



FLORIDA DEPARTMENT *of* STATE

CHARLIE CRIST
Governor

Dawn K. Roberts
Interim Secretary of State

October 15, 2010

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Senate Policy and Steering Committee on Ways and Means
201 Capitol
Tallahassee, Florida 32399-1300

Dear Directors:

Pursuant to Chapter 216, Florida Statutes, our Legislative Budget Request for the Department of State is submitted in the format prescribed in the budget instructions. The information provided electronically and contained herein is a true and accurate presentation of our proposed needs for the 2011-12 Fiscal Year. This submission has been approved by Dawn K. Roberts, Interim Secretary of State.

Sincerely,


Dawn K. Roberts
Interim Secretary of State

DKR/wps

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DEPARTMENT OF STATE

**DEPARTMENT LEVEL EXHIBITS
& SCHEDULES**

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

Agency Financial and Administrative Systems Support Service

This service enables users in the agency’s administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT application systems that are included (in whole or part) in this IT Service:			
1	E-form application	5	Impromptu
2	Software AG – PC connection	6	Foxpro Payroll, Validation application, Reconciliation application
3	EOS software – RDS (payroll download)	7	Microsoft Office (Access, Excel, Word)
4	I-way (DFS query application)	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Other state agency *(non-primary data center)*
- Other External Service Provider *(specify)* _____
- Southwood Shared Resource Center
- Northwood Shared Resource Center
- Northwest Regional Data Center

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Please identify the number of users of this service. 42

1.4. How many locations currently host agency financial/ administrative systems? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for agency financial and administrative systems are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

Answer the following questions for the primary or dominant IT system within this IT Service.

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Please see attached NSRC SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0700-1800 M-F, 24/7) for:

- 3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-F
- 3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 15 min, 30 min, 60 min)? 15 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Deadlines not met; timely payment of agency bills jeopardized. Payroll not accomplished.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Employee Social Security Numbers (SSN) are maintained and are not a part of the public record.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Data Center Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts**
 Phone: **(850) 245-6116**
 Date submitted: **Oct 15, 2010**

Data Center Service

This service provides the centralized operation and management of data center services through (a) data centers and computing facilities as defined in s. 282.0041, F.S., and (b) single logical-server installations. It includes all resources required to perform data center functions identified in s. 282.201(2)(d)1.e., F.S. for agency strategic and non-strategic IT services.

Statutory definitions from s. 282.0041, F.S., are provided here for convenience:

- "Primary data center" means a state or non-state agency data center that is a recipient entity for consolidation of non-primary data centers and computing facilities. A primary data center may be authorized in law or designated by the Agency for Enterprise Information Technology pursuant to s. [282.201](#).
- "Data center" means agency space containing 10 or more physical or logical servers any of which supports a strategic or nonstrategic information technology service, as described in budget instructions developed pursuant to s. [216.023](#).
- "Computing facility" means agency space containing fewer than a total of 10 physical or logical servers, any of which supports a strategic or nonstrategic information technology service, as described in budget instructions developed pursuant to s. [216.023](#), but excluding single, logical-server installations that exclusively perform a utility function such as file and print servers.

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the non-strategic and strategic IT services that are supported (in whole or part) by data center services offered at the following data centers and computing facilities.		
1	Northwood Shared Resource Center	Network, Email, Desktop, Helpdesk, Agency Financial & Admin Systems Suppt Svcs, Portal, Processing of Commercial and Business Documents, Historic Preservation and Cultural Resources, Public Electronic Access to Agency Data and information Services, Oversight and Support of State Electoral Process; Cultural Grants Information and Resources
2	Southwood Shared Resource Center	Network, Oversight and Support of State Electoral Process
3	Northwest Regional Data Center	
4	Agency (non-primary) Data Center	
5	Agency Computing Facilities	
6	Other External Data Center(s)	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|--|
| <input type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency (non-primary data center) | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider (specify) _____ | |

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Data Center Service

- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Provide the following information regarding agency data centers included in this service:

1.3.1. Number of agency data center(s) N/A

1.3.2. List the major IT application systems¹ hosted at each of these facilities:

Name of Agency Data Center	Major IT Application Systems Supported	External Agency Supported <i>(if applicable)</i>

1.4. Provide the following information regarding agency computing facilities included in this service:

1.4.1. Number of agency computing facilities 1

1.4.2. List the major IT application systems¹ hosted at each of these facilities:

Name of Computing Facility	Major IT Application Systems Supported	External Agency Supported <i>(if applicable)</i>
State Records Center	Total Recall(records management app)	All State agencies
State Records Center	File server Records03(records management support)	All State agencies

1.5. Provide the following information regarding single logical-server installations included in this service:

1.5.1. Total number of logical servers not housed in an agency data center, agency computing facility, or primary data center N/A

1.5.2. Total number of single logical-server installations

1.5.3. List all major IT application systems¹ supported by these servers in 1.5.1 and 1.5.2:

2. Data Center Consolidation

2.1. When are your agency data center and computing facilities scheduled for consolidation into a primary data center? *If not yet scheduled, indicate "Not Available."*

Completed

¹ Any custom developed system, commercially acquired, or open-source software product that is included in the definition of a non-strategic or strategic IT service. *Note: Strategic IT Services and their constituent systems are defined in Worksheets SC-1 & SC-2.*

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Data Center Service

2.2. Has your agency specified service level requirements for this IT service in a service level agreement (SLA) executed with a primary data center in compliance with s. 282.203, F.S.?

Yes No

2.2.1. If no, please explain the specific issues preventing execution, and describe your plan and schedule for resolving those issues.

[Redacted]

2.2.2. If yes, please provide an electronic copy of the executed service level agreement with your Schedule IV-C submission.

3. IT Service Levels Required to Support Business Functions

3.1. Timing and Service Delivery Requirements

3.1.1. Hours/Days that service is required (*e.g., 0600-2400 M-F, 24/7*) 24x7x365

3.1.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? 15 min

3.1.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

If yes, please specify and describe:

Privacy restrictions on SS# and DL on voter registrations, and privacy restrictions on some addresses related to law enforcement, judges, etc...

3.1.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

[Redacted]

3.1.5. What are the security requirements for this IT service? (*Indicate all that apply*)

- Restricted system administration rights Secured entrance to facility
- Systems access through internal network only Systems access through secure encryption
- Criminal background check for data center staff Other

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

[Redacted]

4.2. Are currently defined IT service levels adequate to support the business needs of the agency?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? (*Briefly explain*)

[Redacted]

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Data Center Service

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

Desktop Computing Service

This service enables use of standard office automation functions, as well as access to other applications that require standard desktop functionality. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major hardware and commercial software associated with the Desktop Computer Service:			
1	Sophos Anti-virus software	5	Wintel server
2	SpySweeper software	6	Windows Server OS
3	Patch management (WSUS)	7	
4	HEAT (Call Tracking System)	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> | |

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Please identify the number of users of this service. 600

1.4. How many locations currently use desktop computing services? 9

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No, Unknown) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

The data center services for desktop computing are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
 Yes; informal agreement(s)
 No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Users and IT staff maintain an informal agreement the 24/7 365 service response is expected.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) 0800-1700
M-F

3.2.2. What are the impacts on the agency's business if the Desktop Service is not available?

Delivery of mission essential functions will be greatly impaired.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Support for FVRS and Corporations requires on-site support in off-hours on occasion.

3.2.4. What are security requirements for this IT service? (*Indicate all that apply*)

- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes No

3.2.5.1. If yes, please specify and describe:

FVRS desktops require additional security measures. The Florida Voter Registration System requires special security considerations. By law the Florida Voter Registration System must be administered by the DOS.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes No

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Desktop Computing Service

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General revenue.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

DOS hosts computers for public use in the Library.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

E-Mail, Messaging, and Calendaring Service

This service enables users to send and receive e-mail and attachments, perform departmental calendaring, manage address lists, create and maintain shared or private folders, and store message data provided through the e-mail service. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major hardware and commercial software associated with the E-Mail Service:			
1	Exchange server 2003	5	Wintel Server
2	Panda anti-virus and spam software	6	Windows Server OS
3	Blackberry server and software	7	
4	Ironport Anti-Spam network device	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|--|
| <input checked="" type="checkbox"/> Central IT staff | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> | |

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Please identify the number of users (e-mail accounts/mailboxes) of this service. 600

1.4. How many locations currently host IT assets and resources used to provide e-mail, messaging, and calendaring services? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? *(Identical, Very Similar, No)* Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for e-mail service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Please see attached NSRC SLA

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0600-2100 M-F, 24/7): 24/7 365

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? <5 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The statewide impact would be an unacceptable delay in commercial business entity recordings and state election office communications resulting in non-compliance with statutory deadlines for the customer and agency. Library services would be severely impacted. Department internal and external communications would be severely impacted. Executive interaction with email via Blackberry is critical to the support of the Department's strategic services.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

Service must accommodate mobile and wireless users, timely response to public inquiry during peak election periods, and timely response to inquiries by business entity filers. Department strategic applications are integrated with e-mail services.

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency records retention or privacy policies, restrictions, or requirements applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

The Florida Voter Registration System requires special security considerations. By law the Florida Voter Registration System must be administered by the DOS.

4. User/customer satisfaction

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: E-Mail, Messaging, and Calendaring Service

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

Daily/weekly reports on virus activity and email storage usage provided to IT management.

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost of Completion

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General revenue.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Administration and Management Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

IT Administration and Management Service

This service enables the management and administration of the agency's central IT program or unit. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT application systems that are included (in whole or part) in this IT Service:			
1		5	
2		6	
3		7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> _____ | |

1.2. How many locations currently host assets and resources used to provide IT administration and management services? 3

2. Service Unique to Agency

2.1. If the same level of service could be provided through another agency or external source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.1.1. If yes, what must happen for your agency to use another IT service provider?

2.1.2. If not, why does your agency need to maintain the current provider for this IT service?

The Florida Voter Registration System requires that it's IT administration and management be provided by the Department of State. Current law requires the agency maintain a Chief Information Officer position. This position performs some of these functions for the Department of State.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
 Yes; informal agreement(s)
 No; specific requirements have not been determined and approved by the department

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Data Center Service

If you answered "Yes," identify major (formal or informal) service level requirements:

DOS administration and management requires support M-F 8 - 5.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for the systems included in this service: 0800-1700 M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? <5 minutes

3.2.3. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No

If yes, please specify and describe:

The Florida Voter Registration System requires special security considerations. By law the Florida Voter Registration System must be administered by the DOS.

3.2.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

The Florida Voter Registration System requires a high level of system availability to employees and the public. Special security considerations apply to this system. By law the Florida Voter Registration System must be administered by the DOS.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?
 Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs of the agency?
 Yes No

If no, what changes need to be made to the current IT service? (*Briefly explain*)

4.2.1. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General revenue for Department, Federal funds for HAVA (FVRS)/cost allocation.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

Dept/Agency: **Department of State**
Submitted by: **Don Roberts - CIO**
Phone: **(850) -245-6116**
Date submitted: **Oct 15, 2010**

IT Security/Risk Mitigation Service

This service involves the implementation of measures to reduce risk and ensure continuity of the IT Services supporting the agency. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- | | |
|---|--|
| <input checked="" type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> _____ | |

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) **Very Similar**

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

Current law requires State agencies to maintain an Information Security Manager position. This position performs all of these functions with the Department of State. The Florida Voter Registration System requires that it's security and risk mitigation be managed by the Department of State. The data center services for IT security & risk mitigation are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

If you answered "Yes," identify major (formal or informal) service level requirements:

Please see attached NSRC SLA, and informal agreements with agency users.

3.2. Timing and Service Delivery Requirements

- 3.2.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*): 24/7 365
- 3.2.2. In the event of an emergency, how quickly must essential services be restored to maintain the agency's continuity of operations? 72 hours
- 3.2.3. How frequently must the IT disaster recovery plan be tested? Annually
- 3.2.4. In the event of a security breach, what is the agency's tolerance for down time of security IT services during peak periods, i.e., time before management-level intervention occurs (*e.g., 10 min, 60 min, 4 hours*)? 15 minutes
- 3.2.5. Are there any agency-unique service requirements? Yes No
If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

By law the Florida Voter Registration System must be administered by the Department. All positions associated with this system are considered Positions of Special Trust.

- 3.2.6. What are security requirements for this IT service? (*Indicate all that apply*)
- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____
- 3.2.7. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?
 Yes No

If yes, please specify and describe:

By law the Florida Voter Registration System must be administered by the Department. All positions associated with this system are considered Positions of Special Trust. Private information used to identify registered voters must be kept confidential.

4. User/customer satisfaction

- 4.1. Are service level metrics reported regularly to business stakeholders or agency management?
 Yes No
If yes, briefly describe the frequency of reports and how they are provided:

C-SIRT management and reporting – Quarterly.

- 4.2. Are currently defined IT service levels adequate to support the business needs?
 Yes No

- 4.2.1. If no, what changes need to be made to the current IT service? (*Briefly explain*)

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: IT Security/Risk Mitigation Service

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

Network Service

This service enables data connectivity and transport using Local Area Network (LAN) and/or Wide Area Network (WAN) technologies. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major hardware and commercial software associated with this service:			
1	Cisco 6509 Layer 3 switch	5	Groundwork monitor (Nagios)
2	Cisco 3500 series Layer 2 switches	6	Linux Red hat OS
3	Sophos Anti-Virus Software	7	Florida 1 and Florida 5 – 2 HP dl360 servers – DNS servers
4	MSL 5010 Firewall components	8	Remote site Domain Controllers – 2 ML360 1 DL360

1. IT Service Definition

1.1. Who is the LAN service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Other state agency *(non-primary data center)*
- Other External Service Provider *(specify)* _____
- Southwood Shared Resource Center
- Northwood Shared Resource Center
- Northwest Regional Data Center

1.2. Who is the WAN service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Another State agency
- External service provider

1.3. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.4. Please identify the number of users of the Network Service. 600

1.5. How many locations currently host IT assets and resources used to provide LAN services? 10

1.6. How many locations currently use WAN services? 10

1.7. What types of WAN connections are included in this service? *(Indicate all that apply)*

- ATM
- Frame Relay
- Cellular
- Network
- SUNCOM RTS
- Internet
- Dedicated Wired connection
- Radio
- Satellite
- Dial-up connection

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Network Service

Other Embarq MAN VLAN & bridged service; VPN over SOFIA DSL

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(*Identical, Very Similar, No*) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for network service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center. The Florida Voter Registration System requires that network service be managed by the Department of State.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for LAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

WAN – SOFIA contract, MAN connections (CenturyLink)

LAN – The DOS divisions' expectation of 24/7 availability of LAN services to support department strategic services for example: public e-filing for business entities, election reporting, library services, record archive services, etc..

3.2. Has the agency specified the service level requirements for WAN service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

24/7 365 uptime excluding planned maintenance

3.3. Timing and Service Delivery Requirements

3.3.1. Hours/Days that service is required (*e.g., 0800-1600 M-F, 24/7*) for:

3.3.1.1. Online availability

24/7 365

3.3.1.2. Offline and availability for maintenance

limited due to system redundancy design

3.3.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (*e.g., 5 min, 15 min, 60 min*)? <5 minutes.

3.3.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

IT Service Requirements Worksheet: Network Service

Interruption of e-filing for election reporting and business entity filing results in non-compliance with statutory deadlines for the customer and agency. Interruption of voter registration and the timely filing requirements.

3.3.3. Does the agency have a standard for required bandwidth its locations? Yes No

If yes, indicate the standard (*e.g. fiber channels for certain locations*)

Gigabyte fiber connections between switches, dark fiber between campuses, exception for one satellite location with DSL.

3.3.4. Are there any agency-unique service requirements? Yes No

If yes, specify (*include any applicable constitutional, statutory, or rule requirements*)

Service must have the ability to respond to variable and heavy internet demand. Service must accommodate mobile and wireless users, document image processing and management, timely response to public inquiry during peak election periods, and timely response to inquiries by business entities filers. Corporate applications require dedicated oversight and institutional knowledge to support. The Florida Voter Registration System requires special security considerations. By law the Florida Voter Registration System must be administered by the DOS.

3.3.5. What are security requirements for this IT service? (*Indicate all that apply*)

- User ID/Password
- Access through internal network only
- Other _____
- Access through Internet or external network
- Access through Internet with secure encryption

3.3.6. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.3.6.1. If yes, please specify and describe:

The Florida Voter Registration System requires special security considerations. By law the Florida Voter Registration System must be administered by the DOS.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

With exception of election nights, all divisions are required to show Web site usage quarterly.

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? (*Briefly explain*)

IT Service Requirements Worksheet: Network Service

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General revenue for Department, Federal funds for voter registration system

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

Portal/Web Management Service

The Portal/Web Management service enables the publishing of the agency's standard, mission-critical information with its employees and the public. Please consult the Guidelines for Schedule IV-C: IT Costs and Service Requirements for the complete definition of this IT Service and specific direction on how to complete this document.

Identify the major hardware and commercial software associated with this service:			
1	Cold Fusion	5	
2	Wintel Server	6	
3	Windows Server OS	7	
4		8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Other state agency *(non-primary data center)*
- Other External Service Provider *(specify)*
- Northwood Shared Resource Center
- Southwood Shared Resource Center
- Northwest Regional Data Center

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Please identify the number of Internet users of this service. >1,000,000

1.4. Please identify the number of intranet users of this service. 600

1.5. How many locations currently host IT assets and resources used to provide this service? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) Very Similar

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for portal & web service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.. The Florida Voter Registration System requires that it's portal/web service be managed by the Department of State.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
 Yes; informal agreement(s)
 No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Please see attached NSRC SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0600-2100 M-F, 24/7): 0800-1700 M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 5 min, 15 min, 60 min)? 24 hours

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

The Public may not be able to access the strategic websites by referral.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes No

3.2.5.1. If yes, please specify and describe:

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management?

- Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: Portal/Web Management Service

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General revenue.

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

Public users access the Department's home page for division information and contact information. There are also links to the strategic departmental sites for the public to access.

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts - CIO**
 Phone: **(850) -245-6116**
 Date submitted: **Oct 15, 2010**

Agency Financial and Administrative Systems Support Service

This service enables users in the agency’s administrative and support areas to operate and maintain the non-strategic applications that support agency administrative. Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for the complete definition of this IT Service and specific direction on how to complete this document.

Identify major IT application systems that are included (in whole or part) in this IT Service:			
1	E-form application	5	Impromptu
2	Software AG – PC connection	6	Foxpro Payroll, Validation application, Reconciliation application
3	EOS software – RDS (payroll download)	7	Microsoft Office (Access, Excel, Word)
4	I-way (DFS query application)	8	

1. IT Service Definition

1.1. Who is the service provider? *(Indicate all that apply)*

- Central IT staff
- Program staff
- Other state agency *(non-primary data center)*
- Other External Service Provider *(specify)* _____
- Southwood Shared Resource Center
- Northwood Shared Resource Center
- Northwest Regional Data Center

1.2. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.3. Please identify the number of users of this service. 42

1.4. How many locations currently host agency financial/ administrative systems? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider? Very Similar
(Identical, Very Similar, No)

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for agency financial and administrative systems are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

Answer the following questions for the primary or dominant IT system within this IT Service.

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

Please see attached NSRC SLA.

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0700-1800 M-F, 24/7) for:

- 3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-F
- 3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 15 min, 30 min, 60 min)? 15 minutes

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Deadlines not met; timely payment of agency bills jeopardized. Payroll not accomplished.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes
- No

3.2.5.1. If yes, please specify and describe:

Employee Social Security Numbers (SSN) are maintained and are not a part of the public record.

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

If yes, briefly describe the frequency of reports and how they are provided:

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for this strategic service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

See enclosed NSRC_SLA_DOS document

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0700-1800 M-F, 24/7)* for:

3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-F

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 15 min, 30 min, 60 min)*? 15 Min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Filing due dates may be extended

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify *(include any applicable constitutional, statutory, or rule requirements)*

3.2.4. What are security requirements for this IT service? *(Indicate all that apply)*

- User ID/Password Access through Internet or external network
- Access through internal network only Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Yes No

3.2.5.1. If yes, please specify and describe:

Chapter 119.071 – information that is exempt from public records

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Weekly

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

Ref 1.3 – The public uses the public web interface to file and request corporate business documents and information.

