eligibility for license reinstatement and this information should be included in the term of the lease.⁴ This information should also be shared with the program authority. This can be easily accomplished if an automated reporting system is in place. For jurisdictions who rely on paper-based reporting systems, it is often the responsibility of the client to track their program exit eligibility date.
- > At the successful termination of a lease, the service location should notify the program authority of the successful completion and the date of the subsequent de-installation of the device.

Caveat: It may be more useful to have the program authority notify offenders of the date they are eligible to have the interlock device removed. Generally, when a client asks to have a device removed the vendor will remove the device or they run the risk of having the offender either abscond with or destroy the device.

Education, training, and staff certification

- > Jurisdictions should review training and certification protocols employed by vendors. Vendors should affirm in writing that staff has received appropriate training about the jurisdiction's interlock program. Jurisdictions may also wish to inquire if service technicians undergo any type of testing or performance review process in relation to specific jurisdictional requirements.
- > Jurisdictions might consider creating a brochure for interlock program participants that covers many of the specifics of the interlock program. The service technician can provide the client with this brochure at the time of installation. This practice could assist in providing accurate and uniform information to all program participants. The brochure should include the following:
 - » explain to each client the elements of the law that relate to the interlock program;
 - » describe the purpose of the interlock device;
 - » describe specific requirements of the interlock restricted license and responsibilities of the offender; and,
 - » consequences of violations.
- > Training provided to clients at service locations should include the following:

⁴ Eligibility for license reinstatement may change depending on client compliance and the use of program extensions for non-compliance.

- » describe the collection and reporting of data to the program authority. Clients should be required to sign an acknowledgement that they received and understood this information. Such a document is useful in instances where clients may claim they “did not know”;
 - » demonstrate how to use the device and appropriate maintenance procedures to be followed;
 - » instruct the client to contact the program authority as appropriate; and,
 - » advise clients of any reports submitted to the program authority that indicate non-compliant activity on the part of the client.
- > Vendors should also be required to deliver training and education to other agencies involved in the delivery of the interlock program. Agencies may include: police, probation, courts, and treatment.

Contractor accessibility

- > Vendors should identify for the program authority an individual that is the single point of contact to discuss the delivery of services. The program authority may also wish to reserve the right to speak with other individuals associated with the vendor, including any subcontractors.
- > Vendors should maintain a seven-day-per week, twenty-four hour per day (7 x 24 x 365) toll-free telephone number through which licensees, clients, law enforcement officers, and state agency staff may reach the vendor for emergency assistance, device instruction, roadside device testing, and emergency bypass instructions (if applicable) to permit emergency movement of the vehicle. The vendor typically is required to respond to these priority calls for service within fifteen minutes.
- > Vendors should be required to participate in any interlock program working group as requested by the program authority. An interlock working group exists in some jurisdictions and is an important tool to address common issues among all program agencies.
- > Manufacturers and vendors should be required to provide expert witness testimony regarding interlock devices, violation reports, and facts concerning service and activities in relation to individual cases if requested to do so by the program authority. Of importance, vendors should be able to provide such testimony using acceptable, cost-effective strategies in order to manage costs.

State-wide provision of service

- > Vendors should maintain an adequate number of installation, de-installation, and service locations (fixed and/or mobile) to meet the requirement for state-wide coverage. Generally speaking, vendors are required to provide service within 50-100 miles of state residents. Services should include: device installation, regular device service, service because of device failure, scheduled data downloads, and device removal.
- > In some jurisdictions (e.g., New Mexico), vendors may be responsible for service in a specific rural area in order to avoid all vendors having to provide service there. Similarly, in Illinois, the state can require a randomly selected vendor to provide service in areas that are under-served.
- > Jurisdictions may want to consider that vendor fees for service be uniform to all clients within a jurisdiction.

OVERSIGHT PLAN COMPONENTS

There are a number of key components that should be included in any vendor oversight plan. These components include measures pertaining to: devices, the use of any unaffordability or indigency fund, data management, service center site inspections, de-certification protocols, and formal outcome reporting of results. Each of these components is discussed in more detail in this section. Keep in mind that these components are in addition to those discussed previously in the Business Requirements section in relation to the development of administrative rules, technical device standards, and vendor certification procedures or contracts.

In relation to each of these components, consideration should be given to the following issues: who will be responsible for oversight (e.g., state agency, vendor); how will information be reported; and, what actions will be taken as a result.

Another important issue is the frequency of vendor oversight and this should also be considered in relation to each of the components discussed below. Some components of the plan will need to be monitored more frequently than others. To provide some context, examples of the frequency of some oversight activities are outlined:

- > Conduct an initial complete audit for every service center after it has been open for six months. The frequency of subsequent audits may vary. Some jurisdictions undertake to inspect each service center annually. Other jurisdictions with more service centers choose to audit a random sample of service locations. This is typically a function of resources and manpower. In some jurisdictions, a fee is charged by the program authority to conduct these inspections. Ultimately, the level of service location inspections will also be a function of the frequency with which problems are identified.
- > It is estimated that a site audit may take 30 minutes to one hour to complete.
- > Field testing of a device for re-certification purposes may require an estimated 16 hours (per device annually) in order to test the device and complete the necessary paperwork.

The frequency with which each of the components of the plan is monitored will also have implications for workload and resources, hence these issues should be considered as part of decision-making.

Devices

- > Develop a strategy to manage the re-certification of devices. Critical questions may include:
 - » How frequently will devices require certification (e.g., annually, bi-annually, after significant change)? Note that decisions in relation to this question should include consideration of costs, staff, and the time required to complete the process.
 - » How will modifications of devices be managed? How will new versions of devices be tracked and monitored?
 - » Who will be responsible for the testing of devices as part of device recertification (e.g., independent lab, state agency)? If device testing is conducted by an independent lab, will ISO or other certification of the lab be required?
 - » What paperwork and level of detail will be required for devices to be re-certified?
 - » How many devices will be submitted as part of the testing process? Agencies may wish to utilize the same number of devices as is required for the approval process.

- > Develop a strategy to manage the random field testing of devices to confirm that devices are accurately configured. Keep in mind that the purpose of a field test is to determine that devices are programmed according to the rules of the state; the purpose is not to test the accuracy of the device. Critical questions may include:
 - » What agency will be responsible for field testing devices?
 - » What test protocol will be used (e.g., the same protocol used for the initial approval process?). The test protocol should include the creation of specific events to verify responses to retest refusals, high BAC fails, and anti-circumvention features. Individuals conducting the tests should take notes of events so they can be matched against responses logged by the device to measure accuracy. This process can also assist program staff in learning the terminology used by different manufacturers to describe different types of events.
 - » What forms/paperwork will be completed as a result of field testing and to whom will the outcomes be reported?
 - » Will the manufacturer be required to install devices in state vehicles in order to field test them?
 - » How many devices will undergo field testing?
 - » How will devices be selected for field testing (e.g., will devices for field testing be randomly selected from service centers as part of the site inspection)?

Caveat: To address any device issues that may arise, it is helpful for vendors to designate a manufacturer representative who is responsible for issues pertaining to device specifications. Similarly, the designation of a state agency representative for vendors to communicate with is equally appropriate and helpful. The clear designation of staff to address issues relating to devices can improve day-to-day operations and can make it easier to address problems in a timely fashion. It can also improve communication and minimize the number of staff involved in managing and addressing problems.

Unaffordability or indigency fund

- > It is important that any unaffordability or indigency fund⁵ be implemented using strong controls and criteria to manage the granting of funds. Critical questions may include:
 - » Who will be responsible for compiling documentation pertaining to applications for and granting of funding?
 - » How will offenders that are eligible for funding be tracked and monitored? For example, which agency is responsible for reporting when offenders first begin using the fund and when they stop using the fund?
 - » Will there be any checks performed to confirm that offenders are indeed unable to afford the cost of the device? For example, to what extent will forms or paperwork be reviewed?
 - » Will an offender's eligibility for funding be reviewed throughout their program participation (to determine if support is still required)? How frequently will this occur?
 - » Will there be a regular audit of the fund? How frequently will this occur?
 - » Who will be responsible for auditing the fund? Will this task be completed by an internal or external auditor?