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts**
 Phone: **245-6116**
 Date submitted: **Oct 15, 2010**

Cultural Grants, Information, and Resources

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Grant Application and Management System	6	Florida History Fair registration and management system
2	florida-arts.org and museumoffloridahistory.com	7	Web Based Training and Outreach
3	Museum Support System	8	Cultural Facilities GIS
4	Museum Exhibit Design and Production	9	dos.state.fl.us
5	Florida's History Shop	10	Grants History Online Search Tool

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

This service uses independent database systems to capture, store, and retrieve data in electronic format in support of the development and growth of cultural activities in the State of Florida. This service uses desktop and web based applications to capture, store, and report data in support of grants that provide funding for cultural projects, programming, facilities, and capacity building; workshops, conferences, convening sessions, awards, exhibitions; communications and publicity; resources, guidance, networking; public policy direction and research; and the Museum of Florida History.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|---|--|
| <input type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency (non-primary data center) | <input type="checkbox"/> Northwest Regional Data Center |
| <input checked="" type="checkbox"/> Other External Service Provider (specify) | <u>Western States Art Center</u> |

1.3. Who uses the service? **(Indicate all that apply)**

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. 245,000

1.5. How many locations currently host this service? 2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for this strategic service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

See enclosed NSRC_SLA_DOS document

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0700-1800 M-F, 24/7)* for:

3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-Sa, 1200-1700 Su

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 15 min, 30 min, 60 min)*? 15 Min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Posted public meetings and grant deadlines may need to be rescheduled, possible loss of panelists which could affect the integrity of the panel review process itself, and history shop sales could be lost

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify *(include any applicable constitutional, statutory, or rule requirements)*

3.2.4. What are security requirements for this IT service? *(Indicate all that apply)*

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.2.5.1. If yes, please specify and describe:

Chapter 119.071

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Once a year on paper

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue, Trust Fund

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

The public uses the internet to access and obtain the information provided by this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts**
 Phone: **245-6116**
 Date submitted: **Oct 15, 2010**

Historic Preservation and Cultural Resources

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	DHR Web Products	5	Historic Preservation Grants Systems
2	CRAT Database and Application	6	Bureau of Archaeological Research Databases
3	Florida Master Site File Systems	7	Archaeological Collections Databases
4	Main Street Reporting System	8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

This service uses a number of independent database systems to preserve the historical and archaeological resources of the State of Florida and assist and educate agencies, communities, and citizens in their historic preservation efforts. This service provides data storage systems for archaeological inventory and location(GIS) data; and provides on-line tools for the management and review of historical cultural resources, their associated physical remains, and development projects that may impact them. The service also uses web based tools to provide information to inform citizens about historic resources and assist communities and government agencies in preserving and managing historical resources.

1.2. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|--|
| <input type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider <i>(specify)</i> | |

1.3. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. 500,000

1.5. How many locations currently host this service? 1

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

[Redacted]

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for this strategic service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

See enclosed NSRC_SLA_DOS document

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required (e.g., 0700-1800 M-F, 24/7) for:

3.2.1.1. User-facing components of this IT service (online) 0800-1700

M-F, 1000-1600 Sa-Su

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800

M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs (e.g., 15 min, 30 min, 60 min)?

15 Min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Grant deadlines may need to be extended

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify (include any applicable constitutional, statutory, or rule requirements)

[Redacted]

3.2.4. What are security requirements for this IT service? (Indicate all that apply)

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption
- Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.2.5.1. If yes, please specify and describe:

Chapter 119.071

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Quarterly on printed reports and online

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue, Trust Fund

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

The public uses the internet to access and obtain the information provided by this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts**
 Phone: **245-6116**
 Date submitted: **Oct 15, 2010**

1. Public Electronic Access to Agency Data and Information Services

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Florida Administrative Code, Weekly, and Laws of Florida	5	"Get Answers" Service
2	Florida Electronic Library	6	iBistro: State Library's Online Catalog of Collections
3	Florida Government Information Locator Service (FGILS)	7	PeDALS: Persistent Digital Archives and Library System
4	Florida Libraries and Grants System	8	Re:discovery: State Archives' Online Catalog of Collections
	The Florida Memory Project		Total Recall: Records Management Online Catalog

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

This services uses a number of independent web based database systems to electronically capture, image, store, and report public documents and records documenting the activities and achievements of the Governor's Office; the Legislature; and federal, state, and local agencies and provides web based public access to this information. The service also provides for the electronic receipt, processing, and publication of the statutorily required(Chapter 120, F.S.) *Florida Administrative Code*, the *Florida Administrative Weekly*, and the Laws of Florida using independent web based systems. The service uses independent systems to capture, store, and report information for state and federal grant programs to support and improve Florida's libraries' services and also provides for the administration of funding to license web based commercial database content for use by all Florida residents.

1.2. Who is the service provider? **(Indicate all that apply)**

- | | |
|--|--|
| <input type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input checked="" type="checkbox"/> Program staff | <input type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency (<i>non-primary data center</i>) | <input type="checkbox"/> Northwest Regional Data Center |
| <input type="checkbox"/> Other External Service Provider (<i>specify</i>) | |

1.3. Who uses the service? **(Indicate all that apply)**

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

- External service providers
- Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. 18,000,000

1.5. How many locations currently host this service? 2

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

- Yes
- No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for this strategic service are currently provided by the NSRC. By law the DOS cannot transfer existing computer services to a non-primary data center.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

See enclosed NSRC_SLA_DOS document

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0700-1800 M-F, 24/7)* for:

3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-Sa

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 15 min, 30 min, 60 min)*? 15 Min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

There would be an adverse impact on State Agency rulemaking procedures.

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify *(include any applicable constitutional, statutory, or rule requirements)*

3.2.4. What are security requirements for this IT service? *(Indicate all that apply)*

- User ID/Password Access through Internet or external network
 Access through internal network only Access through Internet with secure encryption
 Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

- Yes No

3.2.5.1. If yes, please specify and describe:

Chapter 119.071

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

- Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Monthly on paper

4.2. Are currently defined IT service levels adequate to support the business needs?

- Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue, Federal Grant, Trust Fund

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

The public uses the internet to access and obtain the information provided by this service

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Dept/Agency: **Department of State**
 Submitted by: **Don Roberts**
 Phone: **245-6116**
 Date submitted: **Oct 15, 2010**

1. Oversight and Support of State Electoral Process

Please consult the *Guidelines for Schedule IV-C: IT Costs and Service Requirements* for specific direction on how to complete this document.

Identify all major IT application systems (custom developed or commercial software) that are included (in whole or part) in this IT Service:			
1	Florida Voter Registration System	5	Scanning and Imaging
2	E-night Reporting	6	Commissions
3	Candidate Qualifying	7	Minority Reports
4	Campaign Finance Reporting	8	

1. IT Service Definition

1.1.1. Provide the definition of this service as identified on Form SC2 (Strategic IT Service Catalog).

This service uses integrated database systems to receive, store, image, and report information related to the State's voter registration process; candidates, committees, and political parties and their contributions and expenditures; and provides the necessary tools to process and maintain information relating to Florida elected and appointed officials. The voter registration system is a highly integrated database system that includes electronic data transfer between the voter registration system, county supervisor of elections systems, and several State agency systems. The service supports the capture, storage, and reporting of candidates, committees, and political parties and their contributions and expenditures using integrated web based systems. The service also provides integrated database systems to capture, store, and report information relating to Florida elected and appointed officials.

1.2. Who is the service provider? *(Indicate all that apply)*

- | | |
|--|--|
| <input type="checkbox"/> Central IT staff | <input checked="" type="checkbox"/> Northwood Shared Resource Center |
| <input type="checkbox"/> Program staff | <input checked="" type="checkbox"/> Southwood Shared Resource Center |
| <input type="checkbox"/> Other state agency <i>(non-primary data center)</i> | <input type="checkbox"/> Northwest Regional Data Center |
| <input checked="" type="checkbox"/> Other External Service Provider <i>(specify)</i> | Voter software vendors/Insight E-night host |

1.3. Who uses the service? *(Indicate all that apply)*

- Agency staff (state employees or contractors)
- Employees or contractors from one or more additional state agencies
- External service providers
- Public (please explain in Question 5.3)

1.4. Please identify the number of users of this service. 12,000,000

1.5. How many locations currently host this service? 3

2. Service Unique to Agency

2.1. Is a similar or identical IT service provided by another agency or external service provider?
(Identical, Very Similar, No) No

2.2. If the same level of service could be provided through another agency or source for less than the current cost of the IT service, could your agency change to another service provider?

Yes No

2.2.1. If yes, what must happen for your agency to use another IT service provider?

2.2.2. If not, why does your agency need to maintain the current provider for this IT service?

The data center services for this strategic service are currently provided by the NSRC & SSRC. By law the DOS cannot transfer existing computer services to a non-primary data center. The Florida Voter Registration System requires that it be managed by the Department of State.

3. IT Service Levels Required to Support Business Functions

3.1. Has the agency specified the service level requirements for this IT Service?

- Yes; formal Service Level Agreement(s)
- Yes; informal agreement(s)
- No; specific requirements have not been determined and approved by the department

If you answered "Yes," identify major (formal or informal) service level requirements:

See enclosed NSRC_SLA_DOS document

3.2. Timing and Service Delivery Requirements

3.2.1. Hours/Days that service is required *(e.g., 0700-1800 M-F, 24/7)* for:

3.2.1.1. User-facing components of this IT service (online) 0800-1700
M-F, FVRS 24x7x365, E-night 24x7 July-Nov even years, Candidate qualification 0700-2300
during qualifying, Campaign finance 24x7 10 days in July & Oct even years

3.2.1.2. Back-office-facing components of this IT service (batch and maintenance) 1700-0800
M-F

3.2.2. What is the agency's tolerance for down time during peak periods, i.e., time before management-level intervention occurs *(e.g., 15 min, 30 min, 60 min)*? 15 Min

3.2.2.1. What are the impacts on the agency's business if this down-time standard is exceeded?

Interruption of the electoral process

3.2.3. Are there any agency-unique service requirements? Yes No

If yes, specify *(include any applicable constitutional, statutory, or rule requirements)*

FVRS employees must pass a FBI level II background check as required by 110.1127 F.S.

3.2.4. What are security requirements for this IT service? *(Indicate all that apply)*

- User ID/Password
- Access through Internet or external network
- Access through internal network only
- Access through Internet with secure encryption

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

Other _____

3.2.5. Are there any federal, state, or agency privacy policies or restrictions applicable to this IT Service?

Yes No

3.2.5.1. If yes, please specify and describe:

FS 119.071, 39.906, 741.29 protected individuals, 97.0585 Security policy on SSN

4. User/customer satisfaction

4.1. Are service level metrics reported to business stakeholders or agency management

Yes No

4.1.1. If yes, briefly describe the frequency of reports and how they are provided:

Continual electronic and on paper

4.2. Are currently defined IT service levels adequate to support the business needs?

Yes No

4.2.1. If no, what changes need to be made to the current IT service? *(Briefly explain)*

4.2.2. List any significant projects that are underway or planned to upgrade or enhance any system, resource, or process associated with this IT service. *Please indicate the D3-A issue number in the Description for any projects that require funds in a legislative budget request for FY 2011-12.*

Project Name	Description	Start Date	End Date	Estimated Total Cost to Complete

5. Additional Information

5.1. Please describe the funding source(s), i.e., general revenue, trust fund, federal grant, or other, that is used to provide this service, and describe any anticipated adjustments to the funding source(s) or funding level for FY 2011-12

General Revenue, Federal Grant

5.2. Please indicate whether there is a cost recovery or cost allocation plan for this service, and describe any anticipated adjustments or needed changes in the service funding model (e.g., charge-back, cost allocation, fee-per-transaction, etc.)

N/A

5.3. Other pertinent information related to this service

Public users obtain information related to voter registration and voting process and to file election related documents

FY 2011-12 Schedule IV-C: Information Technology (IT) Costs & Service Requirements
IT Service Requirements Worksheet: [Insert Service Name]

=

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

Dept/Agency: (Department of State)
Prepared by: (Don Roberts)
Phone: (850-245-6116)
Date Completed: (October 15, 2010)

1. Recording, Processing, and Certification/Authentication of Commercial and Business Documents

This service uses integrated database systems to create a central repository for business entity, trade and service marks, fictitious names, notary commissions, cable franchises, judgment liens, and federal liens information. The service includes the capability to certify and authenticate these records and serves as the central resource for all statewide business activity. The service uses the integrated systems to receive, validate, store, and retrieve all electronic records and imaged documents, and uses a web interface and electronic response (email) to accommodate a significant portion of its business activity.

The following IT Systems are constituent elements of this Strategic IT Service.

- 1.a. **COR** – This is an automated system which provides for the examination and recording of business entity articles and numerous amendment documents for statutory compliance. Once accepted the documents are filed, whether manually or by an electronic filing program, entered into and maintained on a separate database for the official public record and commercial inquiry and access.
- 1.b. **FIC** – This is an automated system which provides for the examination of the fictitious name registration document for statutory compliance. Once accepted, the document is filed, whether manually or by an electronic filing program, and entered and maintained on a separate database for commercial inquiry and access.
- 1.c. **Cable Franchise** – This is a web based application for the examination of applications for statutory compliance that are then filed, entered, and maintained on a separate database for commercial inquiry and access.
- 1.d. **Judgment Liens**– This is an automated system that provides for the examination of liens for statutory compliance that are then filed,

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

whether manually or electronically, and entered and maintained in a separate database for commercial inquiry and access.

- 1.e. **Federal Lien Registrations** - This is an automated system that provides for the examination of liens received from I.R.S. for statutory compliance. The liens are filed, entered, and maintained in a separate database for commercial inquiry and access.
- 1.f. **Partnerships** - This is an automated system that provides for the examination of partnership documents for statutory compliance. The documents are then filed, entered, and maintained in a separate database for commercial inquiry and access.
- 1.g. **Electronic Annual Report Processing** - This is a web based application to notify by email, each "active" business entity in Florida, of the requirement to file its annual report. Notices are sent in January, March, April, June, and September. The public user is directed to the Division's website where required information is entered, filed and posted within hours and immediately made available on the Division's public website for commercial inquiry and access. If the report is not filed, the program automatically dissolves/revokes the entity and a certificate is mailed electronically.
- 1.h. **Notary** - This is an automated system to receive Notary Commission applications from third party bonding agents for review and processing. Once accepted and processed the statutory information is automatically entered into a separate Notary database and made available on the Division's public website for commercial inquiry and access.
- 1.i. **Fiscal/Payment Processing** - This system receives and stores the monies received and deposited by each of our customers for the various commercial activities processed by the Division on the various databases. This system is integrated with the filing process, as it assists in the tracking of each document from receipt to final records storage.
- 1.j. **Correspondence/Certification** - This system creates and stores any correspondence and/or certification in relation to commercial activities processed by the Division. This system houses thousands of boilerplate letters and paragraphs used for communication with our customers. This system is also integrated with the filing process, as it allows retrieval of any communication

associated with the filing records on each of the separate database.

- 1.k. Scanning/Imaging** - This system scans and stores documents for retrieval. Most of these images are available for viewing on the internet.
- 1.l. Sunbiz.org** - This internet system is the index to the public record of the Division's commercial activities. Information regarding every filing and registration is available from this website. This website is also the link for our electronic/online filing or certification process. It is an information resource for filers needing forms and/or instructions on how to file with the Division.
- 1.m. Apostille/Notarial Certification** - This system houses the fiscal and correspondence of each apostille or notarial certification. The system authenticates the capacity of elected officials, notary publics, appointed judges and government officials. In authenticating an official, inquiries are made against the notary database or the Division of Elections database of elected or appointed government officials.

2. Historic Preservation and Cultural Resources

This service uses a number of independent database systems to preserve the historical and archaeological resources of the State of Florida and assist and educate agencies, communities, and citizens in their historic preservation efforts. This service provides data storage systems for archaeological inventory and location(GIS) data; and provides on-line tools for the management and review of historical cultural resources, their associated physical remains, and development projects that may impact them. The service also uses web based tools to provide information to inform citizens about historic resources and assist communities and government agencies in preserving and managing historical resources.

The following IT Systems are constituent elements of this Strategic IT Service.

- 2.a. CRAT Database and Application** – *Data detailing projects reviewed by the Compliance Review Program, the results of those reviews and the custom software interface used to manage the data*
- 2.b. Florida Master Site File Systems** – *Florida's inventory of historical cultural resources and cultural resource survey documents. Includes*

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

relational databases, spatial database, scanned documents and custom software used to maintain data

- 2.c. Main Street Reporting System** - Web-based tool and database allowing Main Street communities to submit reports to the Division
- 2.d. Historic Preservation Grants Systems** – Web-based tools allowing users to apply for Historic Preservation Grants and enabling staff to manage and administer grants
- 2.e. Bureau of Archaeological Research Databases** - Databases and front end software used for tracking unmarked Human burials and managing permits for archaeological work on State lands
- 2.f. Archaeological Collections Databases** – Databases, images and related maintenance software containing records of the State of Florida's collection of archaeological remains of Florida's cultures

3. Public Electronic Access to Agency Data and Information Services

This services uses a number of independent web based database systems to electronically capture, image, store, and report State and public documents and records documenting the activities and achievements of the Governor's Office; the Legislature; and federal, state, and local agencies and provides web based public access to this information. The service also provides for the electronic receipt, processing, and publication of the statutorily required(Chapter 120, F.S.) *Florida Administrative Code*, the *Florida Administrative Weekly*, and the Laws of Florida using independent web based systems. The service uses independent systems to capture, store, and report information for state and federal grant programs to support and improve Florida's libraries' services and also provides for the administration of funding to license web based commercial database content for use by all Florida residents.

The following IT Systems are constituent elements of this Strategic IT Service.

- 3.a. Florida Administrative Code, Weekly, and Laws of Florida** - Through this system, Florida residents have online access to the Laws of Florida and the rules and regulations affecting them, as well as notices of proposed rules, public meetings, bid proposals, and other items published in the *Florida Administrative Weekly*.
- 3.b. Florida Electronic Library** - Provides statewide access to commercially licensed online magazines, newspapers, books, and other publications. Also aggregates access to the digital library collections of Florida libraries, as well as cultural and historical institutions.

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

- 3.c. **Florida Government Information Locator Service (FGILS)** - An online catalog of services offered by federal, state, and local governments.
- 3.d. **Florida Libraries and Grants System** - A Web-based directory of Florida libraries that also provides information about grant opportunities for libraries provided by the Division.
- 3.e. **The Florida Memory Project** - Presents a selection of historical records that illustrate significant moments in Florida history, educational resources for students of all ages, and archival collections for historical research.
- 3.f. **"Get Answers" Service (Through MyFlorida.com)** - An online reference service about Florida government.
- 3.g. **iBistro: State Library's Online Catalog of Collections** - An online catalog describing and providing access to all collections of the State Library.
- 3.h. **PeDALs: Persistent Digital Archives and Library System** - This system provides secure and long-term storage for all state electronic records and documents.
- 3.i. **Re:discovery: State Archives' Online Catalog of Collections** - An online catalog describing and providing access to all collections of the State Archives.
- 3.j. **Total Recall: Records Management Online Catalog** - This system provides inventory control and access to records stored in the State Records Center.

4. Oversight and Support of State Electoral Process

This service uses integrated database systems to receive, store, image, and report information related to the State's voter registration process; candidates, committees, and political parties and their contributions and expenditures; and provides the necessary tools to process and maintain information relating to Florida elected and appointed officials. The voter registration system is a highly integrated database system that includes electronic data transfer between the voter registration system, county supervisor of elections systems, and several State agency systems. The service supports the capture, storage, and reporting of candidates, committees, and political parties and their contributions and expenditures using integrated web based systems. The service also provides integrated database systems to capture, store, and report information relating to Florida elected and appointed officials.

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

The following IT Systems are constituent elements of this Strategic IT Service.