⁵ Some jurisdictions clearly distinguish between the ability to afford counsel (which is a constitutional right) as opposed to unaffordability of an interlock device which recognizes a different financial burden and the fact that there is no constitutional right to drive a vehicle.

- » How will the use of the fund be measured against the total number of offenders participating in the interlock program?
- » Will there be random checks to reconcile state agency and vendor files?

Caveat: It is important to determine whether or not a participant who continually violates program regulations/is non-compliant will remain eligible to receive indigent funding. Guidelines should be created for this process.

Data management

- > Efforts are needed to ensure that data are being accurately gathered and reported as these data form the basis for any actions that are taken by state agencies, vendors, and service locations. Critical questions to consider as part of the development of this component include:
 - » Are data consistently reported according to protocols? How will this be measured?
 - » How frequently do error reports occur and what actions are taken to reconcile errors? Are there issues that frequently result in error reports and is it possible to minimize reports resulting from this issue to improve program operations?
 - » How frequently are vendors/service centers utilizing any data system portal? How often do vendors enter data into the system (e.g., during client visit, weekly, monthly)? To what extent are data up-to-date, delayed, or missing?
 - » To what extent will efforts be undertaken to reconcile information in vendor and agency files to ensure consistency? How will this be measured? What actions will be taken to ensure that the most accurate and current information is available to state agencies?
 - » Are proper security features associated with the management of data?
 - » Are downtime procedures in place in the event of portal failure?

Site inspections

- > Establish a site inspection audit program that is developed with consideration of requirements contained in relevant documents such as administrative rules, technical standards, and the approval process or vendor contract. Consideration should also be given to any existing program issues and proposed/pending changes to the program. Examples of critical elements to examine as part of any site inspection may include:
 - » How frequently will service centers be inspected or audited?
 - » Who will conduct the inspections and what paperwork will be completed as part of the process? How will it be determined if any licensing or certification of the service center and any of its employees is current? Are technicians tested for knowledge of state administrative rules and device requirements?
 - » How will the delivery of training to service technicians and the conducting of employee background checks be confirmed?
 - » Is a licensed installer(s) present at the location during hours of business? How many technicians are available during peak hours of service? The ratio of service center employees to installers/technicians provides an indication of wait times for service.
 - » Is there a signed attestation from the client in the service center file?

- » Does the service technician access the agency data portal while the driver is present? This allows the technician to communicate any messages from the state agency to the driver (e.g., to contact the driver licensing authority).
 - » How will it be determined to what extent the service center uses the data portal with the state agency? A strategy should be considered to gauge the completeness of the data that are entered, the timeliness of reporting, and the volume of error reports that occurs.
 - » Does the inventory of active vehicles in the vendor's proprietary system match the list of active vehicles in the state agency system?
 - » Does the technician deliver the required training to the driver using the proper protocols? Is there a separate waiting area for clients that is clean and has educational materials available? Is the client unable to observe the installation of the device?
 - » Is appropriate paperwork and documentation provided to the driver upon their visit?
 - » Have the use of financial assistance and the monthly charges credited been verified?
 - » How will it be confirmed that technicians have an appropriate level of access to information? Are service center employees required to sign confidentiality agreements? How will it be confirmed that a technician's access to any manufacturer or state data system is immediately deleted following employee termination?
 - » Will results of manufacturer inspections of the service center be reviewed by the state agency as part of the inspection process?
 - » Are confidential files and paperwork appropriately secured to protect client information?
 - » Will a random selection of client files be reviewed to ensure that they are consistent with state files (e.g., violations are reported, dates of key events are consistent)?
 - » Are complaints about the service center tracked and reviewed to determine outcomes? Will a random review of the complaints received and addressed be part of the inspection process?
- > The installation and servicing of devices is a critical element of the site inspection protocol and there are a number of key issues that should be considered as part of the inspection. Key activities that should be considered during an inspection include:
- » The observation of a device installation and client training. Confirm that tamper seals are present on devices that are installed.
 - » The observation of a service appointment to confirm that the technician performs a physical inspection of the wiring on the vehicle (every 60 days).
 - » The observation of a device calibration with particular attention given to the simulator model and serial number; the temperature reading on device; the measuring of the reference solution used. Note that there should be a consistent calibration point. It may be useful for manufacturers in the jurisdiction to make a recommendation for a common calibration point to promote this consistency and to make a determination as to whether wet baths or gas calibration (ethanol breath standard) will be used.
 - » Confirm that the service center maintains a simulator log and ensure that the seals on simulators are in good working condition.
 - » Confirm that the reference solution is stored in a climate controlled environment and that each is clearly marked by the manufacturer.

- » Note the tank pressure and expiration dates if a gas reference is used.
 - » Inspect the tubing of the tank as cold temperatures affect tanks.
 - » Check to make sure that all devices on-site are approved devices.
 - » Depending on the altitude of the service location, it may be useful to use a preliminary breath testing device to measure test results at both elevation and sea level.
- > Additional audit considerations may include the direct survey of drivers to identify state program authority and vendor opportunities to improve program delivery and the quality of service to clients.

De-certification process

- > A process to effectively manage manufacturers or service centers who fail to comply with state rules and regulations is important to protect state agencies and the integrity of the program.
- > However, the de-certification of manufacturers or service centers to prevent them from conducting business in a jurisdiction should be a last resort and not be undertaken lightly as this can inconvenience clients and disrupt service delivery. For this reason, it is recommended that jurisdictions have in place a series of graduated sanctions that may be applied to strongly encourage manufacturers, vendors, and service centers to be compliant with state rules and regulations.
- > The graduated sanctions that are applied should not result in the disruption of service for clients. Consider the following: some service centers may have a pre-paid lease with clients who will be inconvenienced if the service center is not able to complete routine service appointments. However, service centers can be precluded from completing any new installs and this will minimize/avoid interference with service for current clients.
- > States should develop a set of graduated sanctions that may be applied to service centers in response to non-compliance with state rules and regulations. Service centers should be officially notified of the reasons they are non-compliant and given a reasonable period of time to take action to correct non-compliance before sanctions are applied.
- > In addition, an agency should be designated to apply sanctions and this agency should develop a process for applying sanctions and tracking outcomes.
- > Consideration should be given to whether service locations will be able to appeal the application of sanctions, how this process will be managed, and by whom.

Caveat: Jurisdictions that have oversight experience note that most manufacturers and service centers are willing to comply with jurisdiction requirements and should have a reasonable opportunity to demonstrate compliance before they are no longer permitted to provide services to a jurisdiction. In particular, the suspension or removal of a vendor can have profound implications for program participants who must have new devices installed, and can negatively affect available service locations throughout a jurisdiction. For this reason, jurisdictions are encouraged to consider a range of options (e.g., suspending new installations, imposing fines) designed to bring manufacturers/service centers into compliance so that the removal of a vendor is only considered as a last resort.

Caveat: It is important to underscore that state agencies should strive to develop a good working relationship with vendors and service centers in order to address problems as they arise and resolve them using efficient strategies.

Formal outcome reporting

- > It is essential that the outcomes of a vendor oversight plan are documented and recorded. These outcomes should be reviewed with state agency staff, vendors, and service centers to help the many

agencies involved in program delivery address program challenges and improve service delivery. This step is also essential to increase program efficiencies by helping to minimize workload and the use of resources in the future. Therefore, once the vendor oversight plan has been executed, meetings between the agency responsible for oversight and each of the agencies involved in the program should be scheduled to share feedback.

Caveat: It is important to be diligent in the allocation of resources and staff towards this component of a vendor oversight plan. It is through formal reporting that programs can be evaluated and opportunities to strengthen program operations are identified.

Caveat: The sharing of results with agencies and staff involved in alcohol interlock program delivery can effectively engage staff in thinking about the quality of service provision, understanding the effects of poor service delivery, and identifying ways to improve operations.

As an optional step, the agency responsible for vendor oversight may also wish to solicit feedback from relevant others involved in the program. For example:

- > Feedback from agency line staff in the field can inform understanding of the adequacy of service delivery (e.g., what is working well and where problems are occurring).
- > A collateral/comparative analysis with other agencies that use the same device is useful to compare outcomes and determine how manufacturers are performing relative to other jurisdictions.
- > It may also be useful to consider the results of client exit surveys collected by vendors in relation to the outcomes of the vendor oversight plan.