- 4.a. ***The Florida Voter Registration System*** - serves to facilitate the registration, verification, and list maintenance activities of the statewide database, its interaction with county databases and internal Division of Election activities.
- 4.b. ***E-night Reporting*** – provides public access to election night results.
- 4.c. ***Candidate Qualifying*** – The Division uses this system to enter and maintain information about all state and multi-county candidates necessary to qualify candidates for elections.
- 4.d. ***Campaign Finance Reporting*** – Through this system the Division receives, processes, and audits campaign treasurers reports required of candidates, committees, and political parties. It also serves to facilitate processing and distribution of campaign matching funds.
- 4.e. ***Scanning and Imaging*** – Scans and stores records relating to candidates, committees, parties, and elected and appointed officers for retrieval.
- 4.f. ***Commissions*** – The Division uses this system to track and maintain information about all state and county officers and special district offices.
- 4.g. ***Minority Reports*** – Provides information required by section 760.80, Florida Statutes, disclosing number of minority and physically disabled appointments made by statutorily created decision making and regulatory boards, commissions, councils and committees of the state.

5. Cultural Grants, Information, and Resources

This service uses independent database systems to capture, store, and retrieve data in electronic format in support of the development and growth of cultural activities in the State of Florida. This service uses desktop and web based applications to capture, store, and report data in support of grants that provide funding for cultural projects, programming, facilities, and capacity building; workshops, conferences, convening sessions, awards, exhibitions; communications and publicity; resources, guidance, networking; public policy direction and research; and the Museum of Florida History.

The following IT Systems are constituent elements of this Strategic IT Service.

- 5.a. ***Grant Application and Management System*** – Web applications, databases and a desktop application that support both online and paper

Listing of Strategic IT Services

(FY 2011-12 Schedule IV-C

Worksheet SC-2)

grant applications, grant and user management, and staff administration of all Cultural Affairs grants.

- 5.b. ***florida-arts.org and museumoffloridahistory.com*** – *Websites with a collection of online tools, web forms, search engines and access to all web applications including calendars, a resource list and job board with user generated content, several online collections and other strategic web services.*
- 5.c. ***Museum Support System*** – *Databases and software to support collections management, traveling exhibits, volunteers, program scheduling and membership for the Museum of Florida History.*
- 5.d. ***Museum Exhibit Design and Production*** – *Software and specialty printers to support exhibit design and production for the Museum of Florida History.*
- 5.e. ***Florida's History Shop*** – *Web application, databases, hardware and software to support the Museum gift shops both at point of sale and online (floridashistoryshop.com).*
- 5.f. ***Florida History Fair registration and management system*** – *Web application and databases supporting the registration, scheduling, scoring, and management of the Florida History Fair (floridahistoryfair.com).*
- 5.g. ***Web Based Training and Outreach*** – *Software and technologies that support webinars, email newsletters and announcements, list management and tracking, screen casts, and social media.*
- 5.h. ***Cultural Facilities GIS*** – *Online Geographic Information System containing information about Florida cultural facilities.*
- 5.i. ***Grants History Online Search Tool*** – *Web application that allows users to search for information about grants awarded by the Department. This system supports several different IT services.*

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

CableDept/Agency: (Department of State)

Prepared by: Don Roberts

Phone: (850) 245-6116

Date Completed: Oct 15, 2010

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
1	COR	Database for indexing all business entities and trademarks in Florida. Used to check names for availability. Principals, file dates, document numbers, and status are shown.	Examination and Filing of Commercial Documents	Corporations
2	FIC	Database for indexing Fictitious Name Registrations for non-business entities transacting business in Florida.	Fictitious Name Registrations	Corporations
3	Cable Franchise	Excel Spreadsheet database to maintain cable franchise and amendment documents filed by DOC.	Cable Franchises	Corporations
4	Judgment Lien	Database for indexing and establishing a lien for a specific dollar amount against personal property of a specific debtor.	Judgment Liens	Corporations
5	Federal Lien Registrations	Database to index Federal Gov't liens against businesses, trusts, and estates of decedents.	Federal Lien Registrations	Corporations
6	General Partnership	Database to index specific information for general partnerships and status documents.	Partnerships	Corporations

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
7	Electronic Annual Report Processing	System is used to identify "active" business entities and send email notices to file Annual Report electronically online on Division's website or be dissolved revoked	E-mail and E-file process for 1 st notices, Reminder notices, 2 nd notices, and Dissolution-Revocation notices for Annual Reports	Corporations
8	Notary	Database stores all Notary information for active and expired notary publics. Application is interactive with third party vendor online submissions	Notary Applications	Corporations
9	Fiscal/Payment Processing	Used to index the validation (deposit record) for Division's activities.	Division payment processing	Corporations
10	Correspondence/Certification	Creates and stores any correspondence and/or certification in relation to commercial activities processed by the Division.	Division certification and correspondence processing	Corporations
11	Scanning/Imaging	Scans and stores documents for retrieval.	Division image storage and retrieval	Corporations
12	Sunbiz.org	Provides access world-wide to our database and serves as a resource for filing information.	All Division web activities	Corporations
13	Apostille/Notarial Certification	Allows the authentication of notary publics as well as elected and appointed government officials	Apostille/Notarial Certification processing	Corporations
14	CRAT Database	Front end software and MS Access database containing records of all projects reviewed	Compliance Review Program, Florida Master Site File, State Historic	Historical Resources

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		and results of those reviews	Preservation Officer	
15	Florida Master Site File	Database of Florida's recorded cultural resources and survey manuscripts along with corresponding spatial database, scanned documents and custom software used to input, maintain and extract data and information.	State Historic Preservation Officer, Florida Master Site File, Compliance Review Program, National Register of Historic Places Program, State Archaeologist, Public Lands Archaeology Program, Underwater Archaeology Program, Archaeological Education and Research Program, Conservation and Collections Program	Historical Resources - comprised of four subsystems, including relational database, GIS system, EDMS system and FMSFweb application
16	Main Street Reporting	Web-based tool and database allowing Main Street communities to submit reports to Division of Historical Resources	Florida Main Street Program	Historical Resources
17	Historic Preservation Grants	Web-based tools allowing users to apply for Historic Preservation Grants and enabling staff to manage and administer grants	Historic Preservation Grants / Special Category Grants Program	Historical Resources - comprised of two subsystems (see description)
18	BAR Database	Databases and front end software used for tracking unmarked Human burials and managing permits for archaeological work on State lands	State Archaeologist, Conservation and Collections, Underwater Archaeology Program	Historical Resources - comprised of three subsystems, including F.S. 872.05 records, 1A.31 permits and 1A.32 permits
19	Archaeological Conservation and Collections	Databases, images and related maintenance software containing records of the State of Florida's collection of	Conservation and Collections Program, State Historic Preservation Officer, Florida Master Site File,	Historical Resources

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		archaeological remains of Florida's cultures	State Archaeologist, Public Lands Archaeology Program, Underwater Archaeology Program, Archaeological Education and Research Program	
20	Florida Administrative Code, Weekly and Laws of Florida	Online Rulemaking system for Florida	Public access to Agency Data and Information	Library & Information Services
21	Florida Electronic Library	Florida Virtual Library program	Public access to Agency Data and Information	Library & Information Services
22	Florida Government Information Locator Service	Online Catalog for Government Information	Public access to Agency Data and Information	Library & Information Services
23	Florida Libraries and Grants System	Florida Library Directory and Grants Management System	Public access to Agency Data and Information	Library & Information Services
24	The Florida Memory Project	State Archives Digital Library	Public access to Agency Data and Information	Library & Information Services
25	"Get Answers" service (MyFlorida.com)	Virtual Reference for Florida Government Information	Public access to Agency Data and Information	Library & Information Services
26	iBistro	Library Online Catalog	Public access to Agency Data and Information	Library & Information Services
27	PeDALS	Persistent Digital Archives and Library System for preservation of electronic records and documents	Public access to Agency Data and Information	Library & Information Services
28	Re: Discovery	State Archives online catalog	Public access to Agency Data and Information	Library & Information Services
29	Total Recall	Records Management Inventory Control System	Division and State Agency Access to Data and Information	Library & Information Services
30	FVRS	Serves to facilitate the registration, verification, and	State-wide voter	Elections

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		list maintenance activities of the statewide voter registration database, its interaction with county databases and internal Division of Election activities.	registration	
31	E-night Reporting	Provides public access to election night results.	Election management	Elections
32	Candidate Qualifying	The Division uses this system to enter and maintain information about all state and multi-county candidate necessary to qualify candidates for elections.	Candidate qualification for election	Elections
33	Campaign Finance Reporting	Electronic filing of all campaign finance reports; processing of campaign finance reports including audits and public display of campaign treasurer reports; distribution of campaign matching funds to statewide candidates during the general election.	Election campaign finance filing and reporting	Elections
34	Scanning & Imaging	Scans and stores records relating to candidates, committees, parties, and elected and appointed officers for retrieval.	Election Records	Elections
35	Commissions	The Division uses this system to track and maintain information about all state, county officers and special district offices.	Commissioned Offices	Elections

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
36	Minority Reports	Provides information required by section 760.80, Florida Statutes, disclosing number of minority and physically disabled appointments made by statutorily created decision making and regulatory board, commissions, councils and committees of the state.	Minority reporting	Elections
37	Grant Application and Management System (OASIS, Phoenix, web applications, databases)	Web applications, databases and a desktop application that support both online and paper grant applications, grant and user management, and staff administration of all Cultural Affairs grants.	Cultural Affairs	Cultural
38	Grants History Online Search Tool	Web application that allows users to search for information about grants awarded by the Department.	Cultural Affairs, Elections, Library, & Historical grants	Cultural
39	Cultural Facilities GIS	Online Geographic Information System containing information about Florida Cultural facilities.	Cultural Affairs	Cultural
40	Florida History Fair registration and management system	Web application and databases supporting the registration, scheduling, scoring, and management of the Florida History Fair (floridahistoryfair.com)	Cultural Affairs	Cultural
41	Museum Support System	Databases and software to support collections management, traveling exhibits, volunteers, program	Cultural Affairs	Cultural

Listing of Agency IT Systems

FY 2011-12 Schedule IV-C
Worksheet SC-1

#	Name of IT System	Description of IT System	Agency Program or Function Supported	Notes
		scheduling and membership for the Museum of Florida History.		
42	Florida's History Shop	Web application, databases, hardware and software to support the Museum gift shops both at point of sale and online (floridashistoryshop.com).	Cultural Affairs	Cultural
43	florida-arts.org and museumoffloridahistory.com	Websites with a collection of online tools, web forms, search engines and access to all web applications including calendars, a resource list and job board with user generated content, several online collections and other strategic web services.	Cultural Affairs	Cultural
44	Museum Exhibit Design and Production	Software and specialty printers to support exhibit design and production for the Museum of Florida History.	Cultural Affairs	Cultural
45	Web Based Training and Outreach	Software and technologies that support webinars, email newsletters and announcements, list management and tracking, screen casts, and social media.	Cultural Affairs	Cultural

Non-Strategic IT Service:		Network Service			Combined v.2011-12			
Dept/Agency: Department of State		Resources Apportioned to this IT Service in FY 2011-12			Estimated IT Service Costs			
Prepared by: Don Roberts		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
Phone: 850-245-6116					Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning -- Assets & Resources (Cost Elements)								
A. Personnel			0.50		\$81,164	\$28,325	\$28,325	\$0
A-1.1	State FTE	1	0.50		\$81,164	\$28,325	\$28,325	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware				73	\$94,364	\$88,580	\$88,580	\$0
B-1	Servers	2	9	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support	3	9	8	\$2,675	\$3,655	\$3,655	\$0
B-3	Network Devices & Hardware (e.g., routers, switches, hubs, cabling, etc.)	4	65	65	\$91,689	\$57,212	\$57,212	\$0
B-4	Online Storage for file and print (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-5	Archive Storage for file and print (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)	5			\$0	\$27,713	\$27,713	\$0
C. Software		6			\$21,578	\$10,923	\$10,923	\$0
D. External Service Provider(s)					\$135,000	\$181,404	\$181,404	\$0
D-1	MyFloridaNet				\$0	\$0	\$0	\$0
D-2	Other (Please specify in Footnote Section below)	7			\$135,000	\$181,404	\$181,404	\$0
E. Other (Please describe in Footnotes Section below)		8			\$15,331	\$23,707	\$23,707	\$0
F. Total for IT Service					\$347,437	\$332,939	\$332,939	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Pos #992-Systems Programming Administrator 50%							
2	Public DNS Servers (Florida1, Florida5), Internal Domain Controllers (DosDC03, DosDC04, DosDC06), Network admin machines(dossftp01, ccfsdna, dossmonitor2-warranty, dossipmgr02)							
3	Server maintenance(Florida1&5=\$275/yr each), (DosDC03, DosDC04, DosDC06=\$1902), (dossftp01, ccfsdna, dossmonitor2=\$1203)							
4	Cisco maintenance for 65 devices-\$57,212							
5	Air cards 55 - \$27,713							
6	RedHat Linux \$2,923, Groundwork Monitor \$8000							
7	MAN charges(\$181,404)							
8	Rack charges for network infrastructure(3.0052x400 sqft=\$1,202/month*12=\$14,424, Square footage for FTE offices(100 Sq Ft x 17.06/sq ft=\$1706 * .5=\$853), Std Personnel Expense=\$8,430							
9								
10								
11								
12								
13								
14								
15								

Non-Strategic IT Service:		E-Mail, Messaging, and Calendaring Service			Form: FY 2011-12 Schedule IV-C -			
Agency: Department of State		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs				
Prepared by: Don Roberts		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
Phone: 850-245-6116					Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
Service Provisioning -- Assets & Resources (Cost Elements)								
A. Personnel			1.50		\$55,456	\$65,090	\$65,090	\$0
A-1	State FTE	1	1.50		\$55,456	\$65,090	\$65,090	\$0
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware					\$3,267	\$24,829	\$24,829	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$1,392	\$0	\$0	\$0
B-3	Wireless Communication Devices (e.g., Blackberries, I-phones, PDAs, etc.)	2	55	55	\$1,875	\$24,829	\$24,829	\$0
B-4	Online Storage (indicate GB of storage)	3	3500		\$0	\$0	\$0	\$0
B-5	Archive Storage (indicate GB of storage)	4	0		\$0	\$0	\$0	\$0
B-6	Other Hardware Assets (Please specify in Footnote Section below)				\$0	\$0	\$0	\$0
C. Software		5			\$13,295	\$16,062	\$16,062	\$0
D. External Service Provider(s)					\$0	\$0	\$0	\$0
D-1	Southwood Shared Resource Center				\$0	\$0	\$0	\$0
D-2	Northwood Shared Resource Center				\$0	\$0	\$0	\$0
D-3	Northwest Regional Data Center				\$0	\$0	\$0	\$0
D-4	Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)		6			\$5,064	\$24,987	\$24,987	\$0
F. Total for IT Service					\$77,082	\$130,968	\$130,968	\$0
G. Administrative Overhead - Percentage of Other Non-Strategic IT Service Costs Supporting Email Service								
Non-Strategic Service		Footnote	%	Cost	To determine the fully-loaded cost of the e-mail service, agencies must estimate the amount (percentage) of the other non-strategic IT services that are "consumed" by the e-mail service. For example, desktop support personnel install and configure the e-mail software on the desktop, which is used in the e-mail service, so to obtain a fully-loaded cost for the e-mail service, it is important to include the indirect workload and associated costs of the desktop service expended in support of the e-mail service. The portion of Network, IT Security & Risk Mitigation, and IT Administration & Management services will be estimated by the AEIT based on the agency Schedule IV-C submissions for these IT services. For the purposes of the Schedule IV-C analysis, the data submitted in this section will NOT be added to the cost of the e-mail service.			
OT-1	Network							
OT-2	Desktop IT Service		5.00%	\$ 21,409				
OT-3	Help Desk		20.00%	\$ 22,011				
OT-4	IT Security & Risk Mitigation							
OT-5	IT Administration & Management							
				SUBTOTAL	\$	43,420		
Fully-loaded IT Service Cost \$					174,388			
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	POS# 788-Distributed Computer Systems Analyst 100%, Pos# 678-Telecommunications Specialist III 25%, Pos# 992-Systems Programming Administrator 25%							
2	Blackberrys 55 - \$24,829(total of monthly basic data access charges)-\$37.62x55x12							
3	3.5 T in email server storage							
4	The Department does not provide email archive storage for its users. Each user is required to archive their email on user server file storage							
5	Panda \$3,037, ironport \$11,150, Blackberry support \$1,875							
6	Square footage for FTE offices(100x150=150sq ftx\$17.06 sq ft=\$2559) Std Personnel Expense- \$22428							
7								
8	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs							
9								

Non-Strategic IT Service: Desktop Computing Service							
Agency: Department of State Prepared by: Don Roberts Phone: 850-245-6116				Form: FY 2011-12 Schedule IV-C -			
Service Provisioning -- Assets & Resources (Cost Elements)				Estimated IT Service Costs			
	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D
				Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		4.75		\$248,810	\$195,954	\$195,954	\$0
A-1 State FTE	1	3.75		\$248,810	\$154,354	\$154,354	\$0
A-2 OPS FTE	2	1.00		\$0	\$41,600	\$41,600	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		600	0	\$823	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$823	\$0	\$0	\$0
B-3.1 Desktop Computers	3	515	0	\$0	\$0	\$0	\$0
B-3.2 Mobile Computers (e.g., Laptop, Notebook, Handheld, Wireless Computer)	3	85	0	\$0	\$0	\$0	\$0
B-3.3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software	4			\$143,740	\$166,978	\$166,978	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)	5			\$12,855	\$65,252	\$65,252	\$0
F. Total for IT Service				\$406,228	\$428,184	\$428,184	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Pos# 678-Telecommunications Specialist III 75%, Pos# 322-Distributed Computer Systems Specialist 100%, Pos# 430-Systems Programmer III 100%, Pos# 675-Distributed Computer Systems Analyst II 100%,						
2	Robert Thompson(OPS) \$41,600						
3	Costs associated with desktops and laptops are included in the Microsoft Premiere support, the Microsoft Enterprise Agreement, Sophos, and Spysweeper(footnote #3). At this point there are no anticipated purchases of desktops or laptops due to reduced GR funding.						
4	Microsoft Premiere Support-\$60,030, Microsoft Enterprise Agreement-\$86,988, Sophos \$12,470, spysweeper \$7,490						
5	Square footage for FTE offices(100x475%=475*\$17.06=\$8,103) Std Personnel Expense-\$57,149						
6	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs						
7							
8							
9							
10							
11							
12							
13							
14							
15							

Non-Strategic IT Service: Helpdesk Service		Agency: Department of State		Form: FY 2011-12 Schedule IV-C -				
Prepared by: Don Roberts		Phone: 850-245-6116		# of Assets & Resources Apportioned to this IT Service in FY 2011-12				
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease of Recurring Base Funding (Columns C - B)
A. Personnel			2.00		\$0	\$70,763	\$70,763	\$0
A-1	State FTE	1	2.00		\$0	\$70,763	\$70,763	\$0
A-2	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software		2			\$0	\$4,957	\$4,957	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)		3			\$0	\$34,334	\$34,334	\$0
F. Total for IT Service					\$0	\$110,054	\$110,054	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Pos# 281-Automated Software Scheduling Specialist 100%, Pos# 444-Distributed Computer Systems Specialist 100%							
2	HEAT(Call tracking) - \$4957							
3	Square footage for FTE offices(100x200%=200*\$17.06=\$3,412) Std Personnel Expense-\$30,922							
4								
5	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs							
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								

Non-Strategic IT Service: IT Security/Risk Mitigation Service									
Agency: Department of State Prepared by: Don Roberts Phone: 850-245-6116		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Form: FY 2011-12 Schedule IV-C -					
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel				0.25		\$104,848	\$14,162	\$14,162	\$0
A-1	State FTE		1	0.25		\$104,848	\$14,162	\$14,162	\$0
A-2	OPS FTE			0.00		\$0	\$0	\$0	\$0
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0
B. Hardware				0	0	\$4,531	\$0	\$0	\$0
B-1	Servers			0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support			0	0	\$4,531	\$0	\$0	\$0
B-3	Other Hardware Assets (Please specify in Footnote Section below)			0	0	\$0	\$0	\$0	\$0
C. Software						\$32,508	\$0	\$0	\$0
D. External Service Provider(s)			2	1	1	\$6,700	\$6,700	\$6,700	\$0
E. Other (Please describe in Footnotes Section below)			3			\$7,549	\$5,068	\$5,068	\$0
F. Total for IT Service						\$156,136	\$25,930	\$25,930	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.									
1	Pos# 992-Systems Programming Administrator 25%								
2	Sonitrol \$6,700								
3	Std Personnel Expense-\$4,215 Square footage for FTE offices(100x50%=50*\$17.06=\$853								
4									
5	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs								
6									
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Non-Strategic IT Service: Agency Financial and Administrative Systems Support Service										
Agency: Department of State Prepared by: Don Roberts Phone: 850-245-6116		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Form: FY 2011-12 Schedule IV-C -						
Service Provisioning -- Assets & Resources (Cost Elements)			Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	A	B	C	D	
						Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)	
A. Personnel							\$64,443	\$47,385	\$47,385	\$0
A-1	State FTE		1	1.00		\$64,443	\$47,385	\$47,385	\$0	
A-2	OPS FTE			0.00		\$0	\$0	\$0	\$0	
A-3	Contractor Positions (Staff Augmentation)			0.00		\$0	\$0	\$0	\$0	
B. Hardware							\$243	\$0	\$0	\$0
B-1	Servers			0	0	\$0	\$0	\$0	\$0	
B-2	Server Maintenance & Support			0	0	\$243	\$0	\$0	\$0	
B-3	Other Hardware Assets (Please specify in Footnote Section below)			0	0	\$0	\$0	\$0	\$0	
C. Software						2	\$3,278	\$1,368	\$1,368	\$0
D. External Service Provider(s)							\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)						3	\$3,527	\$16,836	\$16,836	\$0
F. Total for IT Service							\$71,491	\$65,589	\$65,589	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.										
1	Pos#854--Distributed Computer Systems Administrator--SES 100%									
2	CorrTrack - \$1,368									
3	Square footage for FTE offices(100 sq ft x \$17.18 sq ft=\$1718) Std Personnel Expense-\$15,118									
4										
5	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs									
6										
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Non-Strategic IT Service: IT Administration and Management Service							
Agency: Department of State Prepared by: Don Roberts Phone: 850-245-6116		# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Form: FY 2011-12 Schedule IV-C -			
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Estimated IT Service Costs			
				A Initial Estimate for Fiscal Year 2010-11	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	D Planned Increase/Decrease Use of Recurring Base Funding (Columns C - B)
A. Personnel		5.00		\$296,882	\$265,342	\$265,342	\$0
A-1 State FTE	1	5.00		\$296,882	\$265,342	\$265,342	\$0
A-2 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		0	0	\$1,902	\$0	\$0	\$0
B-1 Servers		0	0	\$0	\$0	\$0	\$0
B-2 Server Maintenance & Support		0	0	\$1,902	\$0	\$0	\$0
B-3 Other Hardware Assets (Please specify in Footnote Section below)		0	0	\$0	\$0	\$0	\$0
C. Software				\$8,445	\$0	\$0	\$0
D. External Service Provider(s)		0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)	2			\$16,394	\$114,474	\$114,474	\$0
F. Total for IT Service				\$323,623	\$379,816	\$379,816	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Pos# 987-Data Processing Manager-SES 100%, Pos#892-Chief of Departmental Systems 100%, Pos# 38-Administrative Assistant II- SES 100%, Pos#897-Administrative Assistant II- SES 100%, Pos# 011-Budget Analyst-SES 100%						
2	Square footage for FTE offices(100x500%=500x\$17.06=\$8530), Std Personnel Expense-\$105,944						
3							
4							
5	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs						
6							
7							
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Non-Strategic IT Service:		Portal/Web Management Service			Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Department of State		# of Assets & Resources Apportioned to this IT Service in FY 2011-12			Estimated IT Service Costs			
Prepared by: Don Roberts					A	B	C	D
Phone: 850-245-6116		Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding			
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12				
A. Personnel			0.50		\$0	\$20,700	\$20,700	\$0
A-1.1	State FTE	1	0.50		\$0	\$20,700	\$20,700	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware					\$210	\$0	\$0	\$0
B-1	Servers		0	0	\$0	\$0	\$0	\$0
B-2	Server Maintenance & Support		0	0	\$210	\$0	\$0	\$0
B-3	Other Hardware Assets (Please specify in Footnotes Section below)		0	0	\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)		2	1	1	\$0	\$45,996	\$45,996	\$0
E. Other (Please describe in Footnotes Section below)		3			\$0	\$11,208	\$11,208	\$0
F. Total for IT Service					\$210	\$77,904	\$77,904	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	POS# 946-Computer Programmer 25%, Pos#995-Data Processing Manager-SES 25% Total-\$20,700							
2	Internet access from DMS for the Department -\$45,996							
3	Std Personnel Expense-\$10,355 Square footage for FTE offices(100x50%=50x\$17.06=\$853)							
4								
5	included in the Data Center tab section D-2, NSRC costs							
6								
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Non-Strategic IT Service:		Data Center Service		Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Department of State							
Prepared by: Don Roberts							
Phone: 850-245-6116							
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number	# of Assets & Resources Apportioned to this IT Service in FY 2011-12		Estimated IT Service Costs			D Planned Increase/Decrease Use of Recurring Base Funding
		Number used for this service	Number w/ costs in FY 2011-12	A Initial Estimate for Fiscal Year 2010-11 (if submitted)	B Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	C Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	
A. Personnel (performing data center functions defined in w. 282.201(2)(d)1.e., F.S.)		0.00		\$0	\$0	\$0	\$0
A-1.1 State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1 OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
Calculated total non-mainframe servers from all IV-C services	67			\$0	\$0	\$0	\$0
Calculated total mainframes from all IV-C services	0						
B. Hardware							
B-1 Non-Mainframe Servers (including single-function logical servers not assigned to another service)		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support		0	0	\$0	\$0	\$0	\$0
B-4 Online or Archival Storage Systems (indicate GB of storage)		0		\$0	\$0	\$0	\$0
B-5 Data Center/ Computing Facility Internal Network				\$0	\$0	\$0	\$0
B-6 Other Hardware (Please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
C. Software				\$0	\$0	\$0	\$0
D. External Service Provider(s)				\$0	\$673,950	\$673,950	\$0
D-1 Southwood Shared Resource Center (indicate # of Board votes)				\$0	\$0	\$0	\$0
D-2 Northwood Shared Resource Center (indicate # of Board votes)	1	1		\$0	\$673,950	\$673,950	\$0
D-3 Northwest Regional Data Center (indicate # of Board votes)		0		\$0	\$0	\$0	\$0
D-4 Other Data Center External Service Provider (specify in Footnotes below)				\$0	\$0	\$0	\$0
E. Plant & Facility		Total	Est Utilized	\$0	\$0	\$0	\$0
E-1 Agency Data Center (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-2 Computing Facilities (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-3 Office Space (indicate total square feet)		0	0	\$0	\$0	\$0	\$0
E-4 Backup Generator, Power Distribution Units, UPS, etc. (indicate capacity in KW)		0	0	\$0	\$0	\$0	\$0
E-5 Utilities (e.g., electricity and water) (estimated total annual KWH)		0		\$0	\$0	\$0	\$0
E-6 Environmentals (e.g., HVAC, fire control, and physical security)				\$0	\$0	\$0	\$0
E-7 Other (please specify in Footnotes Section below)				\$0	\$0	\$0	\$0
F. Other (Please describe in Footnotes Section below)				\$0	\$0	\$0	\$0
G. Total for IT Service				\$0	\$673,950	\$673,950	\$0
H. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	This is the projected NSRC yearly billing for data center services for DOS (\$673,950)						
2							
3							
4							
5	The Department of State does not manage or own an agency data center. All data center services are provided by the NSRC or SSRC through a FST SLA agreement or co-location agreement. The DOS does maintain two servers at the State Records Center but these servers reside in						
6							
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Strategic IT Service: Elections							
Dept/Agency: Department of State		<i>Form: Schedule IV-C -Combined v.2011-12</i>					
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 850-245-6116				A	B	C	D
Service Provisioning -- Assets & Resources (Cost Elements)	Footnote Number			Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
		Number used for this service	Number w/ costs in FY 2011-12				
A. Personnel		16.00		\$0	\$884,472	\$884,472	\$0
A-1.1 State FTE	1	15.00		\$0	\$853,272	\$853,272	\$0
A-2.1 OPS FTE	2	1.00		\$0	\$31,200	\$31,200	\$0
A-3.1 Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware		56	56	\$0	\$302,675	\$302,675	\$0
B-1 Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2 Servers - Non-Mainframe	3	56	56	\$0	\$0	\$0	\$0
B-3 Server Maintenance & Support	4			\$0	\$273,604	\$273,604	\$0
B-4 Other Hardware Assets (e.g., system mgt workstation, printers, UPS)	5			\$0	\$29,071	\$29,071	\$0
C. Software	6			\$0	\$643,678	\$643,678	\$0
D. External Service Provider(s)	7	0	0	\$0	\$627,524	\$627,524	\$0
E. Other (Please describe in Footnotes Section below)	8			\$0	\$309,682	\$309,682	\$0
F. Total for IT Service				\$0	\$2,768,031	\$2,768,031	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
1	Pos# 767-Systems Programming Administrator-SES 100, Pos# 1012Systems Programmer III 100%, Pos#947-Distributed Computer Systems Analyst 100%, Pos#1025-Systems Programmer III 100%, Pos# 1013-Telecommunications Specialist II 100%, Pos#750Systems						
2	1 (OPS)100% \$31,200						
3	Total FVRS servers-56, All non FVRS server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs						
4	FVRS server maint costs-\$273,604(Includes storage maintenance costs)						
5	Cisco hardware maintenance-\$29,071						
6	Oracle maintenance-\$506,808, Websphere maintenance-\$73,996, HP Dataprotector maintenance-\$50,390, Tivoli-\$21,240, Rational - \$12,484						
7	FVRS county WAN cost-\$549,732, SSRC co-location costs for the FVRS system -\$56,155, NSRC CO-lo costs for FVRS=3.0052x600=\$1,803x12=\$21,637						
8	Std Personnel Expense-\$284,092, Square footage for FTE offices(100x1500%=1500x\$17.06=\$25,590)						
9							
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Strategic IT Service: Library							
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12					
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs			
Phone: 850-245-6116				A	B	C	D
Service Provisioning -- Assets & Resources	Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel							
A-1.1	1	5.00		\$0	\$201,023	\$201,023	\$0
A-1		5.00		\$0	\$201,023	\$201,023	\$0
A-2.1		0.00		\$0	\$0	\$0	\$0
A-3.1		0.00		\$0	\$0	\$0	\$0
B. Hardware							
B-1		0	0	\$0	\$0	\$0	\$0
B-2	2	2	2	\$0	\$0	\$0	\$0
B-3	3			\$0	\$824	\$824	\$0
B-4				\$0	\$0	\$0	\$0
C. Software							
	4			\$0	\$293,510	\$293,510	\$0
D. External Service Provider(s)							
		0	0	\$0	\$0	\$0	\$0
E. Other <i>(Please describe in Footnotes Section below)</i>							
	5			\$0	\$88,607	\$88,607	\$0
F. Total for IT Service				\$0	\$583,964	\$583,964	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.							
7	Pos# 237-Library Program Administrator-SES 50%, Pos# 252-Systems Project Administrator-SES 100%, Pos#200-Operations & Management Consultant II-SES 100%, Pos# 565-Computer Programmer Analyst I 100%, Pos#621-Distributed Computer Systems Specialist						
2	The Library strategic service has 2 logical server installations at the State Records Center that is comprised of Windows servers that support the Total Recall software application. This application and data must be located at the records center in order to provide						
3	HP Server Maintenance - \$824						
4	Total Recall-\$6,119, SirsiDynix-\$68,690, FLRules-\$141,480, FL Libraries & Grants-\$66,720, RE:Discovery\$10,501						
5	Std Personnel Expense-\$78,299, Square footage for FTE offices(100x6%=600x\$17.18=\$10,308)						
6							
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Strategic IT Service: Corporations								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			7.50		\$0	\$362,511	\$362,511	\$0
A-1.1	State FTE	1	7.50		\$0	\$362,511	\$362,511	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe	2	0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software		3			\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$139,919	\$139,919	\$0
F. Total for IT Service					\$0	\$502,430	\$502,430	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
7	Pos# 357-Systems Project Analyst-SES 100%, Pos# 447-Computer Programmer Analyst I 100%, Pos# 896-Computer Programmer Analyst I 100%, Pos# 918-Systems Project Consultant 100%, Pos# 946-Computer Programmer 75%, Pos# 993 Systems Programming							
2	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs							
3	All software for this service is written and maintained in-house							
4	Std Personnel Expense-\$126,271, Square footage for FTE offices(100%x8=800x\$17.06=\$13,648							
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Strategic IT Service: Historical								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			4.00		\$0	\$106,598	\$106,598	\$0
A-1.1	State FTE	1	3.00		\$0	\$88,918	\$88,918	\$0
A-2.1	OPS FTE	2	1.00		\$0	\$17,680	\$17,680	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe	3	0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software		4			\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)		5			\$0	\$34,277	\$34,277	\$0
F. Total for IT Service					\$0	\$140,875	\$140,875	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Pos# 352-Database Administrator-SES 100%, Pos#604-Senior Database Analyst-SES 100% Total \$88,918							
2	1 (OPS)100% \$17,680							
3	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs							
4	All software for this service is written and maintained in-house							
5	Std Personnel Expense-\$29,123, Square footage for FTE offices(100%x3=300x\$17.18=\$5,154							
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Strategic IT Service: Cultural								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			2.00		\$0	\$62,331	\$62,331	\$0
A-1.1	State FTE	1	1.00		\$0	\$37,371	\$37,371	\$0
A-2.1	OPS FTE	2	1.00		\$0	\$24,960	\$24,960	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe	3	0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)		4	1	1	\$0	\$6,000	\$6,000	\$0
E. Other (Please describe in Footnotes Section below)		5			\$0	\$16,660	\$16,660	\$0
F. Total for IT Service					\$0	\$84,991	\$84,991	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
1	Pos#534-Computer Programmer Analyst I-SES 100% Total -\$37,371							
2	1 (OPS) 100% \$24,960							
3	All server and server maintenance costs for this service are included in the Data Center tab section D-2, NSRC costs							
4	OASIS-\$6,000 (Hosted grants management system), All other software for this service is written and maintained in-house							
5	Std Personnel Expense-\$13,224, Square footage for FTE offices(100%x2=200x\$17.18=\$3,436							
6								
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13								
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Strategic IT Service: Agency Strategic IT Service #6								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service						\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #7								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #8								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #9								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #10								
Dept/Agency: Department of State		<i>Form: Schedule IV-C -Combined v.2011-12</i>						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		<i>Footnote Number</i>	<i>Number used for this service</i>	<i>Number w/ costs in FY 2011-12</i>	<i>Initial Estimate for Fiscal Year 2010-11</i>	<i>Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)</i>	<i>Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)</i>	<i>Planned Increase/Decrease Use of Recurring Base Funding</i>
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - <i>Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</i>								
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Strategic IT Service: Agency Strategic IT Service #11								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #12								
Dept/Agency: Department of State		<i>Form: Schedule IV-C -Combined v.2011-12</i>						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources <i>(Cost Elements)</i>		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Estimated FY 2011-12 Allocation of Recurring Base Budget <i>(based on Column G64 minus G65)</i>	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other <i>(Please describe in Footnotes Section below)</i>					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - <i>Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.</i>								
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Strategic IT Service: Agency Strategic IT Service #13					Form: Schedule IV-C -Combined v.2011-12			
Dept/Agency: Department of State		# of Assets & Resources apportioned to this IT Service Number used for this service Number w/ costs in FY 2011-12			Estimated IT Service Costs			
Prepared by: Don Roberts					A	B	C	D
Phone: 850-245-6116					Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number						
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #14								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #15								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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Strategic IT Service: Agency Strategic IT Service #16								
Dept/Agency: Department of State		Form: Schedule IV-C -Combined v.2011-12						
Prepared by: Don Roberts		# of Assets & Resources apportioned to this IT Service		Estimated IT Service Costs				
Phone: 850-245-6116				A	B	C	D	
Service Provisioning -- Assets & Resources (Cost Elements)		Footnote Number	Number used for this service	Number w/ costs in FY 2011-12	Initial Estimate for Fiscal Year 2010-11	Estimated FY 2010-11 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Estimated FY 2011-12 Allocation of Recurring Base Budget (based on Column G64 minus G65)	Planned Increase/Decrease Use of Recurring Base Funding
A. Personnel			0.00		\$0	\$0	\$0	\$0
A-1.1	State FTE		0.00		\$0	\$0	\$0	\$0
A-2.1	OPS FTE		0.00		\$0	\$0	\$0	\$0
A-3.1	Contractor Positions (Staff Augmentation)		0.00		\$0	\$0	\$0	\$0
B. Hardware			0	0	\$0	\$0	\$0	\$0
B-1	Servers - Mainframe		0	0	\$0	\$0	\$0	\$0
B-2	Servers - Non-Mainframe		0	0	\$0	\$0	\$0	\$0
B-3	Server Maintenance & Support				\$0	\$0	\$0	\$0
B-4	Other Hardware Assets (e.g., system mgt workstation, printers, UPS)				\$0	\$0	\$0	\$0
C. Software					\$0	\$0	\$0	\$0
D. External Service Provider(s)			0	0	\$0	\$0	\$0	\$0
E. Other (Please describe in Footnotes Section below)					\$0	\$0	\$0	\$0
F. Total for IT Service					\$0	\$0	\$0	\$0
G. Footnotes - Please be sure to indicate there is a footnote for the corresponding row above. Maximum footnote length is 1024 characters.								
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	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL	
	State FTE	State FTE Cost														
Non-Strategic IT Services																
IV-C Service																
Network	0.50	\$ 28,325	0.00	\$ -	0.00	\$ -	0.50	\$ 28,325			9	\$ 88,580	\$ 10,923	\$ 181,404	\$ 23,707	\$ 332,939
Email, Messaging, @ Calendaring	1.50	\$ 65,090	0.00	\$ -	0.00	\$ -	1.50	\$ 65,090			0	\$ 24,829	\$ 16,062	\$ -	\$ 24,987	\$ 130,968
Desktop Computing	3.75	\$ 154,354	1.00	\$ 41,600	0.00	\$ -	4.75	\$ 195,954			0	\$ -	\$ 166,978	\$ -	\$ 65,252	\$ 428,184
Help Desk	2.00	\$ 70,763	0.00	\$ -	0.00	\$ -	2.00	\$ 70,763			0	\$ -	\$ 4,957	\$ -	\$ 34,334	\$ 110,054
IT Security/Risk Mitigation	0.25	\$ 14,162	0.00	\$ -	0.00	\$ -	0.25	\$ 14,162			0	\$ -	\$ -	\$ 6,700	\$ 5,068	\$ 25,930
Financial and Administrative Systems Support	1.00	\$ 47,385	0.00	\$ -	0.00	\$ -	1.00	\$ 47,385			0	\$ -	\$ 1,368	\$ -	\$ 16,836	\$ 65,589
IT Administration & Management	5.00	\$ 265,342	0.00	\$ -	0.00	\$ -	5.00	\$ 265,342			0	\$ -	\$ -	\$ -	\$ 114,474	\$ 379,816
Portal/Web Management	0.50	\$ 20,700	0.00	\$ -	0.00	\$ -	0.50	\$ 20,700			0	\$ -	\$ -	\$ 45,996	\$ 11,208	\$ 77,904
Data Center	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -			0	\$ -	\$ -	\$ 673,950	\$ -	\$ 673,950
Total	14.50	\$ 666,121	1.00	\$ 41,600	0.00	\$ -	15.50	\$ 707,721	0.00	9.00	\$ 113,409	\$ 200,288	\$ 908,050	\$ 295,866	\$ 2,225,334	

Data Center Plant & Facility: \$ - (included in Data Center total)