CONCLUSIONS

It is paramount that the vendor oversight strategy that is developed be both feasible and achievable. Plans that are too labor intensive will not be executed and fail to provide state agencies with any degree of protection from claims.

However, it goes without saying that the execution of the vendor oversight plan will ultimately be a function of resources. It cannot be underscored enough that the implementation of a vendor oversight plan need not be onerous. As each component of the vendor oversight plan is developed, thought should be given to how frequently elements of the plan will be executed.

In order to effectively manage limited resources, components of the plan should be strategically assigned to keep workload manageable. For example, some components of the plan should be handled by the state program authority whereas other components of the plan can be handled by vendors with appropriate reporting and documentation provided to the state authority.

It should also be recognized that the implementation of the oversight plan will likely be more labor intensive at the outset and there will be a period of adjustment to bring manufacturers and service centers into compliance with the requirements of the strategy. As such, manufacturers should be considered partners in the process. Once the plan has been implemented and vendors provided with the opportunity to make adjustments to practices, the workload should lessen. The ongoing level of scrutiny that is required may vary depending on the degree of rigor associated with the initial approval process.

Of importance, regular meetings with vendors to touch base and keep lines of communication open are invaluable to minimize issues that may arise. Such communication provides regular opportunities to gather feedback and address issues as they arise. It also can encourage a proactive approach among vendors to share relevant information.

APPENDICES

Examples of oversight documents include:

- 1. New York State Uniform Ignition Interlock Monitoring Report** – contains client information (e.g., name, address, case number, installation/removal date, etc.), vehicle information (mileage, make/model, plate, VIN, etc.), numeric summary of events (violations), and monitor information (technician name, phone, fax, and email). The monitoring report also requires the technician to note the interlock device/model, whether or not it is a camera unit, and the last calibration date. There is also space for the manufacturer to provide an interpretation of the data if it is available.
- 2. New York State County Monitors' Report of Ignition Interlock Device Sentencing Orders Received and Installation Status** – contains instructions on how to submit interlock installation information to various monitoring agencies. The court monitor is required to submit quarterly reports that identify the county and agency that is reporting along with operator information. The data submitted is used to track the number of offenders who are ordered to pay for the device in full, use a payment plan, or have costs waived. Installation information (per quarter) is also submitted including the number of court orders for interlock installation, the number of devices that are actually installed, and the class of devices that are installed.
- 3. Florida Process Guide for DUI Program Site Visits** – this guide was developed to assist in reviewing interlock violation monitoring practices. Includes provisions that interlock requirements are reviewed and updated; verification that clients report monthly; verification that clients with three or more violations have been referred to treatment; review of 10 interlock client files to ensure compliance with regulations; and verification that appropriate fees have been charged for appointments.
- 4. Florida Ignition Interlock Program On-site Review Form** – used as a vendor oversight tool for visiting service centers and observing technician interaction with clients. The form outlines facility requirements, documentation requirements (policies and procedures, personnel records, and customer records), and observations of technician and client interactions (for installations, downloads, and de-installations). The form also allows for the reviewer to comment and note if there are any issues that require immediate attention.
- 5. Illinois Vendor Question Form** – contains multiple questions that are to be answered by vendors in order to ensure that they are operating in accordance with state rules and regulations.
- 6. Illinois Secretary of State Central Systems Services FTP Request** – outlines instructions for submitting electronic client files to the Secretary of State via an ftp server.
- 7. Illinois Input Text File Layout for Multi-conviction Affidavit Application** – provides instructions on how to input text (regarding client records); includes events, tests, or actions recorded by the BAID.
- 8. Illinois BAID Vendor Recertification** – application for recertification of vendors; includes list of criteria and additional requirements that must be submitted in order to be considered for recertification.
- 9. Oklahoma Board of Tests Ignition Interlock Certification Field Test** – this form was developed to aid in the testing of the operation of interlock devices in the field. In order for a device to be certified, it must operate in accordance with state regulations and by using this form, an evaluator can test whether or not the device operates properly (e.g., tests penalty fail, illegal start, retest refusal, retest failure, etc.).

10. **Oklahoma Board of Tests Inspection Report for Ignition Interlock Service Centers** – used by evaluators when they inspect service centers. The form requires that the individual review service center documents, observe installations and data downloads, check technician qualifications, and verify calibration procedures. Any deficiencies are noted.
11. **Oklahoma Board of Tests Application for Foreign Installation Verification** – this form is for service center technicians to complete who are located outside of the state’s 25 mile radius inclusion zone. The form must be completed and submitted to the program authority. It formally acknowledges that the vendor agrees to comply with the rules and regulations contained within the Oklahoma administrative code.
12. **Oklahoma Board of Tests Installation Verification** – this form is to be completed by the technician at the time of device installation and submitted to the program authority. It contains information about the client and their vehicle. An installation decal must be affixed to the form and the client is required to initial the form as recognition that they understand what constitutes a program violation.
13. **Oklahoma Board of Tests Mechanics’ Affidavit** – the completion of this form is required when work is done on an interlock-equipped vehicle. It contains information about the client and the vehicle and requires the mechanic to attest to the fact that the vehicle was worked on and that any violation(s) recorded by the device were incidental to the work that was performed.
14. **Oklahoma Board of Tests Violation Report** – the violation report is to be completed by the service technician if the client is found to be non-compliant with program rules/regulations. The technician must note the type of violation along with the date, time, and BrAC level (if it was a failed breath test) and submit the report to the program authority.
15. **Missouri Ignition Interlock Installer/Service Center Report** – this form was created specifically for the purpose of vendor oversight and is completed during a service center audit by a monitor. The checklist to be completed by the monitor contains criteria related to interlock devices, installation procedures, facilities, servicing/calibration protocols, and device removal procedures.

New York State Uniform Ignition Interlock Monitoring Report

Service Center
Full Address

Phone #
Fax #
Vendor Representative

Date of Service
Date Report Generated
Report Period

Device/Model
Handset Ser.#
Relay Ser.#
Camera Unit
Last Calibration Date

Client Information

Monitor Case Number
CJTN
County
Installation Date
Removal Date
Name
DOB
Full Address
License # (CID)
Phone #

Monitor Information

Name
Full Address

Phone #
Fax #
E-Mail

Vehicle Information

Mileage (between service visits)
Make and Model
Plate #
Color
VIN
Vehicle Owner

Numeric Summary of Events

Missed Start Re-Test
Failed Start Re-Test
Missed Rolling Re-Test
Failed Rolling Re-Test
Missed Service Visits
Violation Lockouts
Illegal Starts
Apparent Tamperings or Circumventions

High BrAC (≥ 0.05)
Engine Starts
Engine Stops
Power Offs
Power Ons
Handset Disconnects
Handset Connects
Authorized Starts
Aborts

Detailed Events

Date and Day	Time (am/pm)	Event	Result/% BrAC
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Manufacturer Interpretation of Data (if available)

County Monitors' Report of Ignition Interlock Device Sentencing Orders Received and Installation Status

Revised Instructions as of September 7, 2011

This electronic version of the "County Monitors' Report of Ignition Interlock Device Sentencing Orders Received and Installation Status" (file name "IID Quarterly Form5 – September 7, 2011") is the current version to be used by all monitors. Because the data will be matched with other databases for analysis and research purposes it is preferred that these reports be submitted in a spreadsheet file format such as Microsoft Excel. These instructions were revised to clearly distinguish IID devices ordered by the court from those actually installed.

This form is formatted for 24 cases. However, it can be expanded by inserting more rows anywhere after the row for operator #1, but before the row for operator #24. The spreadsheet must be unlocked or unprotected (there is no password) to do so.

For counties that are reporting for more than one monitoring agency (for example, the Probation Department also reporting for District Attorney's Office, STOP DWI, Sheriff, or Counseling, etc.), please indicate at the top of the spreadsheet that the report includes both agencies.

An electronic copy of the report should be sent to iidreports@dcjs.state.ny.us. A hard copy of the signed report including vouchers and signed fiscal cost reports must be sent to the DCJS' Finance Office on the 10th floor at 4 Tower Place, Albany NY 12203 within 30 days of the close of each quarter. If either OPCA or the Finance Office does not receive their respective documentation, a payment hold may be placed on your contract until your county's reports are received.