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
	State FTE	State FTE Cost													
Strategic IT Services															
IV-C Service															
Elections	15.00	\$ 853,272	1.00	\$ 31,200	0.00	\$ -	16.00	\$ 884,472	0	56	\$ 302,675	\$ 643,678	\$ 627,524	\$ 309,682	\$ 2,768,031
Library	5.00	\$ 201,023	0.00	\$ -	0.00	\$ -	5.00	\$ 201,023	0	2	\$ 824	\$ 293,510	\$ -	\$ 88,607	\$ 583,964
Corporations	7.50	\$ 362,511	0.00	\$ -	0.00	\$ -	7.50	\$ 362,511	0	0	\$ -	\$ -	\$ -	\$ 139,919	\$ 502,430
Historical	3.00	\$ 88,918	1.00	\$ 17,680	0.00	\$ -	4.00	\$ 106,598	0	0	\$ -	\$ -	\$ -	\$ 34,277	\$ 140,875
Cultural	1.00	\$ 37,371	1.00	\$ 24,960	0.00	\$ -	2.00	\$ 62,331	0	0	\$ -	\$ -	\$ 6,000	\$ 16,660	\$ 84,991
Agency Strategic IT Service #6	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #7	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #8	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #9	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #10	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #11	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #12	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #13	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #14	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #15	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Agency Strategic IT Service #16	0.00	\$ -	0.00	\$ -	0.00	\$ -	0.00	\$ -	0	0	\$ -	\$ -	\$ -	\$ -	\$ -
Total	31.50	\$ 1,543,095	3.00	\$ 73,840	0.00	\$ -	34.50	\$ 1,616,935	0.00	58.00	\$ 303,499	\$ 937,188	\$ 633,524	\$ 589,145	\$ 4,080,291

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
	State FTE	State FTE Cost													
TOTALS															
All Schedule IV-C Services	14.50	\$ 666,121	1.00	\$ 41,600	0.00	\$ -	15.50	\$ 707,721	0	9	\$ 113,409	\$ 200,288	\$ 908,050	\$ 295,866	\$ 2,225,334
Non-Strategic IT Services	31.50	\$ 1,543,095	3.00	\$ 73,840	0.00	\$ -	34.50	\$ 1,616,935	0	58	\$ 303,499	\$ 937,188	\$ 633,524	\$ 589,145	\$ 4,080,291
Strategic IT Services	31.50	\$ 1,543,095	3.00	\$ 73,840	0.00	\$ -	34.50	\$ 1,616,935	0	58	\$ 303,499	\$ 937,188	\$ 633,524	\$ 589,145	\$ 4,080,291
Total	31.50	\$ 1,543,095	3.00	\$ 73,840	0.00	\$ -	50.00	\$ 2,324,656	0.00	67.00	\$ 416,908	\$ 1,137,476	\$ 1,541,574	\$ 885,011	\$ 6,305,625

	Currently Authorized Positions		OPS FTE	OPS FTE Cost	Contracted Services FTE	Contracted Services FTE Cost	Total Personnel	Total Personnel Cost	Servers - Mainframe	Servers - Non-Mainframe	Hardware	Software	External Service Provider	Other	TOTAL
	State FTE	State FTE Cost													
COST BREAKDOWN															
All Schedule IV-C Services	% IT Positions	% Hardware	% Software	% External Service Provider	% Other	% of Total Reported IT Cost									
Non-Strategic IT Services	31.80%	5.10%	9.00%	40.81%	13.30%	35.29%									
Strategic IT Services	39.63%	7.44%	22.97%	15.53%	14.44%	64.71%									
% of Total Reported IT Cost	36.866%	6.612%	18.039%	24.448%	14.035%										

Data Center Summary	Total	Total Utilized
Total Data Center Personnel		0.00
Total Servers from All IT Services - Mainframe		0
Total Servers from All IT Services - Non-Mainframe		67
Agency Data Center (TOTAL SQUARE FEET)	0	0
Computing Facilities (TOTAL SQUARE FEET)	0	0
Office Space (TOTAL SQUARE FEET)	0	0
Backup Generator, Power Distribution Units, UPS, etc. (CAPACITY IN KW)	0	
Utilities-Electricity (ESTIMATED TOTAL ANNUAL KWH)	0	



SERVICE LEVEL AGREEMENT

Between the

Department of State

And

The Northwood Shared Resource Center

Master Agreement

Fiscal Years 2010 – 2013

*Service Level Agreement
Signature Authorization*

Department of State:

Dawn Roberts, Secretary of State
Department of State

Date

Northwood Shared Resource Center:

David G. Warfel, Executive Director
Northwood Shared Resource Center

Date

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Glossary of Terms

Term	Definition
Agency for Enterprise Information Technology (AEIT)	A State of Florida agency charged with developing strategies for the design, delivery, and management of enterprise information technology services; monitoring delivery and management of those services; and establishing rules and policies for managing those services.
Business Day	Monday through Friday, excluding State holidays.
Business Hours	7:00 a.m. EST through 7:00 p.m. EST each Business Day.
Customer	Customer shall mean those “state parties” or “parties” as defined in Section 282 and Section 216.011(1)(gg) of the Florida Statutes and those “public bodies” or “political subdivisions” as defined in Section 1.01(8) and Section 252.34(8) of the Florida Statutes.
Enterprise Change Control	A weekly meeting to review all desired and planned IT platform changes to evaluate impact to customers, ensure proper customer communication, and ensure the least amount of risk for service disruption.
Enterprise Help Desk	The Customer’s first point of contact for service requests, problem resolution, invoicing discrepancies and other service related issues.
Incident	Any request for service through the Services Desk – includes general service inquiries, incident reports, invoice discrepancy reviews, etc.
Northwood Shared Resource Center (NSRC)	A full-service information-processing facility offering hardware, software, operations, networking, and co-location services.
Parties	Authorized representative of both the Provider and the Customer.
Professional Services	Additional technical services not included in a Service Level Agreement. These services include, but are not limited to, IT consulting, research, strategic planning, architectural design, implementation, migration assistance, security response, and issue resolution.
Provider	The Northwood Shared Resource Center.
Service Change	A service change is defined as any change to hardware, software, network environment, etc., which directly affects the production environment within the Shared Resource Center. All service changes will be reviewed at the weekly Enterprise Change Control Meeting.

Term	Definition
Service Change – Emergency	Any Service Change which must be made in less than 24 hours.
Service Level Agreement (SLA)	A formal agreement entered into jointly by the Provider and the Customer that outlines the description of a service, the service level targets, costs, and the Provider and Customer responsibilities in delivering and receiving service from the Provider. The SLA includes the Master Agreement and all Attachments.
Service Response	Provider action taken in response to a customer’s incident.

1 Statement of Purpose

This SLA formalizes the service terms between the Customer and the Provider, including the scope and definition of technical services, responsibilities for operational areas, service level targets, and the pricing for services delivered. This SLA also communicates the commitment of the Provider to furnish quality and prompt service to the Customer in a manner that contributes to the successful accomplishment of the Customer’s mission.

In the event that any other entity assumes the present responsibilities of the Provider (e.g., through legislative enactment, contractual agreement, etc.), these services shall be provided under these same terms by the successor, under the provisions of the SLA, to the extent allowed under Florida Statute.

2 Legal Authority

This SLA is entered into by and between the Northwood Shared Resource Center (herein referred to as “Provider”) and the Department of State (herein referred to as “Customer”), pursuant to Section 282.203(1)(g), Florida Statutes.

All matters, whether sounding in tort or contract, relating to the validity, construction, interpretation, performance and enforcement of this agreement shall be determined by the laws of the State of Florida.

Any provision of this agreement in violation of the laws of the State of Florida shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this agreement.

Any provision of this agreement in violation of rules adopted by the Agency for Enterprise Information Technology pursuant to Section 282.203, Florida Statutes shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this agreement.

No delay or omission to exercise any right, power or remedy accruing to either party upon breach or default by either party under this agreement, shall impair any such right, power or remedy of either party; nor shall such delay or omission be construed as a waiver of any such breach of default, or any similar breach or default thereafter occurring; nor shall any waiver of single breach or default be deemed a waiver of any subsequent breach or default. All waivers must be in writing.

This agreement shall bind the successors, assigns and legal representatives of the Provider and of any legal entity that succeeds to the obligations of the Customer.

This agreement shall be unilaterally canceled by the Customer for refusal to allow public access to all documents, papers, letters or other material subject to the provisions of Chapter 119, Florida Statutes, and made or received in conjunction with the agreement.

In accordance with Section 287.134, Florida Statutes, the Provider will not enter in to a contract with an entity or affiliate who has: been placed on the discriminatory vendor list; may not submit a bid, proposal, or reply on a contract to provide any goods or services to a public entity; may not submit a bid, proposal, or reply on a contract with a public entity for the construction or repair of a public building or public work; may not submit bids, proposals, or replies on leases of real property to a public entity; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity.

The Customer shall consider the employment by any contractor of unauthorized aliens a violation of section 274(e) of the Federal Immigration and Nationalization Act. Such violation shall be cause for unilateral cancellation of this agreement.

3 Roles and Responsibilities

General roles and responsibilities are defined below. Additional roles and responsibilities may be outlined in the Product/Service Description section:

Service Responsibilities	Customer	Provider
Utilize the Provider's Enterprise Help Desk for all Provider service needs or service related inquiries	X	
Provide and maintain a single customer contact for service notifications (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for billing related issues (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for technical issues (client-side distribution list recommended)	X	
Provide and maintain a single customer contact for emergency outage issues (client-side distribution list recommended)	X	
Provide timely notification of changes to the NSRC Customer Support Services Unit	X	
Provide prompt payment for services rendered	X	
Adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		X
Provide timely notification of any service changes		X

Service Responsibilities	Customer	Provider
Provide timely notification of any planned outages		X
Provide timely written notification of rate changes upon Board of Trustees approval		X

Customer Contacts	
Service Notifications Contact / Distribution List	850-245-6145
Billing Related Issues Contact / Distribution List	850-245-6145
Technical Contact / Distribution List	850-245-6145
Emergency Outage Contact / Distribution List	850-245-6145

4 Term and Renewal Conditions

The content of this SLA will be defined and approved by the NSRC Board of Trustees in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the Board. Payment of invoice constitutes acceptance of all terms and conditions of the SLA for services paid.

This SLA will become effective upon signature by both Parties and will be effective for a term not to exceed three (3) years, ending no later than June 30, 2013. After that date the SLA may be renewed annually for up to three (3) years, contingent on approval by the NSRC Board of Trustees.

5 Transfer of Computing Services

Pursuant to Section 282.203(1)(g), Florida Statutes, the transfer of computing services between primary data center facilities without at least 180 days notice of service cancellation is prohibited.

6 Product / Service Definition

The following table contains the services that will be provided by the NSRC and indicates the Attachment to this document (if applicable) that contains details on the service provision.

Service Provided	Service Category	Attachment
X	Data Center Management	Attachment 2, Data Center Management Services
	Mainframe Services	Attachment 3: Mainframe Services
X	Open Systems Platform	Attachment 4: Open Systems Platform Services
X	Storage Management	Attachment 5: Storage Management Services

Service Provided	Service Category	Attachment
X	Windows Platform	Attachment 6: Windows Platform Services
	Disaster Recovery	Attachment 7: Disaster Recovery Services

Each Service to be provided is described in an Attachment to this document describing the scope of services, standards and metrics, deliverables and roles and responsibilities as applicable. *Attachment 1, NSRC Service Catalog*, provides a detailed breakdown of the component parts of each service. Those services and component parts in *Attachment 1* marked by “X” in the “Service Provided” column represent the service(s) to be provided to the Customer under the terms of this agreement.

Any work performed by the Provider that is not included in the scope of the services marked with “X” and defined in the Attachment(s) to this agreement will be billed to the Customer at the Professional Services rate. This includes, but is not limited to, custom application troubleshooting, code review, data gathering for public records requests, investigation and remediation of unauthorized access or hacking, and architectural and design consulting. Every effort will be made to make the Customer aware of billable situations in advance of work done; however advance notice is not required to the extent services provided are identified here.

In order to reduce support costs, it is the policy of the Provider to make every effort to maintain software versions (including patches) no older than one level back from the manufacturer’s most current version.

7 Customer Funding Source

Acceptance of this SLA certifies the customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement.

8 Service Cost Estimate

The estimated costs for service(s) provided to Customer as outlined in Paragraph 6 of this agreement will be based on the current rate structure approved by the Board of Trustees and published on the NSRC website at: <http://nsrc.myflorida.com/docs/price%20sheet.pdf>.

9 Billing Methodology

Recovery of costs by the Provider will be executed in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal Office of Management and Budget (OMB) Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service being provided.

The Provider will invoice Customer on a monthly basis for service or services provided the preceding month based on utilization. Invoicing will begin in the first applicable billing cycle following delivery, installation, and implementation of the service. The Customer agrees to pay Provider for these services according to the current published Provider rates specified on Provider’s website.

If for any reason an amount invoiced by the Provider to the Customer is shown to be incorrect, the appropriate credits and/or debits will be included on a subsequent invoice.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

The Customer agrees to pay for services provided within in accordance with Section 215.422, Florida Statutes. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Procedures. The Customer may withhold payment only on the disputed portion of the invoice until the problem or issue is resolved by the Provider and the Customer or through remediation. The Customer will have 15 days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within 15 days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges that it is in the best interest of the state for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Any service provided stemming from agreements entered into with the Provider, shall be invoiced for specific cost of services and shall be submitted with reasonable detail for a proper pre-audit and post-audit thereof.

Invoice payments will be made via journal transfer (JT) or electronic funds transfer (EFT) whenever possible. If unable to pay by JT or EFT, other arrangements can be made in advance.

All bills incurred by the Provider for any Customer related travel expenses shall be submitted and paid in accordance with the rates specified in Section 112.061, Florida Statutes, governing payments by the State for travel expenses. Travel expenses shall be pre-approved by the Customer and Provider prior to travel being taken.

All Parties recognize that the State of Florida, by virtue of its sovereignty, is not required to pay any taxes on the services and/or goods or equipment purchases as an incident to such service.

10 Service Rate Adjustment Process

The Provider uses a double step-down cost accounting process in accordance with a federally approved state cost rate methodology, based on the requirements of Attachment E to Federal OMB Circular No. A87 to determine cost based rates on a periodic basis. Currently, this activity occurs on an annual basis.

11 Service Termination

This SLA has a contract term of 3 years, with the option to renew for up to 3 additional years contingent on approval by the Board. Termination of this agreement requires at least a 180-day notice of service cancellation.

If the Customer wishes to discontinue this Agreement, the Customer must submit the request in writing no later than 180 days before the end of the term. If notice is not received, this Agreement may be renewed for an additional term; rates may be subject to change at time of renewal. The Provider will continue to invoice the Customer until the effective service termination date.

If the Provider, as part of its necessary performance and service to the Customer, has been required to purchase equipment, licenses and/or certificates, the Customer agrees to continue to be financially liable and responsible for the outstanding amount due for the equipment, the duration of the licenses and/or certificates, even though the Customer has terminated the services of the Provider.

Unless otherwise noted within this Agreement, all equipment, software, or other resources purchased by the Provider in execution of this Agreement will remain the property of the Provider upon the termination of the Agreement. Likewise, unless otherwise noted in this Agreement, all equipment, software, or other resources purchased by the Customer in execution of this Agreement will remain the property of the Provider upon termination of this Agreement.

This SLA may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within a reasonable period as determined by AEIT.

12 Service Planning and Review

Customer and Provider will conduct joint service planning and review sessions at least quarterly in order to ensure open communications, share strategic initiatives and plan accordingly, discuss performance, and review costs. At these sessions the Parties will, at a minimum, conduct capacity review and planning, service array and business needs assessment, budget planning and utilization review, and performance review.

13 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider's Platform Manager. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer's performance under this agreement shall be documented by the Provider and transmitted to the Customer's authorized representative. Issues(s) will be addressed and resolved in a timely manner.

14 Escalation Process

If a dispute or issue is not resolved between the Customer's authorized representative and the Provider's Platform Manager, the dispute or issue will be escalated through the escalation levels in the table below.

Level	Customer	Provider
1	Customer's Authorized Representative	Platform Manager
2	Customer Chief Information Officer	Director of Computer Operations
3	Deputy Secretary	Executive Director
4	Agency Head	Chairperson, NSRC Board of Trustees

Failing a satisfactory resolution through this escalation process the following entities will preside over the mediation process:

- AEIT or a neutral third-party shall act as mediator
- Division of Administrative Hearings (pursuant to s. 120.573)

15 Performance Penalties

Services are provided solely on a cost recovery basis. Any costs associated with established penalties would have to be recovered through rates charged for services. Federal OMB Circular No. A-87 requires equitable cost allocation for services to customer agencies. For these reasons the Provider cannot establish direct or indirect financial penalties for not meeting service level targets. However, the Provider may report to the Board of Trustees their success in meeting service levels for each service provided, and identify and speak to any shortfalls.

The Provider is committed to meeting service level targets specified in the SLAs and will conduct performance reviews in addition to the quarterly service planning and review meetings specified in Paragraph 12 when requested by the Customer to assess the level of service provided.

16 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and increasing the level of appropriate communication to the Customer. A weekly Change Control meeting is held to review all changes impacting services prior to any changes being implemented. Change control procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer agrees to provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the Enterprise Help Desk, that a change as communicated may impact or disrupt Customer business functions.

17 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within this agreement (including Attachments), is as follows:

Name	Time	Characteristics
Normal IT Maintenance Window	Normal Business Days: 1900 – 0700 Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 6:00PM on non-Normal Business Days (weekends and holidays) will be provided to customers. Routine facility maintenance and testing.
Normal Backup Maintenance Window	Friday 1700	Normal maintenance, changes and system enhancements will be performed during this time.
DMS SUNCOM Network Maintenance Window	Monday 0030 – 0700	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

18 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, F.A.C., the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT).

The Provider will establish and follow procedures internally to assure compliance with and monitoring of industry security standards and Health Insurance Portability and Accountability Act (HIPAA) requirements.

19 Security Incidents

The Provider will be responsible for ensuring Operating System level patches are applied to all systems through a mutually agreed on schedule and established test, pilot, and production release process. Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. The Provider will follow industry standard best practice for network and application security scans. All Customer applications must pass the Provider web scan requirements. Application security should be done according to industry accepted best practices and include data validation to mitigate against malicious activity. Provider assistance necessary to mitigate security incidents caused by Customer applications will be billed at professional service rates.

The Provider is responsible for security of all Provider services outlined within this document. The Provider will follow AEIT generic Computer Security Incident Response Team (CSIRT) guidelines. The Provider and Customer will initiate internal CSIRT procedures as defined by AEIT and NSRC security policies.

20 Disaster Recovery

Disaster Recovery is not automatically a part of this agreement unless otherwise specified in this agreement. The Provider offers a Disaster Recovery (DR) option through which agencies can meet their statutory requirements for the disaster recovery of their mission critical computing systems and applications.

21 Continuity of Operations Planning (COOP)

Agencies are responsible for their own COOP planning. It is the responsibility of the Customer to maintain an up-to-date COOP plan and to provide COOP instructions to the Provider with regard to any service the Provider provides in support of mission critical business functions.

22 Enterprise Help Desk Operations

The Provider maintains a Enterprise Help Desk which serves as the single point of contact for customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. must be placed through the Enterprise Help Desk. The following table provides three methods of contacting the Enterprise Help Desk.

Contact by	At
Phone	850.487.9400
email	DCF_Helpdesk@dcf.state.fl.us
electronic ticket	http://apps.dcf.state.fl.us/helpdesk/selfserviceticket.asp

23 Enterprise Help Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table:

Severity	Defined Severity	Description
1	Critical	The majority of customers are experiencing a complete failure of a mission critical application, platform or connection that is interrupting the customers' business function.
2	High	A customer is experiencing a partial failure of a supported application, platform, connection or environment that is disrupting the customer's business function.
3	Medium	A customer is experiencing a reduced level of efficiency and performance of a supported application, platform, connection or environment that is impacting the customer's business productivity.
4	Low	A customer has a functional (how-to) question that they cannot answer through the Enterprise Help Desk or wants to submit a request for installation or change of service in their technical or physical environment.

The following table outlines the standard response time for escalation for each severity.

Standard Tier Two Plus Response Times – By Severity				
	1 – Critical	2 – High	3 – Medium	4 - Low
Platform Support Group	1 Hours	2 Hours	8 Business Hours	3 Business Days
Automatic Escalation to Platform Management	30 Minutes	1 Hour	2 Business Hours	4 Business Hours
Automatic Escalation to Second Level Management	30 Minutes	1 Hour	2 Business Hours	N/A
Automatic Escalation to Upper Level Management and notification sent to the NSRC Executive Management	30 Minutes	1 Hour	4 Business Hours	N/A
Total Escalation Time	2.5 Hours	5 Hours	2 Business Days	3.5 Business Days

24 Hours of Operation

The Enterprise Help Desk provides customer support from 7:00 am to 8:00 pm Monday through Thursday and 7:00 am to 7:00 pm on Friday and 8:00 am to 5:00 pm on Saturday. The Enterprise Help Desk is on call Monday through Thursday until 12 midnight and 24x7 Friday through Monday until 7:00 am.