Heading Information	
County	The county name for which the report is being filed.
Agency Reporting	The monitoring authority or authorities submitting the Quarterly Report. It is acceptable for counties with separate probation and conditional discharge monitors to report on the same form, but the names of both agencies must appear in this instance.
Contract #	The DCJS Contract Number to which the information provided applies.
Quarter/Year	Check the box for the quarter for which this information is submitted and fill in the year.
Operator Information for all Orders Received	
Last Name, First Name, MI, DOB, NYSID, Driver's License #, Sentence Date	Enter the operator's last name, first name, middle initial, DOB, NYSID (if available), and sentence date for cases where a court ordered the installation of an Ignition Interlock Device regardless of whether it was actually installed. Repeat operators information using a separate line on the form for each vehicle the court orders the installation of an ignition interlock device.
Court Ordered Device Information	
# Full Pay Ordered	The number of devices for which the court <u>ordered</u> the operator to pay all IID fees regardless of whether it was actually installed. No need to zero-fill.
# Payment Plan Ordered	The number of devices for which the court <u>ordered</u> the operator to pay a portion of the IID fees regardless of whether it was actually installed. No need to zero-fill.
# Cost Waived Ordered	The number of devices for which the court <u>ordered</u> that IID fees be waived by the manufacturer regardless of whether it was actually installed. No need to zero-fill.
Installation Information	
IID Installed	Enter 1 (one) if the device was actually installed or enter 0 (zero) if it was not actually installed.
IID Class	Enter 1 if a class 1 device was installed. Enter 2 if a Class 2 device was installed. Enter 3 if a Class 3 device was installed.
Quarterly Total Orders	Enter the total number of orders received during the quarter. If more than one page is submitted for the quarter, please sum the sub-totals of each page and insert the grand total in this space on the first page of the Quarterly Report.
Installation Summary by Class	Sum the number of Class 1, Class 2 and Class 3 devices <u>actually</u> installed and fill in the respective blanks.

Process Guide for DUI Program Site Visits:

Excerpts from the Process Guide that pertain to the Q/A review of IID violation monitoring:

- 14) Ask how the program accesses and tracks ignition interlock device data for those clients in SSS who have an ignition interlock device. _____

- ✓ Verify that the ignition interlock requirements are discussed and reviewed at each periodic update.

 - ✓ Verify that SSS clients who do have the IID report to the vendor monthly.

 - ✓ Verify that SSS clients that have had three violations have been referred to treatment.

- 15) Ask how the SSS evaluators handle positive IID readings (incorporated into the CMP). If the program utilizes a specialized case management plan for IID issues, obtain a copy for our records. _____

Ignition Interlock Client Files (Clients NOT in SSS)

- 1) Complete IID file reviews on 10 IID client files to ensure compliance with FAC and describe any concerns below _____

- 2) Verify that appropriate fees have been charged for ignition interlock client appointments. For first offense, \$25 for one appointment. For second offense, \$55 for initial case planning appointment and \$25 monthly thereafter. The third violation requires a referral to treatment. The program can charge \$55 for the treatment referral and \$5 for another DRI, if six months has lapsed since taking the test for DUI school. Verify that Form 77137, Letter Recommending Cancellation, is faxed to BDI if the client fails to report to two consecutive appointments. _____

- 3) Ask the program the policy and procedure for identifying IID 3rd violators; communicate with the Department and referring them to treatment, and tracking compliance. _____

Florida Ignition Interlock Program – On-site Review Form

Vendor: _____ **Location:** _____

Technician: _____ **Date:** _____

Facility

_____ Enclosed building

_____ Separate customer area clean, comfortable, and in good repair

_____ Security measures to prevent unauthorized access to material

Describe: _____

(Note customer information left in open view, unsecured offices, usage of locked file cabinets, etc.)

Documentation

Policies and Procedures

_____ Procedures for installation (including tamper proof feature) and removal

_____ Procedures for examination of device for tampering

_____ Procedures for calibration testing

_____ Procedures for processing data log reports

_____ Procedures for processing complaints

_____ Procedures for handling intoxicated customers

_____ Procedures for handling customers who drive illegally

Revised 09/06

Florida Ignition Interlock Program – On-site Review Form

Vendor: _____ **Location:** _____

Technician: _____ **Date:** _____

Facility

_____ Enclosed building

_____ Separate customer area clean, comfortable, and in good repair

_____ Security measures to prevent unauthorized access to material

Describe: _____

(Note customer information left in open view, unsecured offices, usage of locked file cabinets, etc.)

Documentation

Policies and Procedures

_____ Procedures for installation (including tamper proof feature) and removal

_____ Procedures for examination of device for tampering

_____ Procedures for calibration testing

_____ Procedures for processing data log reports

_____ Procedures for processing complaints

_____ Procedures for handling intoxicated customers

_____ Procedures for handling customers who drive illegally

Revised 09/06

Florida Ignition Interlock Program – On-site Review Form

Vendor: _____ **Location:** _____

Technician: _____ **Date:** _____

Facility

- _____ Enclosed building
- _____ Separate customer area clean, comfortable, and in good repair
- _____ Security measures to prevent unauthorized access to material

Describe: _____

(Note customer information left in open view, unsecured offices, usage of locked file cabinets, etc.)

Documentation

Policies and Procedures

_____ Procedures for installation (including tamper proof feature) and removal

_____ Procedures for examination of device for tampering

_____ Procedures for calibration testing

_____ Procedures for processing data log reports

_____ Procedures for processing complaints

_____ Procedures for handling intoxicated customers

_____ Procedures for handling customers who drive illegally

Revised 09/06

BAIID Division



Round # 1 County:

Date:

211 HOWLETT – SPRINGFIELD, IL 62756 – (217) 524-0660

Name of Installation Site:

Name of Installer/Manager:

Address:

Preliminary Notes:

List the Vendor: CST, AAA, NAT, BSL, SMA, GUA, ALC

Monitor or Mail-in

- How are your relations with your vendors?
- How are your relations with your customers?
- How many devices would you say you install on an average month?
- Are there instruction manuals and training information available for clients to read during the install? (DVDs/Verbal Instructions/Manuals)
- Do you make the offender use the device successfully before leaving the facility? (# of successful blows?)
- When installing the device, do you solder the connections or use connectors? (What type of connector?)
 - If connectors are used, does the vendor supply various sizes for proper installs on different vehicles?
 - Once the device is installed, is connection protected with heat shrink tape or vendor issued stickers?
- How often do clients come in to have the device removed early? (Your Procedure)
- Were there any clients that had to have malfunctioning devices serviced? (Resolved within 48 hours?)
- During any of your de-installs/recalibrations did you find/make note of any attempts to circumvent the device?
- Did you uninstall/service any devices that another installer initially installed?
 - How was their work? (If unsatisfactory, please list installer if known)
- Is your recalibration device a Dry Gas or Wet Bath machine? (warm-up time? pump/blow? Up-to-date solution?)
- Are there any questions or comments you have for me?

Notes:

Jesse White Illinois Secretary of State

502 S 2nd St. Room 211 Springfield, IL 62703

BAIID Division



Round #:

County:

Last Visit:

Date:

211 HOWLETT – SPRINGFIELD, IL 62756 – (217) 524-0660

Name of Installation Site:

Name of Installer/Manager:

Address:

Issues from Last Visit:

List the Vendor: CST, AAA, NAT, BSL, SMA, GUA, ALC

Preliminary Notes:

Monitor or Mail-in

- Has anything changed in the past month that was an issue with your vendor(s)?
- Any problematic situations occur during scheduled installs or with customers??
- Is there anyone new installing the units? Has he or she been trained in the use of the device?
- How many devices have you installed since the last visit?
- Were there any clients that had to have malfunctioning devices serviced? (resolved within 48 hours?)
- Since my last visit, have you serviced any vehicles that came from another installation site that had BAIID problems?
- For Wet Bath Calibrations:
 - Is the Vendor supplying you with adequate solution (if provided by Vendor)?
 - How often is the solution replaced?
 - How do you keep track of replacement time? (Manually or Computer Tracks)
 - If the installer must blow into the Wet Bath simulator for recalibration, do you rinse out your mouth first?
- During any of your de-installs/recalibrations did you find/make note of any attempts to circumvent the device?
- Are there any new questions or comments you have for me?
- Conversation Topics:
 -
 -
 -

Notes:

Jesse White Illinois Secretary of State

502 S 2nd St. Room 211 Springfield, IL 62703

**Illinois Secretary of State
Central Systems Services
ftp Request**

Gentlemen

The Illinois Secretary of State is ready for the ftp process to start when your company is ready to send. To start, please send a test file and let our production controllers know the file has been uploaded.

Tom Green, 217-785-0001, tgreen@ilsos.net , will be the primary contact for this purpose. Once you have sent a test file, SOS will process the file on the SOS test system to be sure everything is working OK. After that test, you may begin sending a single file, via ftp, to sos instead of emailing the file to the baiid group. I hope this process is as automated for your company as I expect it to be for SOS. This should result in fewer missed files.

Your company, xxxxx, ftp user ID is yyyy with a password of zzzz. The Ftp site is

The file should be named ILBAIID.TXT

We have set up an ftp dropoff and pickup directories. This box is a linux box and is case sensitive.

Our ftp site is a Linux box with an IP of 199.15.3.4

The URL for the ftp sites is as follows:

ftp://UserID:Password@sosftp
or
ftp://UserID:Password@199.15.3.4

If you use ftp://userID@199.15.3.4 , it will prompt you for the PASSWORD.

ftp server is usable by desktop connection or programmatically

A single file should be sent to IL-SOS per business day
ILSOS expects only to pick up one (1) file per business day per company.

The file should not be “zipped”. Send uncompressed.

+Input text file layout for Multi Conviction Affidavit Application

The file will be a text file with all fields in each record being delimited by a semi-colon (;). All fields are required unless otherwise specified.

Header record

Should be one header record per driver being reported.

Name:	Size:	Description	Notes
Record type	1 char	Header indicator	Constant value "H"
DL Number	12 char	Drivers License number	format Annnnnnnnnnn
Company ID			
Start Date			
End Date			

separated by ';' (semicolon) Drivers license #, Name of individual, Company ID, various start to end dates.

Detail Record

May be one to many detail records as necessary to report all activity for the BAIID Device. Activity is the event, test, or action recorded by the BAIID. All fields may be variable length although many will fill the size specified. The semi colon is still required.

NAME:	SIZE:	DESC:	FORMAT:
Record type	1 char	Header indicator	Constant value "H"
DL Number	12 char	Drivers License number	format Annnnnnnnnnn
DAY	3 char	day of week	Sample values "MON", "THU"
DATE	8 char	date of activity	mm/dd/yy
TIME	5 char	time of activity	hh:mm
Activity	15 char	(tests, retest etc)	text, free form punctuation
BAC level	4 char	BAC Reading	.nnn note decimal position.
Result	20 char	Device action/result	text Passed yes Failed Invalid sample --- pressure Rolling retest - Toot horn Breath samples requested: 5 Rolling retest - Blast horn bypassed! refused!

- ALL values separated by semicolon
-

BAIID Vendor Recertification

(Please fill out and attach to recertification application)

Recertification applications are due no later than December 1, 2010

Application Requirements:

- Name _____
- Business Address _____
- Telephone number of applicant _____

If a business entity other than corporation:

Owner(s) of the entity

- Name _____
- address _____

If a corporation:

Person/entity owning 10% or more of shares

- Name(s) _____
- Address _____

Applicant who will be providing BAIID services

- Name _____
- Address _____
- phone number _____
- titles of officers, managers, supervisors _____

BAIID Vendor uses

- Name of manufacturer** _____
Model _____
- Has the BAIID been certified by SOS
 - Yes
 - No
- Is the applicant the manufacturer?
 - Yes
 - No (if no) must have proof of right to distribute and install the specific unit
 - Letter on letterhead
 - Copy of a purchase, lease, or rental agreement with manufacturer
- Distribution
 - Listing of names/addresses of current installers
- Proof of liability insurance
- Copy of Lease agreement used with customer
- Copy of fee schedule
- Statement agreeing to indemnification and hold harmless provisions on letterhead
- Statement that they have read, understand and agree to uphold rules governing IL BAIID providers
- Copy of a Wet Bath Calibrator user manual for each different calibration machines used by your company
- Copy of training materials given to customers
- Please review list of concerns brought forth from customer complaints, installer site inspections, and BAIID Division observations. **Please review list and attach a plan for how these issues are/will be addressed.**

Recertification Contact:

Name: _____ **Phone:** _____

Date Submitted: _____

Please address the following concerns/questions in your reapplication:

- 1. If your company uses wet bath simulators to recalibrate the devices,**
 - a. How often is the solution changed? How many calibrations can be done before solution should be changed?**
 - b. How is solution usage monitored?**
 - c. How are you verifying that install sites that do onsite calibrations are changing the solution on a timely basis?**

- 2. The Illinois Administrative code dictates that "any device to be certified shall require the operator of the vehicle to submit to a running retest at a random time within 5 to 15 minutes after starting the vehicle. Running retests shall continue at a rate of two per hour in random intervals not to exceed 45 minutes after the first running retest." Our field testing and review of monitor reports shows that not all devices are meeting this requirement.**
 - a. Please provide a statement that the device certified for your company meets certification standards on this issue.**

- 3. Install and deinstall notices are being delivered to our office with inaccurate dates and not in a timely manner in some instances.**
 - a. Please explain how your install/deinstall notices are generated, how the dates on them are determined, and your delivery method to the Secretary of State.**

- 4. Installers have complained about poor technical assistance from Vendors, poor training, and poor customer service.**
 - a. Please explain your method for ensuring that your installers are able to function at a high level and how you provide them with ongoing assistance.**

- 5. The Illinois Administrative code also says that Vendors will provide a toll free customer service/question/complaint hotline that is answered at a minimum, during normal business hours, Monday through Friday.**
 - a. Please explain how and when customers can get a hold of you, your internal policy for responding, and what options a customer has for reporting bad customer service.**

Please return recertification application to:

**Susan McKinney, Administrator
IL Secretary of State
BAIID Division
501 South 2nd St.
Room 211
Springfield, IL 62756**

Applications must be received by December 1, 2010.



BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE
Ignition Interlock Certification
Field Test

Manufacturer Name: _____ Device Model No.: _____

1. Call Manufacturer Representative and schedule an appointment for installation of the device.
Installation information: _____
2. Record the serial number & version of the installed components:
Component: _____ Serial number/Version: _____
Component: _____ Serial number/Version: _____
3. Observe the installation of the device and participate in the normal training process. **Make sure the device is configured for a person 21 years or older with 30+ days programmed in the device.** Note the color and location of the starter wires: _____
4. Describe the anticircumvention method(s) employed by the manufacturer: _____

5. When you have completed the installation process and are prepared to leave, attempt to start the vehicle without blowing a breath sample _____ (date / time). Did the vehicle start? YES NO
Note what you heard and/or saw: _____

6. Blow a sample in the device and **do not** comply with the ant circumvention method(s) employed by the manufacturer _____ (time). Attempt to start the vehicle. Did the vehicle start? YES NO Note what you heard and/or saw: _____

7. Follow the normal operating procedure and start the vehicle _____ (time). Upon a retest request, pull over and comply with any retest(s) and note the time of the retest(s): _____ (prompt)
_____ (delivered) Note what you heard and/or saw related to the retest request: _____

8. When you reach your destination, turn the vehicle off: _____ (time) Wait approximately 20 seconds and attempt to restart the vehicle without blowing a breath sample _____ (time). Did the vehicle start? YES NO Note what you heard and/or saw: _____

9. Attach copies of all installation paperwork received. Make any additional notes regarding the installation: _____

10. Penalty Fail

Power the device on. Deliver a high alcohol sample into the device: _____ (time). Attempt to start the vehicle. Did the vehicle start? YES NO Note what you heard and/or saw: _____