25 Document Change Management

It is mutually understood and agreed that any communications, promises, representations or agreements not included in writing in this agreement shall not be binding upon any party and that the agreement may not be altered, modified or otherwise changed at any time except with the written consent of each of the parties hereto.

This Service Level Agreement will remain in effect until the stated termination date unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer's and Provider's representatives or their designees.

26 Windows Licensing

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Don Roberts droberts@dos.state.fl.us	850-245-6116

Provider SLA Coordinator	Jennifer H. Stone Jennifer_stone@dcf.state.fl.us	850-487-8949
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Any revisions or amendments to this SLA shall be documented in the Revision Log, below, and initialed by the Customer and Provider SLA Coordinator or their designee.

Date	Revision #	Brief Description of Change	SLA Coordinator Initials (or designee)	
			Customer	Provider

27 Attachment 1. NSRC SERVICE CATALOG

LABOR SERVICES

HOURLY WORK

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Labor Services - NSRC Staff	Per Labor Hour	Professional Services work completed by NSRC employees.

DATA CENTER MANAGEMENT (Attachment #2)

DATA CENTER HOSTING

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	SRC Raised Floor Space	Per Square Foot	Computer room raised floor service.
	Offsite Tape Storage – Mainframe	Per Tape/Daily	Charge is for vaulting/storing backup media at offsite storage facility
X	Offsite Tape Storage - Midrange	Per Tape/Daily	Charge is for vaulting/storing backup media at offsite storage facility

PRINT SERVICES

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	Print – Midrange	Per 1000 Print Impressions/ Monthly	Pages printed by third party vendor
	Print – Mainframe	Per 1000 Print Lines/ Monthly	Pages printed by third party vendor

COMMUNICATIONS PORTS: Network-to-Network Interface (NNI)

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	NNI 100 Mb Local	Per 100 Mb Port/ Monthly	100 Mb private Local connection with firewalled access and VLAN access within the NSRC.
X	NNI 100 Mb DMZ	Per 100 Mb Port/ Monthly	1 100Mb connection in NSRC DMZ with public internet access. 1 Gb copper also available if need is justified.
	NNI IPSEC Lan-Lan VPN	Per defined VPN tunnel/ Monthly	1 site to site IPSEC VPN tunnel connection with access to LAN resources within the NSRC.

NETWORK SERVICES

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Bandwidth	Per GB Transferred	Bandwidth based on amount of data transferred in/out of the NSRC
	DNS Domain Hosting	Per Labor Hour	Configuration and hosting of domains housed at NSRC. Domains are either purchased through a domain registrar or subdomain to "state.fl.us" or "myflorida.com"
	Simple Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – round robin or least connections. Connectivity health check.
X	Complex Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – layer 4-7 or distributed, including session persistency and health checks.

MAINFRAME SERVICES (Attachment #3)

IBM PROCESSING

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	Batch Processing	Per CPU Hour	Batch processing is provided 24/7 on all logical partitions. Jobs are submitted either through a scheduling product or manually by the customer. Batch is halted during special times such as during backups, hardware maintenance and to prevent conflicts with onlines.
	CICS Processing	Per CPU Hour	CICS is used as the transaction manager for some applications. All of the CICS regions are configured similarly. We have CICS applications running against DB2 and VSAM data bases. RACF is the main security provider.
	DB2 Processing	Per CPU Hour	Provide IBM DB2 database subsystem for customer applications. Access is controlled by RACF security software.
	IMS Processing	Per CPU Hour	Provide IBM IMS database subsystem for customer applications. Access is controlled by RACF security software.
	TSO Processing	Per CPU Hour	Access to the mainframe ISPF facility is available through TSO which is active in all environments on a 24/7 basis although there is some restriction during the weekly DASD backups and other scheduled outages. TSO users are required to obtain a RACF

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
			controlled security logon ID which grants them system access only to those facilities required for their particular needs and requirements.

MAINFRAME-MANAGED TAPE STORAGE

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	IBM Tape Cartridges	Per GB/Daily	Storage of data on tape, both virtual and physical, is provided
	Unisys Tape Cartridges	Per Tape/ Monthly	Storage of data on physical tape is provided

MAINFRAME-MANAGED SERVICES

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	IBM Print Management	Per 1K Print Lines Built	The mainframe provides print software to manage print and have customers view their output online (Dispatch).

OPEN SYSTEMS PLATFORM (Attachment #4)

OPEN SYSTEMS APPLICATION HOSTING

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Managed Server-LINUX	Per Processor - Unit/Monthly	Includes one server unit, hosting at the NSRC, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management, and server antivirus.
	Managed Server-LINUX EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software
X	Managed Server-Oracle Premium	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
X	Managed Server-SQL Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
	Managed Server-UDB Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.

OPEN SYSTEMS WEB SITE HOSTING

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	Network Services	Per Web-Unit/ Monthly	Customizable Customer selected feature units billed on a Monthly basis. Available options will be listed in a separate document.

STORAGE MANAGEMENT (Attachment #5)

BACKUP SERVICES

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Backup Service	Per Gigabyte/ Day	Provides client software based backup to either disk and/or tape. This service includes daily differential, weekly full and a monthly full.

MANAGED DISK STORAGE

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Tier 1 Disk Storage	Per Gigabyte/ Day	Consists of enterprise-class intelligent Fibre Channel-based storage systems. These disks are high performance, high RPM, cache, RAID protection (usually mirrored), and located within a Storage Area Network (SAN) infrastructure to provide high availability. This storage is usually used for business-critical or high transaction volume applications which require quick response times. Prices may vary depending on type of connectivity required and RAID configuration.
X	Tier 2 Disk Storage	Per Gigabyte/ Day	Consists of Fibre Channel-based disk, with RAID protection, and either provisioned within the enterprise storage system, or virtualized into modular-class storage system. Servers could be running e-mail applications, data warehouses, or other business important transaction applications. Prices may vary depending on type of connectivity required and RAID configuration.
X	Tier 3 Disk Storage	Per Gigabyte/ Day	Consists of high-density Serial ATA (SATA) disk with RAID protection, could be either SAN or locally attached storage. This storage is low performance, suitable for static web pages, file shares, tape replacement or archive media. Prices may vary depending on type of connectivity required and RAID configuration.
	IBM Mainframe Disk Storage	Per Gigabyte/ Day	Consists of enterprise-class intelligent storage subsystem controllers with FICON or ESCON I/O channel interfaces. The disk drives in these subsystems are high performance, high RPM,

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
			cached, RAID-1 protected (mirrored) high availability devices. This storage is usually used for business-critical or high transaction volume applications which require quick response times.

WINDOWS PLATFORM (Attachment #6)

HOSTED WINDOWS SERVICES

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
X	Managed Server -Windows	Per Server- Unit/Monthly	Includes one server unit, hosting at the NSRC, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management, and server antivirus.
X	Managed Server- Windows EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software

DISASTER RECOVERY (Attachment #7)

ALL PLATFORMS

Service Provided	Platform/Service	Billing Unit/ Frequency	Service Description
	Disaster Recovery Services	Per Unit- Monthly	Customizable Customer selected feature units billed on a Monthly basis. Available options will be listed in a separate document.

28 Attachment 2. Data Center Management

Description of Service

This service provides

- Data center hosting;
- Print Services;
- Network-to-Network Interface (NNI); and
- Network services.

Data Center Hosting

Data center hosting consists of providing physical raised floor space necessary to house platform hardware (collocated services), and/or offsite storage of backup media onsite and/or offsite.

Print Services

Print services provides physical printing of written documents through a contracted service with a third party vendor.

Network-to-Network Interface (NNI)

NNI provides core network connectivity within the NSRC and from the NSRC to myflorida.net. It does NOT include network connectivity in field offices or any other location outside of the NSRC once connectivity is established with myflorida.net.

Network Services

Network services include transfer of data in and out of the NSRC, secure connectivity from remote sites to applications housed at the NSRC, and management of device workload.

Scope

The NSRC will provide the services marked with an “X” in the “Service Provided” column at the rate(s) published on the NSRC website.

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
Data Center Hosting:			
X	SRC Raised Floor Space	Per Square Foot	Computer room raised floor service.
	Offsite Tape Storage – Mainframe	Per Tape/Monthly	Charge is for vaulting / storing backup media at offsite storage facility
X	Offsite Tape Storage - Midrange	Per Tape/Monthly	Charge is for vaulting / storing backup media at offsite storage facility
Print Services:			
	Print – Midrange	Per 1000 Print Impressions/Monthly	Pages printed by third party vendor
	Print – Mainframe	Per 1000 Print Lines/Monthly	Pages printed by third party vendor
Communications Ports: Network-to-Network Interface (NNI)			

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
X	NNI 100 Mb Local	Per 100 Mb Port/Monthly	100 Mb private Local connection without Internet or LAN access within the NSRC
X	NNI 100 Mb DMZ	Per 100 Mb Port/Monthly	1 100Mb connection in NSRC DMZ with public internet access. 1 Gb copper also available if need is justified.
	NNI IPSEC Lan-Lan VPN	Per defined VPN tunnel/Monthly	1 site to site IPSEC VPN tunnel connection with access to LAN resources within the NSRC.
Other Network Services:			
X	Bandwidth	Per GB Transferred	Bandwidth based on amount of data transferred in/out of the NSRC
	DNS Domain Hosting	Per Labor Hour	Configuration and hosting of domains housed at NSRC. Domains are either purchased through a domain registrar or subdomain to "state.fl.us" or "myflorida.com"
	Simple Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – round robin or least connections. Connectivity health check.
X	Complex Server Load Balancing	Per Labor Hour	Setup and maintenance of appliance based loadbalancing – layer 4-7 or distributed, including session persistency and health checks.

Service Level Commitment

Print Services

Documents will be printed and mailed in accordance with specific customer requirements.

Network-to-Network Interface (NNI)

Core network connectivity within the NSRC and from the NSRC to myflorida.net will be available at least 99.5% of scheduled availability. The following schedule shows the standard availability and maintenance window for network services.

Time of Occurrence (normal business days)	Description of Maintenance Activities to be Performed
Midnight – 4:00 a.m., twice a month	Changes to established systems, routine maintenance, or enhancements that require major changes.
7:00 a.m. – 7:00 p.m.	No maintenance can be performed without an emergency change request.
7:00 p.m. – 7:00 a.m.	Only bug fixes and remedies to intolerable conditions, unless within twice monthly maintenance window.

Communications Ports

Other Network Services

Other network services will be available at least 99.5% of scheduled availability. The following schedule shows the standard availability and maintenance window for other network services.

Time of Occurrence (normal business days)	Description of Maintenance Activities to be Performed
Midnight – 4:00 a.m., twice a month	Changes to established systems, routine maintenance, or enhancements that require major changes.
7:00 a.m. – 7:00 p.m.	No maintenance can be performed without an emergency change request.
7:00 p.m. – 7:00 a.m.	Only bug fixes and remedies to intolerable conditions, unless within twice monthly maintenance window.

Performance Metrics

Service Area	Metric and Standard
Data Center Hosting	
Print Services	<p><u>Standard:</u> Documents will be printed and mailed in accordance with specific Customer requirements 95% of the time.</p> <p><u>Measurement:</u> Number of days on which documents were printed and mailed in accordance with Customer requirements divided by the total number of days on which the documents should have been printed and mailed.</p>
NNI	<p><u>Standard:</u> Service will be available 99.5% of scheduled availability.</p> <p><u>Measurement:</u> Scheduled availability minus the reported out-of-service time divided by scheduled availability. Out-of-service time is calculated as the time from receipt of problem notification until resolution as reported by the NSRC.</p>
Other Network Services	<p><u>Standard:</u> Service will be available 99.5% of scheduled availability.</p> <p><u>Measurement:</u> Scheduled availability minus the reported out-of-service time divided by scheduled availability. Out-of-service time is calculated as the time from receipt of problem notification until resolution as reported by the NSRC.</p>

Deliverables

The following table describes the data center performance measurement report(s) deliverables that will be provided to the customer.

Deliverable	Description	Frequency/ Due Date
Network Availability Report	Report of scheduled and unscheduled downtime events and percentages achieved on a monthly basis, with problem description and resolution information.	Monthly

Roles and Responsibilities

General roles and responsibilities for this service are defined as follows:

Service Responsibilities	Customer	Provider
Notify the Enterprise Help Desk for all service related problems	X	
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Inform Customer of changes in costs due to changes in rate structure or service		X

29 Attachment 4. Open Systems Management

Description of Service

This service provides for operation of applications on the open systems platform(s) and includes:

- Application hosting;
- Operating system management;
- Online transaction processing;
- System database administration, and
- Batch processing.

Application Hosting

Application hosting includes the support of hardware, operating system, network, and selected applications. Services include:

- Problem resolution and troubleshooting after normal Enterprise Help Desk hours;
- Scheduled maintenance reviewed and approved at Change Control;
- Redundant network and power components for continuous availability of service;
- NSRC standard security controls; and
- 24x7 staffing, maintenance, and operations.

Operating System (OS) Management

OS management includes maintenance and upgrades to system hardware and software as needed to maintain service levels.

Online Transaction Processing (OLTP)

Online transactions will be managed in a manner to assure service provision under this agreement.

System Database Administration

System-level database administration support includes:

- Physical database design (development through production)
- Database installation, implementation, and upgrades;
- Application of patches and maintenance to the database sub-system;
- Maintenance of sub-system parameters;
- Monitoring and management of workload;
- Allocation of system resources;
- Sub-system and database performance monitoring and tuning;
- Sub-system and application database backup and recovery;
- System security administration;
- Database reorganization and space management;
- Database Administrator support;
- Program product installation, upgrades, and maintenance; and
- Middleware solution planning, configuration, and implementation.

In order to ensure all database subsystems and instances perform as efficiently as possible, NSRC database staff must have an opportunity to review and recommend changes to the initial database design and changes to all databases before moving into user acceptance. The backup and recovery requirements must also be understood.

NSRC is responsible for physical database design. NSRC staff must approve any physical database designs done external to NSRC prior to installation.

Batch Processing

Batch processing includes:

- the execution and monitoring of batch cycles,
- identifying problems,
- resolving issues and escalating to authorized staff, and
- the communication of daily processing activities.

Additionally, batch processing flow is scheduled, setup, modified as necessary, and relevant events are documented. However, a primary window of time from 7:00 p.m. to 6:00 a.m. Monday through Friday is dedicated almost totally to batch processing.

Scope

The NSRC will provide the services marked with an “X” in the “Service Provided” column at the rate(s) published on the NSRC website.

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
Open Systems Application Hosting:			
X	Managed Server-LINUX	Per Processor -Unit/Monthly	Includes one server unit, hosting at the NSRC, basic network connectivity, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management, server antivirus, basic FTP, basic web, etc.
	Managed Server-LINUX EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software
X	Managed Server-Oracle Premium	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
X	Managed Server-SQL Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
	Managed Server-UDB Server	Database/ Month	Per customer database, database administrations charges per hour are separately billed.
Open Systems Web Site Hosting:			
	Network Services	Per Web-Unit/ Monthly	Customizable Customer selected feature units billed on a Monthly basis. Available options will be listed in a separate document.

Maintenance Window

Name	Time	Characteristics
Service Availability Window (Scheduled Availability)	Normal Business Days: 0700 – 1900	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency change request.

Service Level Commitment

Open Systems Application Hosting

SQL server will be available at least 99.5% of scheduled availability. Scheduled availability will coincide with #17 of SLA.

Performance Metrics

Service Area	Metric and Standard
Application Hosting	<u>Standard:</u> Applications will be available 99.5% of scheduled uptime <u>Measurement:</u> Actual availability minus unscheduled downtime divided by scheduled available

Deliverables

The following table describes the data center performance measurement report(s) deliverables that will be provided to the customer.

Deliverable	Description	Frequency/ Due Date
Application Availability Report	Report of scheduled and unscheduled downtime events and percentages achieved on a monthly basis with problem description and resolution information	Monthly

Roles and Responsibilities

General roles and responsibilities for this service are defined as follows:

Service Responsibilities	Customer	Provider
Provide logical database designs for hosted applications	X	
Provide information necessary to schedule work	X	
Provide information necessary to determine workload requirements	X	
Provide critical business time zones, such as end of quarter heavy processing time, in order to ensure system availability	X	
List and prioritize any IT requirements	X	

Participate in NSRC Change Control and relevant service outage meetings	X	
Monitor daily operations reports	X	
Review deadlines and priorities for the purpose of mutually agreed upon changes	X	
Notify the Enterprise Help Desk for all service related problems	X	
Determine physical database design		X
Purchase and maintain system software		X
Provide system administration and application code promotion		X
Notify Customer regarding Change Control meetings and relevant service outage reviews		X
Develop a work plan reflecting the priorities and completion dates of major projects affecting the platform		X
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Inform Customer of changes in costs due to changes in rate structure or service		X
Provide monitoring utilities		X

30 Attachment 5. Storage Management

Description of Service

This service provides backup services and managed disk storage.

Backup Services

Backup is the process of making a duplicate copy of data for protection against damage or loss, or for archiving. A secondary component of backup is retrieval or returning the duplicate data to active use in case of damage or loss. Backup is mandatory for managed storage customers.

Once implemented, the NSRC monitors and generates statistics and trends for CPU, memory, and disk space utilization so that additional resources may be effectively and efficiently allocated without customer impact.

Standard backup is managed so that duplicates are rotated offsite as a double layer of assurance. Backups are performed on customer FTP accounts but may be limited due to the transitory nature of data migration within the FTP environment. NSRC regularly tests its backup of customer accounts and access so data can be restored quickly in event of a disaster.

Managed Disk Storage

Storage consists of storage area network (SAN) management, mainframe disk, storage provisioning, capacity management, performance management and reporting, data replication management, and 24x7 monitoring of the storage environment. Archiving is removing data from actively accessed locations but retaining data copies for an extended period of time. A secondary component of archiving is retrieval or identifying and making accessible the appropriate data.

In a fully managed archive process, data is retained with a copy being stored at an offsite facility. The offload archive process extracts the backed up data from the system to a medium that will be used for storage.

In the event the archived data can no longer be extracted due to age and/or outdated technology, NSRC and Customer will work cooperatively to find a method for converting that data so that it may be stored in another way.

Customer is responsible for managing data, which includes any purges from the allocated storage assigned. NSRC will not delete Customer data without written consent from Customer.

Additional storage shall be granted to Customer if it is mutually determined that there is a valid business requirement for the increase.

Retrieval from archives will be available based on Customer requests within mutually agreed upon parameters and timeframes.

Scope

The NSRC will provide the services marked with an "X" in the "Service Provided" column at the rate(s) published on the NSRC website.

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
Backup Services:			
X	Backup Service	Per Gigabyte/Day	Provides client software based backup to either disk and/or tape. This service includes daily differential, weekly full and a monthly full.
Managed Disk Storage:			
X	Tier 1 Disk Storage	Per Gigabyte/Day	Consists of enterprise-class intelligent Fibre Channel-based storage systems. These disks are high performance, high RPM, cache, RAID protection (usually mirrored), and located within a Storage Area Network (SAN) infrastructure to provide high availability. This storage is usually used for business-critical or high transaction volume applications which require quick response times. Prices may vary depending on type of connectivity required and RAID configuration.
X	Tier 2 Disk Storage	Per Gigabyte/Day	Is Fibre Channel-based disk, with RAID protection, and either provisioned within the enterprise storage system, or virtualized into modular-class storage system. Servers could be running e-mail applications, data warehouses, or other business important transaction applications. Prices may vary depending on type of connectivity required and RAID configuration.
X	Tier 3 Disk Storage	Per Gigabyte/Day	Is high-density Serial ATA (SATA) disk with RAID protection, could be either SAN or locally attached storage. This storage is low performance, suitable for static web pages, file shares, tape replacement or archive media. Prices may vary depending on type of connectivity required and RAID configuration.
	IBM Mainframe Disk Storage	Per Gigabyte/Day	Consists of enterprise-class intelligent storage subsystem controllers with FICON or ESCON I/O channel interfaces. The disk drives in these subsystems are high performance, high RPM, cached, RAID-1 protected (mirrored) high availability devices. This storage is usually used for business-critical or high transaction volume applications which require quick response times.