Did the service counter reset? YES NO Note what you heard and/or saw: _____

11. Illegal Start

With the device powered OFF, use the prescribed method to bypass the device and start the vehicle: _____ (time). Allow the vehicle to run for at least 4 minutes and note what you heard and/or saw: _____

_____ (car stopped)
Did the service counter reset? YES NO Note what you heard and/or saw: _____

12. Retest Refusal

Follow the normal operating procedure and start the vehicle: _____ (time). Upon the first retest request _____ (prompt) pull over and refuse the retest by leaving the vehicle running until you see an indication of the retest refusal: _____ (time). Note what you heard and/or saw: _____

Turn the vehicle off: _____ (time). Wait approximately 20 seconds after the retest refusal indication and attempt to restart the vehicle without blowing a breath sample: _____ (time). The free restart should not be enabled and the vehicle should not start. Did the vehicle start? YES NO Note what you heard and/or saw: _____

13. Retest Failure

Follow the normal operating procedure and start the vehicle: _____ (time). Upon a retest request _____ (prompt) pull over and deliver an alcohol sample into the device: _____ (time). Note what you heard and/or saw: _____

_____ Turn the vehicle off: _____ (time).

14. Retest Refusal - Turning the vehicle "off" while a retest is in progress.

Follow the normal operating procedure and start the vehicle: _____ (time). Upon the first retest request _____ (prompt) pull over and turn the vehicle "off" while the retest is in progress: _____ (time). Note what you heard and/or saw: _____

Wait approximately 20 seconds after the retest refusal indication and attempt to restart the vehicle without blowing a breath sample: _____ (time). The free restart should not be enabled and the vehicle should not start. Did the vehicle start? YES NO Note what you heard and/or saw: _____

15. Retest Refusal – If possible, unplugging the handset while a retest is in progress. If not, skip this step.

Follow the normal operating procedure and start the vehicle: _____ (time). Upon the first retest request _____ (prompt) pull over and with the vehicle running disconnect the handset from the base unit: _____ (time). Note what you heard and/or saw: _____

Turn the vehicle “off” after 7 minutes _____ (time). Reconnect the handset _____ (time). Note what you heard and/or saw: _____

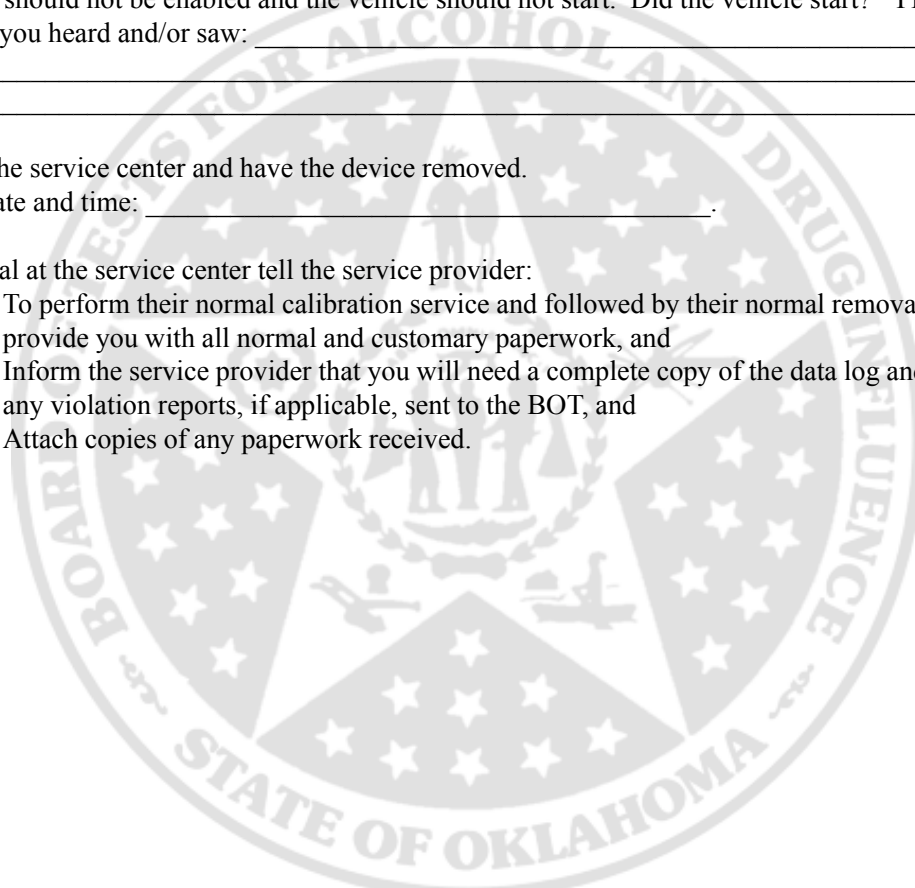
Wait approximately 20 seconds and attempt to restart the vehicle without blowing a breath sample. The free restart should not be enabled and the vehicle should not start. Did the vehicle start? YES NO
Note what you heard and/or saw: _____

16. Return to the service center and have the device removed.

Note the date and time: _____.

17. Upon arrival at the service center tell the service provider:

1. To perform their normal calibration service and followed by their normal removal service and provide you with all normal and customary paperwork, and
2. Inform the service provider that you will need a complete copy of the data log and a copy of any violation reports, if applicable, sent to the BOT, and
3. Attach copies of any paperwork received.





The Board of Tests for
Alcohol and Drug Influence
P.O. Box 36307
Oklahoma City, OK 73136-2307
(405) 425-2460

Inspection Report Ignition Interlock Service Center

Inspector	Report Date	Type of Inspection <input type="checkbox"/> Initial <input type="checkbox"/> Annual <input type="checkbox"/> Special
Service Center Name		Certification Number
Service Center Physical Address		Phone Number

A. Document Review Yes No Comments:

B. Observation Yes No Comments:

C. Site Visit <input type="checkbox"/> Yes <input type="checkbox"/> No	Service Representative(s) Present and Certification Number(s): <input type="checkbox"/> Yes <input type="checkbox"/> No	Non-Certified Employees Present? <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> Simulator Manufacturer and Model	Serial Number	Temperature <div style="display: flex; justify-content: space-around; align-items: center;"> °C °C </div> <small>Displayed Measured</small>
		Seal Pressure Test <input type="checkbox"/> Good <input type="checkbox"/> Leaks
		Calibration Log <input type="checkbox"/> Yes <input type="checkbox"/> No
		Reference Solution Storage
Reference Solution Manufacturer		Lot Number
		Expiration Date
		Predicted Value
		PBT Result (x3)
<input type="checkbox"/> Gas / Manufacturer		Tank Pressure
		Expiration Date
		Predicted Value
		PBT Result (x3)
Preparatory Documentation / Description <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A		Configuration Verified <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A

Comments:

D. Based on the inspection(s) listed above, the following deficiencies were noted:

E. This form is official notice that the deficiencies noted in Section D must be corrected as follows:

I have received a copy of this inspection report. If deficiencies were noted in Section D, this report constitutes a written warning. I understand that failure to make any correction(s) noted in Section E may result in enforcement action by the Board.

Received By: _____

Certification Number: _____



STATE OF OKLAHOMA
BOARD OF TESTS FOR ALCOHOL AND DRUG INFLUENCE
Post Office Box 36307
Oklahoma City, OK 73136-2307

FOREIGN INSTALLATION VERIFICATION

The purpose of this program is to ensure the installation of an Oklahoma certified ignition interlock device, required for compliance with an Oklahoma Installation Authority¹, is accomplished in accordance with the Oklahoma ignition interlock rules and regulations published in the Oklahoma Administrative Code, Title 40, Chapter 50, Section 1-1 *et seq.* (available online by clicking the “Administrative Rules” link at: <http://ignitioninterlock.ok.gov>).

The Board of Tests for Alcohol and Drug Influence (the “Board”), created an “Inclusion Zone”. The Inclusion Zone means an area encompassing 25 driven miles from the Oklahoma state line as determined by the Board.

Inside the Inclusion Zone, upon completion of the installation of a certified ignition interlock device at a service center duly licensed by the Board, required for compliance with an Installation Authority, the Oklahoma licensed ignition interlock technician who installs the device shall provide the participant with an “Oklahoma Ignition Interlock Installation Verification” affixed with an Installation Decal. Installation Decals are purchased from the Board, by Oklahoma licensed ignition interlock technicians, for a fee of \$10.00 each.

Upon completion of the installation of an Oklahoma certified ignition interlock device at a service center located **outside** the Inclusion Zone, required for compliance with an Installation Authority, the ignition interlock technician who installs the ignition interlock device shall forward a completed “Application for Foreign Installation Verification”, a completed “Oklahoma Ignition Interlock Foreign Installation Verification”, and the appropriate fee of \$10.00 to the Board. Upon approval of the application, the Board will affix an Installation Decal and forward the Oklahoma Ignition Interlock Foreign Installation Verification to the Monitor². It shall be the responsibility of the applicant to incur any costs of mailing this application to the Board. Incomplete submissions will not be considered.

If you have questions concerning any forms or processes, contact the Board at (405) 425-2460.

¹ "Installation Authority" means the Oklahoma agency or entity by statute or order requiring or authorizing installation of a device.

² "Monitor" means the agency, organization and/or person(s) designated by the Installation Authority to receive reports regarding ignition interlock program participants.

Application for Foreign Installation Verification

To make application for foreign installation verification, submit:

1. This **completed** application,
2. The **completed** "Oklahoma Ignition Interlock Foreign Installation Verification", and
3. A business check or certified funds payable to "The Board of Tests" in the amount of \$10.00 to:

The Board of Tests
Foreign Installation Verification
P.O. Box 36307
Oklahoma City, OK 73136-2307

Full legal name of service center _____

Name of technician who installed the device _____

Physical address of the service center, city, state, zip code _____

(_____) _____
Service center telephone number

(_____) _____
Service center fax number

Service center e-mail address _____

Ignition interlock manufacturer represented _____

Monitor agency and contact name _____

(_____) _____
Monitor telephone number

Technician's Initials I have read, understand, and agree to comply with the Oklahoma ignition interlock rules and regulations published in the Oklahoma Administrative Code, Title 40, Chapter 50, Section 1-1 *et seq.* (available online by clicking the "Administrative Rules" link at: <http://ignitioninterlock.ok.gov>) with respect to the ignition interlock device installed for the participant named:

Print participant's name as it appears on the "OKLAHOMA IGNITION INTERLOCK FOREIGN INSTALLATION VERIFICATION".

Technician's Initials I understand that failure to comply with the above listed Oklahoma ignition interlock rules and regulations could result in administrative action against the manufacturer of the installed device.

By my signature below, I certify that the information given in this application and all accompanying documents is true and correct to the best of my knowledge and ability.

Technician's signature

Date

Do not write below this line

Reviewed by _____ Date _____

Approved Installation Decal Number _____ Denied



**OKLAHOMA IGNITION INTERLOCK
FOREIGN INSTALLATION VERIFICATION**
All Information Must Be Completed

Under age 21? YES or NO
Circle one

Participant name _____ Date of birth _____

Mailing address _____ City _____ State _____ Zip code _____

() _____ () _____
Home phone _____ Other phone _____ DL state _____ DL number _____

Vehicle Year _____ Make _____ Model _____ VIN _____

Tag state _____ Tag number _____

Monitor agency _____ () _____
Monitor telephone number _____ Case number _____

Installation date _____ Program length (months) _____

My initials below affirm I have read, or have had read to me, and understand the reportable violations defined in Title 40:50-1-3.2 of the Oklahoma Administrative Code and listed below. Furthermore, I understand that I am responsible for any and all violations recorded by the Ignition Interlock or observed by a technician.

****VOID****
*without numbered
"\$10.00
installation fee
paid" Decal*

_____ **Three penalty fails, at startup, within a fifteen (15) minute time frame.**

Participant Initial

_____ **Any illegal start.**

Participant initial

_____ **Three retest violations. Each retest violation thereafter constitutes a reportable violation.**

Participant initial

_____ **Removal of the device except:**

Participant initial

(A) Upon receipt of documentation from the Installation Authority or Monitor authorizing said removal.

(B) The vehicle is being repaired. The program participant must inform the licensed service center at least every eight (8) days as to the anticipated date of completion of repairs, or

(C) The vehicle is being replaced. In the event the vehicle is being replaced by another vehicle, the removal and reinstallation of the device in the subsequent vehicle must be accomplished within eight (8) days of the removal.

_____ **Tampering (defined as "any act or attempt to alter, interfere, disable, defeat or circumvent the installation or operation of the device" O.A.C. 40:50-1-1).**

Participant initial

Installing service center name _____ () _____ () _____
Service center phone _____ Service center fax _____

Mailing address _____ City _____ State _____ Zip code _____

Approved ignition interlock device model / version number _____ / _____
Component serial number(s) _____

Installing technician's printed name _____ License number _____ Participant's signature _____ 12/2010



OKLAHOMA IGNITION INTERLOCK INSTALLATION VERIFICATION

All Information Must Be Completed

Participant name _____ Date of birth _____ **Under** age 21? YES or NO
Circle one

Mailing address _____ City _____ State _____ Zip code _____

() _____ () _____
 Home phone _____ Other phone _____ DL state _____ DL number _____

Vehicle Year _____ Make _____ Model _____ VIN _____

Tag state _____ Tag number _____

Monitor agency _____ () _____
 Monitor telephone number _____ Case number _____

Installation date _____ Program length (months) _____

My initials below affirm I have read, or have had read to me, and understand the reportable violations defined in Title 40:50-1-3.2 of the Oklahoma Administrative Code and listed below. Furthermore, I understand that I am responsible for any and all violations recorded by the Ignition Interlock or observed by a technician.

****VOID****
*without numbered
 "\$10.00
 installation fee
 paid" Decal*

- _____ Participant Initial **Three penalty fails, at startup, within a fifteen (15) minute time frame.**
- _____ Participant initial **Any illegal start.**
- _____ Participant initial **Three retest violations. Each retest violation thereafter constitutes a reportable violation.**
- _____ Participant initial **Removal of the device except:**
 - (A) Upon receipt of documentation from the Installation Authority or Monitor authorizing said removal.**
 - (B) The vehicle is being repaired. The program participant must inform the licensed service center at least every eight (8) days as to the anticipated date of completion of repairs, or**
 - (C) The vehicle is being replaced. In the event the vehicle is being replaced by another vehicle, the removal and reinstallation of the device in the subsequent vehicle must be accomplished within eight (8) days of the removal.**
- _____ Participant initial **Tampering (defined as "any act or attempt to alter, interfere, disable, defeat or circumvent the installation or operation of the device" O.A.C. 40:50-1-1).**

Installing service center name _____ () _____ () _____
Service center phone Service center fax

Mailing address _____ City _____ State _____ Zip code _____

Approved ignition interlock device model / version number _____ Component serial number(s) _____

Installing technician's printed name _____ License number _____ Participant's signature _____

12/2010



OKLAHOMA IGNITION INTERLOCK MECHANIC'S AFFIDAVIT

PARTICIPANT INFORMATION

Name _____ Date of birth _____ Case number _____

Mailing address _____ City _____ State _____ Zip code _____

() _____ () _____
Home telephone _____ Other telephone _____ DL state _____ DL number _____

VEHICLE INFORMATION

Year _____ Make _____ Model _____ VIN _____

Tag state _____ Tag number _____

***By my signature below and in accordance with Title 12 O.S. Section 426,
"I state under penalty of perjury under the laws of Oklahoma that the foregoing is true and correct."***

I hereby attest to the fact that I worked on the vehicle listed above and any violation(s) recorded by the ignition interlock device were incidental to the work performed. Describe the type of repair work performed (all receipts for parts or sublet labor must be attached) and how your actions resulted in the ignitioninterlock device recording a violation:

**This section to be completed if the Participant performed the repair work
This section must be notarized to be valid**

Participant's signature _____ Subscribed and sworn to before me this _____ day of _____

Notary Public _____ My Commission Expires _____

This section to be completed if a Mechanic performed the repair work

I, or my coworkers, were in sole possession of the above described vehicle from _____ to _____
Date and time Date and time