Service Level Commitment

Backup Services

NSRC will plan, schedule, and implement backup and recovery processes according to the Customer's requirements.

Customer's application(s) will be backed up as indicated in the following chart:

System	Backup Method	Frequency
All Systems	Tape	Weekly Full/Daily Differential

Managed Disk Storage

Retrieval from archives will be available based on Customer requests within mutually agreed upon parameters and timeframes. NSRC will not delete Customer data without written consent from Customer. NSRC will provide a capacity review of CPU, memory, and disk space utilization at each quarterly service planning and review meeting

Performance Metrics

Service Area	Metric and Standard
Backup Services	<p>Standard: 97% of system backups will run successfully on schedule.</p> <p>Measurement: Number of successful, on-schedule backups minus number of backups that were unsuccessful or not on schedule divided by the total number of backups for the measurement period.</p>

Deliverables

The following table describes the data center performance measurement report(s) deliverables that will be provided to the customer.

Deliverable	Description	Frequency/ Due Date
Backup Report	Provider will use a centralized process to monitor and report data. A summary of backups will be provided on a monthly.	Monthly

Roles and Responsibilities

General roles and responsibilities for this service are defined as follows:

Service Responsibilities	Customer	Provider
Provide backup locations of files required by Customer	X	
Provide retention schedules for archived data	X	
Request retrieval	X	
Notify Provider of file location changes when required	X	
Provide information necessary to plan work and workload requirements	X	
Manage data to facilitate efficient storage	X	
Review deadlines and priorities for the purpose of mutually agreed upon changes	X	
Purchase and maintain all storage components and licenses		X
Insure all processes are accurately and timely completed		X
Provide system administration and application code promotion		X
Develop a work plan reflecting the priorities and completion dates of major projects affecting the platform		X
Inform Customer of changes in costs due to changes in rate structure or service		X
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Provide monitoring utilities		X

31 Attachment 6. Windows Platform

Description of Service

This service provides for operation of applications on the open systems platform(s) and includes:

- Application hosting;
- Operating system management;
- Online transaction processing, and
- Batch processing.

Application Hosting

Application hosting includes the support of hardware, operating system, network, and selected applications. Services include:

- Problem resolution and troubleshooting after normal Enterprise Help Desk hours;
- Scheduled maintenance reviewed and approved at Change Control;
- Redundant network and power components for continuous availability of service;
- NSRC standard security controls; and
- 24x7 staffing, maintenance, and operations.

Operating System (OS) Management

OS management includes maintenance and upgrades to system hardware and software as needed to maintain service levels.

Online Transaction Processing (OLTP)

Online transactions will be managed in a manner to assure service provision under this agreement.

Batch Processing

Batch processing includes:

- the execution and monitoring of batch cycles,
- identifying problems,
- resolving issues and escalating to authorized staff, and
- the communication of daily processing activities.

Additionally, batch processing flow is scheduled, setup, modified as necessary, and relevant events are documented. However, a primary window of time from 7:00 p.m. to 6:00 a.m. Monday through Friday is dedicated almost totally to batch processing.

Scope

The NSRC will provide the services marked with an “X” in the “Service Provided” column at the rate(s) published on the NSRC website.

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
Hosted Windows Services:			
X	Managed Server – Windows	Per Server-Unit/Monthly	Includes one server unit, high availability / stateful failover configuration (virtual servers only), hosting at the NSRC, basic network connectivity, standard server OS, overall health and availability monitoring 24 x 7 x 365, patch management,

Service Provided	Platform/Service Type	Billing Unit/Frequency	Service Description
			server antivirus, basic FTP, basic web, etc.
X	Managed Server-Windows EOSL Surcharge	20% Surcharge	Surcharge Added to Customer Service charges for utilizing End of Service Life Hardware or Software

The NSRC is not responsible for procurement or maintenance of CALs associated with any Windows-based applications.

Maintenance Window

Name	Time	Characteristics
Service Availability Window (Scheduled Availability)	Normal Business Days: 0700 – 1900	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency change request.

Service Level Commitment

Hosted Windows Services

Performance Metrics

Service Area	Metric and Standard
Managed Server - Windows	<u>Standard:</u> Applications will be available 99.5% of scheduled uptime

Deliverables

The following table describes the data center performance measurement report(s) deliverables that will be provided to the customer.

Deliverable	Description	Frequency/ Due Date
Application Availability Report	Report of scheduled and unscheduled downtime events and percentages achieved on a monthly basis with problem description and resolution information	Monthly

Roles and Responsibilities

General roles and responsibilities for this service are defined as follows:

Service Responsibilities	Customer	Provider
Procure and maintain the proper level and quantity of Microsoft client access licenses (CALs) needed for access to Windows-based applications	X	
Provide information necessary to schedule work	X	
Provide information necessary to determine workload requirements	X	
Provide critical business time zones, such as end of quarter heavy processing time, in order to ensure system availability	X	
List and prioritize any IT requirements	X	
Participate in NSRC Change Control and relevant service outage meetings	X	
Monitor daily operations reports	X	
Review deadlines and priorities for the purpose of mutually agreed upon changes	X	
Notify the Enterprise Help Desk for all service related problems	X	
Purchase and maintain system software		X
Provide system administration and application code promotion		X
Notify Customer regarding Change Control meetings and relevant service outage reviews		X
Develop a work plan reflecting the priorities and completion dates of major projects affecting the platform		X
Review deadlines and priorities for the purpose of mutually agreed upon changes		X
Inform Customer of changes in costs due to changes in rate structure or service		X
Provide monitoring utilities		X

32 Attachment 8. Member Agency Specifics

The following describes the member agency's specific requirements and/or provisions. Listed below are the requirements and roles for defined agency specifics, both parties agree to the following:

1. DOS currently uses Veritas and DataProtector backup software to create backup copies of server data. The DOS requires that its data be backed up with daily differentials and weekly full backups. The DOS wants to continue this backup schedule. The NSRC may renew the Veritas and DataProtector license agreements to continue the current process or replace it with the NSRC's backup process and software.
2. The DOS currently uses RightFax software with a BrookTrout fax card to provide fax server services. The DOS wants to continue this service and would like for the NSRC to renew the RightFax license agreement to continue the current process. Any changes to this service will require application software changes for the DOS.
3. DOS currently uses Cold Fusion software to support many of its web sites. The DOS wants to continue to use this software. The NSRC must renew the Cold Fusion license agreement on a yearly basis to continue the current process. Cold Fusion is currently installed on the following DOS web servers:
 - a. DOS3WCCF1
 - b. DOS3WCCF2
 - c. DOS3WCCF3
 - d. DOS3WCCF4
4. DOS currently uses Diskeeper software to help maintain the mass storage on its Windows servers. The DOS wants to continue to have its Windows servers' mass storage maintained by a disk maintenance utility. The NSRC may renew the Diskeeper license agreement to continue the current process or replace it with the NSRC's disk maintenance utility software. This software is currently used on all of the DOS Windows servers.
5. The DOS currently uses Sophos as its anti-virus software. This software is used on the DOS desktops and all of its Windows servers. The DOS wants to continue using this software on its servers. The NSRC will commit to use Sophos on the servers for the first fiscal year of operation.
6. The DOS wants to continue the support and function of its web DMZ until 12/31/2010. The DOS currently uses the following three appliances to provide DMZ security:
 - a. Proventia G100
 - b. PIX 525

c. PIX 525

The DOS wants to continue to utilize the above devices to support the DOS web DMZ until December 31, 2010. At this time the DOS web DMZ can be dismantled. The DOS wants to maintain or improve its current level of security. The NSRC may renew the security license agreement to continue the current processes or replace it with the NSRC's own security solution.

7. The DOS currently uses Radware software to load balance its web servers. The DOS wants to continue to have its web servers load balanced. The NSRC may renew the Radware software license for this purpose or replace it with a product of their choice that offers similar or more functionality.
8. The DOS currently uses DTSearch on the following web servers to index their web sites:
 - a. DOS3WDOE1
 - b. DOS3WDOE2

The DOS wants to continue using this software. The NSRC should renew this license on a yearly basis unless otherwise notified by the DOS.

9. DOS personnel currently use VPN to manage their applications, access their user environments, and to support the Department's COOP plan. The DOS wants to continue to use VPN services.
10. The DOS has one rack of computer equipment located at the SSRC that supports the production Division of Corporations' VMS system. The DOS wants the NSRC to initiate an agreement with the SSRC to manage this system so that it can be maintained in sync with the NSRC production system.
11. Services managed and maintained by third parties may require some minor interaction from the NSRC operations staff. This would include but not be limited to functions such as pressing reset on a server to perform a reboot of the server or providing current status of server. This applies to the Symphony and Flibcat systems located in the NSRC.
12. Services managed and maintained by third parties will require access to the applications and hardware through the data center firewall structure. These applications are DOSSTotalRecal at the State Records Center, and Re:Discovery, Symphony, Flibcat, DLISWERULE01, DLISWERULE02, DLISWERULE03, DLISSQLQA01, and DLISSQLPR01 at NSRC.
13. Servers running the email, web email, and Blackberry systems are expected to be available within 4 hours of experiencing a problem that renders the service unusable.
14. Web logs must be made available to the Agency within 1 day of creation for the purpose of report generation.

15. All storage related to the PeDALS project does not require backup. Please refer to the PeDALS documentation.
16. PeDALS is funded by the Library of Congress and subject to terms specified in the Grant Contract between the Arizona State Archives and the Library of Congress. It is also subject to an Interstate Agreement including the following States: Arizona, Florida, New York, South Carolina and Wisconsin. In the next six months an additional four states will be added to this program (to be determined). See the attached "PeDALS" document for a complete description of the program and system architecture. The agreement requires that certain pieces of the architecture, the LOCKSS boxes, be connected to the Internet and in constant communication with other LOCKSS boxes in the partnering states.
17. The DOS requires all of its existing network connections to remote locations be maintained at or above the current level of service.
18. DOS currently uses PHP software to support many of its web sites. The DOS wants to continue to use this software. PHP is currently installed on the following DOS web servers:
 - a. DOS3WCCF3
 - b. DOS3WCCF4
19. DOS currently uses ISAPI_rewrite software to support many of its web sites. The DOS wants to continue to use this software. ISAPI_rewrite is currently installed on the following DOS web servers:
 - a. DOS3WCCF3
 - b. DOS3WCCF4
20. The DOS currently monitors its network and servers continuously to insure that they are running and in good health. The DOS wants to continue to have its network and servers monitored for proper function so if problems should occur the affected users can be notified immediately regarding the interruption of service.
21. The SyrsiDynix system is a 100% contracted system, hardware/software/maintenance. The DOS wants to have this system billed as a co-location system as the NSRC will not have to interact with it.



State of Florida
Northwood Shared Resource Center

Charlie Crist
Governor

James Stewart
Interim, Executive
Director

September 14, 2010

Dawn Roberts, Interim Secretary of State
Department of State
R. A. Gray Building
500 S. Bronough
Tallahassee, FL 32399-0250

Dear Dawn,

The purpose of this letter is to inform you regarding an amendment that has been made to the Service Level Agreement (SLA) between the Department of State and the Northwood Shared Resource Center.

The NSRC Board of Trustees met September 2, 2010 and voted to amend all SLAs to have a common ending date of December 31, 2010. This was done in an effort to give the Board of Trustees time to review and approve any changes to the current NSRC Service Catalog. The NSRC Board of Trustees has asked that the NSRC Service Catalog be reviewed by the Administrative and Technical Committees to ensure the service offerings are accurately and sufficiently defined; and make recommendations to the Board for any appropriate changes.

It was voted that the SLA be effective as of September 2, 2010 and will be effective for a term ending on December 31, 2010.

Attached you will find the *DOS Amendment 1* document for your signature. This amendment will also be documented in the Revision Log in the SLA.

Sincerely;

A handwritten signature in black ink, appearing to read "James Stewart", is written over a light blue horizontal line.

James Stewart
Interim Executive Director, NSRC

1940 North Monroe Street, Suite 80 Tallahassee, Florida 32399

Mission: To provide customers with consistent and secure computing power, expert support, creative technology solutions, and continuity of service.

First Amendment to the Service Level Agreement between the State of Florida
Department of State and the Northwood Shared Resource Center

This First Amendment to the Service Level Agreement between the State of Florida Department of State (herein referred to as "**Customer**") and the Northwood Shared Resource Center (herein referred to as "**Provider**") is entered into between the parties to amend the Service Level Agreement (the "**SLA**") executed by the Customer on June 28, 2010 and executed by the Provider on June 25, 2010 in order to conform the term of the SLA to the term approved by the Board of Trustees of the Northwood Shared Resource Center (the "**Board**") and witnesses the following agreements of the parties:

WHEREAS, as executed on behalf of the parties the SLA provides that the SLA will become effective upon signature by both parties and will be effective for a term not to exceed three (3) years, ending no later than June 30, 2013; and

WHEREAS, the parties executed the SLA contingent upon the approval of the Board; and

WHEREAS, at a regular meeting of the Board held on September 2, 2010 the Board approved the SLA contingent upon the term of the SLA being amended so as to terminate on December 31, 2010.

Now, therefore, in consideration of the premises and the mutual agreements of the parties as hereinafter set forth, the parties agree as follows:

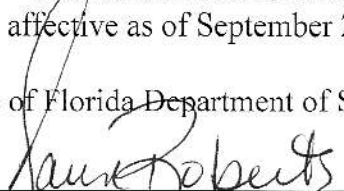
1. The second paragraph of Section 4 of the SLA entitled "Term and Renewal Conditions" is amended to read as follows:

This SLA is effective as of September 2, 2010 and will be effective for a term ending on December 31, 2010. After that date the SLA may be renewed annually for up to three (3) years, contingent on approval by the Customer and the Board.


2. Any provisions of the SLA inconsistent with the provisions of this amendment are amended accordingly to be consistent with this amendment. As provided in the SLA this amendment shall be documented in the Revision Log set forth in the SLA and initialed by the Customer and Provider SLA Coordinators or their designees.

This amendment is executed on behalf of the parties on the respective dates set forth below to be effective as of September 2, 2010.

State of Florida Department of State



By: 
Dawn Roberts, Interim Secretary of State
Date: 9/20/10

Northwood Shared Resource Center

By: 
James Stewart, Interim Executive
Director
Date: 9/14/10

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Don Roberts droberts@dos.state.fl.us	850-245-6116
Provider SLA Coordinator	Jennifer H. Stone Jennifer_stone@dcf.state.fl.us	850-487-8949

Any revisions or amendments to this SLA shall be documented in the Revision Log, below, and initialed by the Customer and Provider SLA Coordinator or their designee.

Date	Revision #	Brief Description of Change	SLA Coordinator Initials (or designee)	
			Customer	Provider
09/08/2010	Amendment 1	The second paragraph of Section 4 of the SLA entitled "Term and Renewal Conditions" is amended to read as follows: This SLA is effective as of September 2, 2010 and will be effective for a term ending on December 31, 2010. After that date the SLA may be renewed annually for up to three (3) years, contingent on approval by the Customer and the Board. (DOS Amendment 1 09082010.doc)		

Service Level Agreement: Co-location Services


Signature Authorization

Department of State:

 7-20-10

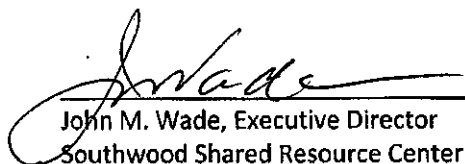
John O. Boynton, Director
Administrative Services
Department of State

Date

 7/22/10

Additional Customer Signature (Name, Title) Date

Southwood Shared Resource Center:

 7/22/10

John M. Wade, Executive Director
Southwood Shared Resource Center

Date

Version: 21 20100609



Southwood Shared Resource Center

STANDARD SERVICE LEVEL AGREEMENT

Between the

Department of State

And

The Southwood Shared Resource Center

Co-location Services

SLA Term

Fiscal Year 2010 – 2011

Service Level Agreement: Co-location Services

Signature Authorization

Department of State:

Don Roberts, Chief Information Officer
Department of State

Date

Additional Customer Signature (Name, Title)

Date

Southwood Shared Resource Center:

John M. Wade, Executive Director
Southwood Shared Resource Center

Date

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Glossary of Terms

TERM	DEFINITION
Agency for Enterprise Information Technology (AEIT)	A State of Florida agency charged with developing strategies for the design, delivery, and management of enterprise information technology services; monitoring delivery and management of those services; and establishing rules and policies for managing those services.
Addendum	Subsequent amendments to this Service Level Agreement (SLA) which formalize additional Customer specific requirements. Section 6 will be revised to reference any Addendums. Organizationally, Addendums shall immediately follow the base SLA and Amendments.
Amendment	Formal statement of any changes made to the initial Southwood Shared Resource Center (SSRC) SLA. Customer specific requirements which have been identified as Amendments are referenced in Section 6. Organizationally, Amendments shall immediately follow the base SLA.
Attachment	Additional information provided to clarify or assist Provider in meeting terms of this SLA. Section 6 will be revised to reference any Attachments. Organizationally, Attachments shall immediately follow the base SLA, Amendments, and Addendums.
Business Day	The SSRC business hours are 8:00 am EST Monday through 6:00 pm EST Friday, excluding State holidays.
Change Control Board	A board that meets regularly to review all desired and planned IT platform changes to evaluate impact to Customers and ensure proper Customer communication.
Customer	Customer shall mean those “state parties” or “parties” as defined in Chapter 282 and Section 216.011(1)(gg), Florida Statutes and those “public bodies” or “political subdivisions” as defined in Section 1.01(8) and Section 252.34(8), Florida Statutes.
Incident	Any request for service through the SSRC Services Desk – includes general service inquiries, incident reports, invoice discrepancy reviews, etc.
Parties	Authorized representative of both the Provider and the Customer.

TERM	DEFINITION
Professional Services	Additional technical services not included in a Service Level Agreement. These services include, but are not limited to, Information Technology (IT) consulting, research, strategic planning, architectural design, implementation, migration assistance, security response, and issue resolution.
Provider	The Southwood Shared Resource Center (SSRC).
Service Change	A service change is defined as any change to hardware, software, network environment, etc., which directly affects the production environment within the SSRC. All service changes must be reviewed by the Change Control Board.
Service Change – Emergency	An Emergency Service Change is one that must be made in less than 24 hours.
Service Change Management	Change Control procedures necessary to affect a service change, ensuring communication with Customers and the least amount of risk for service disruption.
Service Level Agreement (SLA)	A formal agreement pursuant to Section 282.203, Florida Statutes, entered into by the Provider and the Customer that outlines the description of a service(s), the service level targets, costs, and the Provider and Customer responsibilities in delivering and receiving service(s) from the Provider.
Service Response	Provider action taken in response to a Customer’s Incident.
Southwood Shared Resource Center (SSRC)	A full-service, information-processing facility offering hardware, software, operations, networking, and co-location services. Also referred to as the Southwood Data Center.
SSRC Services Desk	The Customer’s first point of contact for service requests, problem resolution, invoicing discrepancies and other service related issues.
SSRC Board of Trustees	Board created by Section 282.203, Florida Statutes and appointed by the agency head or chief executive officer of the representative Customer entities.

TERM	DEFINITION
Standard Platform Managed Services	Standard Platform Services are services identified in the SSRC Services Catalog that provide infrastructure related support services to SSRC customers on the following platforms: Windows, Storage, Mainframe, Network, and Open Systems. These services typically include system monitoring, support services, hardware refresh, and license costs into a single utilization-based rate to recover the cost of common services performed.

1 Statement of Purpose

This Service Level Agreement (SLA) formalizes the service terms between the Customer and the Provider, including the scope and definition of technical services, responsibilities for operational areas, service level targets, and the pricing for services delivered. This SLA also communicates the commitment of the Provider to furnish quality and prompt service to the Customer in a manner that contributes to the successful accomplishment of the Customer’s mission.

In the event that any other entity assumes the present responsibilities of the Provider (e.g., through legislative enactment, contractual agreement, etc.), these services shall be provided under these same terms by the successor, under the provisions of the SLA, to the extent allowed under Florida law.