Mechanic's name _____ Employer name _____

Employer's address _____ City _____ State _____ Zip code _____

() _____
Employer's telephone _____ Mechanic's signature _____ Date _____

12/2010



OKLAHOMA IGNITION INTERLOCK VIOLATION REPORT

PARTICIPANT INFORMATION

Name _____ Date of birth _____ Case number _____

Mailing address _____ City _____ State _____ Zip code _____

() _____ () _____
Home telephone _____ Other telephone _____ DL state _____ DL number _____

REPORTING PARTY INFORMATION

Name _____ Telephone () _____ E-mail address _____

Mailing address _____ City _____ State _____ Zip code _____

MONITOR INFORMATION

Name _____ Telephone () _____ Fax number () _____

Mailing address _____ City _____ State _____ Zip code _____

VIOLATION INFORMATION

- Three penalty fails, at startup, within a fifteen (15) minute time frame** *O.A.C. 40:50-1-3.2(a)(1)*
 Date: _____ Time: _____ BrAC: _____
 Date: _____ Time: _____ BrAC: _____
 Date: _____ Time: _____ BrAC: _____
- Illegal start** *O.A.C. 40:50-1-3.2(a)(2)* Date: _____ Time: _____
- Retest violation(s)** *O.A.C. 40:50-1-3.2(a)(3)*
 First retest violation Date: _____ Time: _____
 Second retest violation Date: _____ Time: _____
 Third retest violation Date: _____ Time: _____
 Additional retest violation Date: _____ Time: _____
- Device removal** *O.A.C. 40:50-1-3.2(a)(4)* Date: _____
- Tampering** *O.A.C. 40:50-1-3.2(a)(5)* (Describe below)

Comments:

12/2010



IGNITION INTERLOCK INSTALLER/SERVICE CENTER REPORT
STATE OF MISSOURI

INSTALLATION/SERVICE CENTER <input type="text"/>		CITY <input type="text"/>
SERVICE CENTER OPERATOR <input type="text"/>		PHONE NUMBER <input type="text"/>
DATE OF VISIT <input type="text"/>	MONITOR DONALD DEBOARD	OVERALL RATING S <input type="checkbox"/> U <input type="checkbox"/>

DEVICE			
MANUFACTURER	<input type="text"/>		
MODEL NUMBER	<input type="text"/>		
SERIAL NUMBER	HANDSET	CONTROL BOX	<input type="text"/>

INSTALLATION OF INTERLOCK DEVICE			
NAME OF INSTALLER:	<input type="text"/>	TRAINED BY:	<input type="text"/>
VEHICLE DESCRIPTION: MAKE	<input type="text"/>	MODEL	<input type="text"/>
		YEAR	<input type="text"/>
UNAUTHORIZED PERSON ALLOWED TO OBSERVE INSTALLATION	Y <input type="checkbox"/>	N <input type="checkbox"/>	
VEHICLE INSPECTION COMPLETED PRIOR TO INSTALLATION	Y <input type="checkbox"/>	N <input type="checkbox"/>	
DEVICE CALIBRATED DURING INSTALLATION	Y <input type="checkbox"/>	N <input type="checkbox"/>	W/B <input type="checkbox"/> D/G <input type="checkbox"/> SET POINT <input type="text"/>
NAME OF TECHNICIAN WHO CALIBRATED DEVICE	<input type="text"/>		
ALL CONNECTIONS SOLDERED	Y <input type="checkbox"/>	N <input type="checkbox"/>	WARNING LABEL AFFIXED Y <input type="checkbox"/> N <input type="checkbox"/>
CONNECTIONS PLACED IN AN INCONSPICUOUS AREA OF VEHICLE	Y <input type="checkbox"/>	N <input type="checkbox"/>	
ALL PARTS, WIRES & EXPOSED ELECTRICAL CONNECTIONS COVERED WITH TAMPER PROOF TAPE	Y <input type="checkbox"/>	N <input type="checkbox"/>	
NAME OF TECHNICIAN WHO TRAINED CLIENT	<input type="text"/>		
CLIENT GIVEN USER REFERENCE/PROBLEM -SOLVING GUIDE FOR DEVICE	Y <input type="checkbox"/>	N <input type="checkbox"/>	
VIDEO INSTRUCTION AVAILABLE	Y <input type="checkbox"/>	N <input type="checkbox"/>	
CLIENT RECEIVED TRAINING AND COULD PROVIDE BREATH SAMPLE TO START VEHICLE	Y <input type="checkbox"/>	N <input type="checkbox"/>	
TOOLS AND TEST EQUIPMENT ADEQUATE FOR INSTALLING AND REMOVING INSTRUMENTS	Y <input type="checkbox"/>	N <input type="checkbox"/>	

FACILITIES			
FIXED <input type="checkbox"/>	MOBILE <input type="checkbox"/>	IF MOBILE UNIT, LOCATION AT TIME OF VISIT	<input type="text"/>
SEPARATE WAITING AREA FOR CLIENT	Y <input type="checkbox"/>	N <input type="checkbox"/>	SCHEDULE OF FEES PROVIDED Y <input type="checkbox"/> N <input type="checkbox"/>
ALL PARTS, EQUIPMENT AND MATERIALS SECURED	Y <input type="checkbox"/>	N <input type="checkbox"/>	
24HR TOLL FREE NUMBER PROVIDED	Y <input type="checkbox"/>	N <input type="checkbox"/>	TOLL FREE NUMBER <input type="text"/>
TOOLS AND TEST EQUIPMENT ADEQUATE FOR SERVICING DEVICES	Y <input type="checkbox"/>	N <input type="checkbox"/>	
EQUIPMENT FOR CALIBRATING	Y <input type="checkbox"/>	N <input type="checkbox"/>	EQUIPMENT FOR DOWNLOADING DATA Y <input type="checkbox"/> N <input type="checkbox"/>
REPLACEMENT DEVICES & PARTS	Y <input type="checkbox"/>	N <input type="checkbox"/>	

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**IGNITION INTERLOCK INSTALLER/SERVICE CENTER REPORT
STATE OF MISSOURI**

SERVICING OF IGNITION INTERLOCK DEVICE			
SERVED BY:	<input type="text"/>	TRAINED BY	<input type="text"/>
SCHEDULED SERVICE	<input type="text"/>	VIOLATION SERVICE	<input type="text"/>
		CALIBRATION CONFIRMATION TEST Y <input type="checkbox"/> N <input type="checkbox"/>	
RECALIBRATED	Y <input type="checkbox"/> N <input type="checkbox"/>	STALL TEST PERFORMED	Y <input type="checkbox"/> N <input type="checkbox"/>
CHECKED FOR EVIDENCE OF TAMPERING OR CIRCUMVENTION		Y <input type="checkbox"/>	N <input type="checkbox"/>
ALL INFORMATION DOWNLOADED FROM DEVICE		Y <input type="checkbox"/>	N <input type="checkbox"/>
PHOTOS TAKEN FOR EVIDENCE IF TAMPERING OR CIRCUMVENTION FOUND		Y <input type="checkbox"/>	N <input type="checkbox"/>

REMOVAL			
INSTALLER REMOVING DEVICE	<input type="text"/>	TRAINED BY	<input type="text"/>
APPROPRIATE NOTIFICATION FOR REMOVAL MADE		Y <input type="checkbox"/>	N <input type="checkbox"/>
VEHICLE RETURNED TO NORMAL OPERATING CONDITION		Y <input type="checkbox"/>	N <input type="checkbox"/>

MONITOR COMMENTS
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

GENERAL INFORMATION			
FOLLOWUP AUDIT NEEDED	DATE OF FOLLOW UP AUDIT	COPY SENT TO Mo. D.O.T.	DATE COPY SENT
Y <input type="checkbox"/> N <input type="checkbox"/>	<input type="text"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	<input type="text"/>
MONITOR	<input type="text"/>	DATE	<input type="text"/>
		COUNTY	<input type="text"/>

APPROVED	
MANUFACTURER CONTACT NEEDED	Y <input type="checkbox"/> N <input type="checkbox"/> IF YES, DATE CONTACTED <input type="text"/>
COMMENTS	<input type="text"/>
<input type="text"/>	
<input type="text"/>	
<input type="text"/>	

Mo. D.O.T PROGRAM MANAGER DATE

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NOTES

NOTES



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