2 Legal Authority

Florida law requires the finalization of a SLA between the Southwood Shared Resource Center and each customer entity for each service provided by the SSRC pursuant to Section 282.203(1)(g) and Section 282.203(3)(e)2., Florida Statutes. Under certain circumstances, the failure of a customer entity to execute an agreement may result in the SSRC ceasing services pursuant to Section 282.203(1)(g)3., Florida Statutes.

This SLA is entered into by and between the Southwood Shared Resource Center (herein referred to as “Provider”) and the Department of State (herein referred to as “Customer”), pursuant to Section 282.203(1)(g), Florida Statutes.

All matters, whether sounding in tort or contract, relating to the validity, construction, interpretation, performance and enforcement of this Agreement shall be determined by the laws of the State of Florida.

Any amendment to this SLA, as agreed to by the Customer and Provider, shall take precedence over any conflicting provision in this SLA without invalidating the remaining provisions of this Agreement. Customer specific requirements which have been identified as amendments are referenced in Section 6.

Any provision or amendment of this Agreement in violation of the laws of the State of Florida shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this agreement.

Any provision or amendment of this Agreement in violation of rules adopted by the Agency for Enterprise Information Technology (AEIT) pursuant to Section 282.201, Florida Statutes shall be ineffective to the extent of such violation, without invalidating the remaining provisions of this agreement.

No delay or omission to exercise any right, power or remedy accruing to either party upon breach or default by either party under this agreement, shall impair any such right, power or remedy of either party; nor shall such delay or omission be construed as a waiver of any such breach of default, or any similar breach or default thereafter occurring; nor shall any waiver of single breach or default be deemed a waiver of any subsequent breach or default. All waivers must be in writing.

This Agreement shall bind the successors, assigns and legal representatives of the Provider and of any legal entity that succeeds to the obligations of the Customer.

This Agreement shall be unilaterally canceled by the Customer for refusal to allow public access to all documents, papers, letters or other material subject to the provisions of Chapter 119, Florida Statutes, and made or received in conjunction with the Agreement.

In accordance with Section 287.134, Florida Statutes, the Provider will not enter in to a contract with an entity or affiliate who has: been placed on the discriminatory vendor list; may not submit a bid, proposal, or reply on a contract to provide any goods or services to a public entity; may not submit a bid, proposal, or reply on a contract with a public entity for the construction or repair of a public building or public work; may not submit bids, proposals, or replies on leases of real property to a public entity; may not be awarded or perform work as a contractor, supplier, subcontractor, or consultant under a contract with any public entity; and may not transact business with any public entity.

Employment by the Provider of any individual or contractor who is an unauthorized alien(s) is a violation of section 274(e) of the Federal Immigration and Nationality Act. Such violation shall be cause for unilateral cancellation of this Agreement.

3 Roles and Responsibilities

General roles and responsibilities are defined below. Additional roles and responsibilities may be outlined in the Product/Service Description section:

Service Responsibilities	Customer	Provider
Utilize the Provider's Services Desk for all Provider service needs or service related inquiries	C	

Service Responsibilities	Customer	Provider
Provide and maintain a single Customer contact for service notifications (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for billing related issues (client-side distribution list recommended)	C	
Provide and maintain a single Customer contact for technical issues (client-side distribution list recommended)	C	
Provide timely notification of changes to the Provider's Change Control Board	C	
Provide prompt payment for services rendered	C	
Provide and maintain a list of Change Control Board Members		P
Shall adhere to the data center duties related to primary data centers as outlined in Chapter 282.203, Florida Statutes		P
Provide timely notification of any service changes		P
Provide timely notification of any planned outages		P

Customer Contacts	
Service Notifications Contact / Distribution List	SSRCSservice@dos.state.fl.us
Billing Related Issues Contact / Distribution List	SSRCBilling@dos.state.fl.us
Technical Contact / Distribution List	SSRCTech@dos.state.fl.us

4 Term and Renewal Conditions

SLAs may not have a term exceeding three (3) years but may include an option to renew for up to three (3) years, contingent on approval by the SSRC Board of Trustees. SLAs will be defined and approved by the Board in compliance with rules of the Agency for Enterprise Information Technology (AEIT). Terms and rates for services are reviewed periodically to assure cost-recovery and are subject to change by the SSRC Board of Trustees.

5 Transfer of Computing Services

Pursuant to Section 282.203(1)(g), Florida Statutes, the transfer of computing services between primary data center facilities without at least 180 days' notice of service cancellation is prohibited.

6 Product / Service Description

Co-location Services are hosted through the Southwood Shared Resource Center (SSRC) facility and consist of Raised Floor Services and Rack Mount Services. Each of these services provide redundant network and power components for continuous availability of service, industry standard security controls; and 24x7 staffing, maintenance, and operations.

Scope of Work

Raised Floor Services

Provides a physically secure footprint for a customer owned cabinet within the SSRC computer room that utilizes under floor cable management and is monitored 24X7. This service consumes floor tiles.

Note: The SSRC has two (2) raised floor areas. These areas are certified Tier III and non-certified Tier II. The classifications for Tiers are as follows:

- **Tier III data center is concurrently maintainable and has redundant capacity components and multiple independent distribution paths serving the computer equipment. The suggested utilization of this floor space should be critical production systems that need to be available 24 x 7.**
- **Tier II data center has redundant capacity components and a single, not-redundant distribution path serving the computer equipment. The suggested utilization of this floor space should be test and development equipment.**

A Floor Tile is a 2' X 2' tile used as the unit of measurement on the Computer Room raised floor at the SSRC. A standard single paramount cabinet occupies 2 tiles and a tower of cool occupies 3 tiles. Mandatory front and back access to the cabinet utilize 2 additional Floor Tiles. Total minimum fees for a standard single paramount cabinet is 4 floor tiles and minimum fees for a tower of cool is 5 Floor Tiles. A percentage of floor tile used shall be rounded up to the nearest Floor Tile.

The standard single cabinets listed above consume four (4) or five (5) Floor Tiles and includes one (1) 30 AMP – 208V (2) pole circuit. If, redundant power is requested or required by the customer the customer will be responsible for the installation cost of new circuit (s) and any additional monthly recurring charges at the current fiscal year rate per pole. Cabinet should not exceed 1.25 kW per tile. Any cabinet exceeding 5 kW will be charged additional floor space. Circuits are monitored for current, voltage and power. Unused receptacles are disabled to avoid overloading circuits.

The standard cabinets utilized by the SSRC are Wrightline Paramount Enclosures or Wrightline Tower of Cool (TOC's). The standard color is NuGrey. Exceptions to the standard cabinet must be approved in advance prior to installation.

Cabinets must:

- Lock (front and back) with a set of keys provided to the SSRC;
- Provide for Power and Cable Management;
- Provide rack mount laptop(s) as Control Unit(s)(KVM's)
- Adequately ventilate to prevent overheating (fan units).

Data center requirements assure proper cooling for any cabinet located within the facility, the temperature within a cabinet is the responsibility of the Customer. Internal temperature monitoring systems with remote paging capabilities are suggested if the Customer requires monitoring of internal cabinet temperatures.

The Provider recommends that the Customer space equipment properly such that ventilation is not hampered.

All equipment installations will be done in accordance with the current version of the following codes:

- NFPA 101 - Life Safety Code
- NFPA 75 - Standard for the Protection of Information Technology Equipment
- NFPA 70E - Standard for Electrical Safety in the Workplace"
- NFPA 70 - National Electrical Code
- NFPA 72 - National Fire Alarm Code

Any equipment installations that do not meet these requirements may be forbidden in the SSRC. We reserve the right to shutdown any piece of customer owned /operated equipment that we deem to be faulty, unsafe, or that places our operation at risk. The SSRC will work with our customers on any non-emergency issues that may arise.

Rack Mount Services

Provide a physically secured 19" standard cabinet for customer owned equipment within the SSRC. Servers must be rack mountable. The standard rack mount unit measurement is one (1) Rack Unit = 1U or 1.75". KVM (monitor units with Keyboard, Video, and Mouse) units are provided for Customer use; if the Customer requires an independent control unit then the unit must be a fold down rack mount KVM approved by the Provider. Control units shall be assessed fees related to size. Independent Control Unit cables are not provided by the SSRC. The Customer shall provide and install all hardware for the rack mount (server rails are not included in SSRC fees).

Two (2) power strip receptacles (one primary and one backup) within the cabinet are provided per Rack Unit. Power is supplied to each cabinet from two (2) separate Power Distribution Units that are each fed from separate Uninterruptible Power Supply systems. Additional fees may apply to additional receptacles.

Service Description

Specific Roles and Responsibilities

Roles and responsibilities will only relate to those services offered by the Provider and its Contractors on resources owned and/or managed by the Provider. Roles and Responsibilities

would not relate to services that are performed by Customer’s internal information technology (IT) section or other designated staff on Customer property.

Service Responsibilities	Customer	Provider
Continuously review and evaluate security procedures		X
Monitor all areas of the SSRC 24 hours a day		X
Authorize identified persons with access to computer room before admission		X
Verify that all cabinets within the computer room are locked when not being accessed		X
Ensure a staff member is assigned to receive and inspect any equipment received		X
Assign data center staff for cleaning all secure areas of the facility		X
Ensure only authorized personnel access restricted areas		X
Ensure redundant facility components through tests		X
Customers must supply the following before entering the computer room <ol style="list-style-type: none"> 1. Have proper authorization from their agency to access their equipment 2. Have a security record and photo identification on file 3. Be prepared to show proper identification 4. Be escorted under certain conditions (All vendors are escorted) 	X	
Notify the SSRC Computer Operators of deliveries	X	
Submit proper forms (as identified) for equipment installation, removal, and changes <ol style="list-style-type: none"> 1. Submit an Equipment Installation Request Document (Attachment 1) before any equipment is brought into the facility including the delivery of equipment 2. Completed Equipment Installation Request document are to be returned to Computer Operations at the SSRC 3. If all required information is not provided, installation of Customer equipment may be delayed 4. Submit an Equipment Removal / Transfer document (Attachment 2) before any equipment is removed from the facility 5. Must submit a CSA form to SUNCOM for SSRC ports to be installed 	X	
Ensure all hardware for installation is accurately inventoried	X	
Provide and install the hardware for the rack mount	X	
Ensure a list of those requiring access to the equipment is submitted to the SSRC Computer Operators and is kept up-to-date	X	
Follow Computer Room Operational Guidelines (Attachment 3) <ol style="list-style-type: none"> 1. The customer is responsible for adhering to all Computer Room Operational Guidelines as set forth in the Attachment 3. Failure to comply with these Guidelines may lead to termination of this Agreement and the subsequent removal of Customer equipment at the SSRC. Compliance with Computer Room Operational Guidelines is determined at the discretion of the SSRC Manager. 	X	

The SSRC maintains the following standards in support of the co-location service offerings:

Power Management

Power redundancy for the Tier III floor is supplied to IT equipment through two (2) 500 KVA and two (2) 80 KVA Uninterruptible Power Supply (UPS) Systems that are backed up by (2) 1000 kW generators. Power redundancy for the Tier II floor is supplied to IT equipment through one (1)

Scalable 225-500 KVA Uninterruptible Power Supply (UPS) that is backed up by one (1)1000 kW generator. Generators are activated in the case of a primary power feed interruption. In the event of a prolonged power interruption (more than 1 week) agencies will be billed a prorated charge for fuel. (Please note to date the SSRC has not sustained an outage in duration of more than 12 hours.) The UPS Systems provide clean power through continuous monitoring and filtering reducing the RF, EMI, and other line noise that can degrade power. Static Switches and Power Distribution Units provide for efficient use of power delivery to the Customer cabinet. Power and temperature thresholds are continuously monitored, providing early detection of emerging failures. Thermal scans are performed monthly to circumvent problems and potential power failures.

Additional Circuit Installation

New installation of standard one (1) 30 AMP – 208V (2) pole circuit shall be assessed a onetime fee for materials. Additional circuits or larger circuits may be purchased at an additional cost.

Note: For the safety of computer operators, individual / independent Rack Mount UPS systems are not allowed in the SSRC Computer Room. Redundant power for Customer equipment is only available if the installed Customer equipment has multiple internal power supplies.

HVAC System

Monthly service includes HVAC system redundancy for the SSRC Computer Room Floor. This redundant system includes multiple chillers from a central plant and two pumps within the facility for continued water circulation and is further supported by two (2) 200-ton stand alone back up chillers located at the SSRC. There are additional outside connections for a portable emergency chiller.

Security and Safety

Network surveillance cameras monitor areas inside and out of the facility.

Network Services

The customer shall be responsible for ordering and canceling the required network port/s and connections that will be utilized for their equipment at the SSRC. This shall be done by submission of a Communications Service Authorization (CSA) form into the on-line CSA system at the following URL.

<http://fvrs.state.fl.us/onlinecsa/app/homepage>

The standard network port connection is via one RJ45, Cat5E cable per customer owned device. Any exceptions to this standard must be approved by the Provider. At no point shall a secured network connection and an unsecured (DMZ) address be permitted on the same device. All connections shall be set to auto speed and auto duplex unless requested by the customer and approved by the Provider.

Services per Port consist of Internet and State Intranet access, back-up network, monitoring and on-site staff to troubleshoot the network and network security services such as firewall configuration and intrusion detection services.

Equipment requiring Gigabit Ethernet speeds will be evaluated for technical feasibility on a case-by-case basis and approved by the Provider prior to installation. The Network Engineering and Deployment group will be responsible for providing Gigabit Ethernet Switch connections as needed within the Southwood Shared Resource Center.

Any analog voice grade circuits required for dial up or diagnostic services shall be ordered by the customer separately through the CSA process. To avoid installation delays the customer must notify the SSRC communications group with a circuit I.D. and phone numbers 48 hours prior to installation date.

Network Cable Requirements and Standards

Compliance with the SSRC network cable standards is mandatory to install and maintain equipment at the SSRC. Cables shall be supplied and installed by the Provider or in accordance with SSRC guidelines. At no time shall any cabling work be performed by anyone other than the Provider or without the express consent of the Provider.

All cabling materials shall meet the following standards:

Copper Jumper Cables

The only authorized copper jumper cables to be installed within the SSRC are:

Manufacturer: Ortronics

Description: Cable Assembly Mod Cat5E
Four pair stranded copper
T568A/B pin configuration

Color Code: Red – Standard data connections only
Blue – T-1 circuits only
Green – Voice circuits only
White – Cross-over cables only (T568A to T568B)

Length: Standard cable lengths: 3', 5', 7', 9', 15', 20', and 30'

Exceptions: Longer cable lengths than those listed above are special order and may lengthen the installation process.

NOTE: Per NFPA 70 - All Cabling That Runs Under the Raised Floor Shall Be **Plenum Rated**

Fiber Jumper Cables

The only authorized fiber jumper cables to be installed within the SSRC are:

Manufacturer: Corning Siecor

Description:	Single-mode Fiber	Multi-mode Fiber
	Duplex SC-SC	Duplex SC-SC
	8.3 micron	62.5 micron

Colors: Standard Yellow Standard Orange

Lengths: Standard cable lengths (meters):

1, 2, 3, 4, 5, 7, 10, and 15

Exceptions: Longer cable lengths than those listed above and other connectors than SC to SC are Special order and may lengthen the installation process.

Patch Panels – Copper Cable

All patch panels within the SSRC shall be Ortronics only.

Fiber Interconnect Cabinets

All Fiber Interconnect Cabinets (FICS) shall be Corning only.

Performance Measures

Customer's Co-location Service will be available at least 99.5% of scheduled availability.

Calculation Methodologies:

Service availability =

Scheduled availability (Minutes) - Reported out-of-service time (Minutes)

Scheduled Availability

Out-of-service:

Defined as the time from receipt of problem notification involving the service outage of a production system, until the time of resolution as reported by the Provider (Days/Hours/Minutes).

Measurement Period: Monthly

Tracking Mechanisms:

The Provider will use industry standard system monitoring tools and techniques to monitor availability, and alert staff of system outages.

System Availability Monitoring

System availability is monitored on an on-going basis, with immediate alerts sent to support staff when systems are detected as being down.

Rate Information

All Provider current rate information is available on the Provider's web site located at the following URL: http://ssrc.myflorida.com/price_sheet.html Requests for services beyond those outlined may be billed to the Customer at the listed Professional Services Rate.

7 Customer Funding Source

Acceptance of this SLA certifies the Customer has secured appropriate funding to cover costs associated with service. Customer must have legal authority to incur costs and enter into agreement. The State of Florida's performance and obligation to pay under this contract is contingent upon an annual appropriation by the Legislature.

8 Billing Methodology

Costs will be recovered by the Provider in accordance with a federally approved state cost rate proposal, based on the requirements of Attachment E to Federal OMB Circular No. A-87. When combined, direct and indirect service charges constitute the total cost to the Customer for the service provided.

The Provider will invoice Customer monthly for services provided the preceding month based on utilization. Invoicing will begin in the first applicable billing cycle following delivery, installation, and implementation of the service. The Customer agrees to pay Provider for these services according to the current published Provider rates specified on Provider's website.

If for any reason an amount invoiced by the Provider to the Customer is shown to be incorrect, the appropriate credits and/or charges will be included on a subsequent invoice.

The Customer agrees to pay for services provided within forty (40) calendar days of invoice receipt. Invoice amounts in question by the Customer may be placed in dispute and handled according to the process outlined in the Escalation Process. The Customer may withhold payment only on the disputed portion of the invoice until the issue is resolved by the Provider and the Customer, or through mediation. The Customer will have fifteen (15) calendar days after receipt of an invoice to file a written dispute of any charges with the Provider. If a written dispute is not filed with the Provider within fifteen (15) calendar days, the Customer will be held responsible for payment of the amount invoiced for services provided. The Customer acknowledges it is in the best interest of the State for the Provider to meet its financial obligations to the entities with which the Provider has contracted to provide these services, and that prompt Customer payment of undisputed amounts on Provider invoices is a necessary component of satisfying these obligations. Therefore, failure to pay undisputed amounts

promptly may subject the Customer to any necessary remedial actions and limitation or discontinuation of services.

Invoice corrections that span fiscal years will be handled as a service fee credit if the Provider is overpaid and a debit for service fees if the Provider is underpaid for services. Invoicing errors discovered after the fifteen (15) day written dispute window, will be handled as service fee credits or debits consistent with the process for handling errors which span fiscal years. The Customer cannot make deposits or pay for goods and/or services in advance unless approved under rules issued by the Florida Chief Financial Officer.

Any service provided stemming from agreements entered into with the Provider, shall be invoiced for specific cost of services and shall be submitted with sufficient detail for a proper pre-audit and post-audit.

Invoice payments will be made via journal transfer (JT) or electronic funds transfer (EFT) whenever possible. If unable to pay by JT or EFT, other arrangements can be made in advance.

All bills incurred by the Provider for any Customer related travel expenses shall be submitted and paid in accordance with the rates specified in Section 112.061, Florida Statutes, governing payments by the State for travel expenses. Travel expenses shall be pre-approved by the Customer and Provider prior to travel. All State of Florida travel forms and receipts must be submitted as supporting documentation prior to travel being paid by the Customer.

All Parties recognize that the State of Florida, by virtue of its sovereignty, is not required to pay taxes on the services and/or goods or equipment purchases as an incident to such service.

9 Service Rate Adjustment Process

The Provider uses a double step-down cost accounting process in accordance with a federally approved state cost rate methodology, based on the requirements of Attachment E to Federal OMB Circular No. A87 to determine cost based rates on a periodic basis. Currently, this activity occurs annually.

10 Service Termination

All SLAs have a contract term of up to three (3) years, but may include an option to renew for up to three (3) additional years contingent on approval by the board, and require at least a 180-day notice of service cancellation.

In the event the Customer wishes to terminate this or any SLA, the Customer shall notify the Provider's authorized representative via email at SSRC.ServiceCancellation@SSRC.MyFlorida.com and AEIT in writing with at least 180-day notice of service cancellation. The Provider will continue to invoice the Customer until the effective service termination date.

A service may be terminated by either party for cause only after giving the other party and the AEIT notice in writing of the cause for termination and an opportunity for the other party to resolve the identified cause within an agreed upon time frame by both parties.

11 Dispute Mediation

In the event that disputes or performance issues arise; the Customer will document and deliver the specific issues to the Provider’s SLA Coordinator. The Provider will be given an opportunity to address and resolve the issue(s). Likewise, issues associated with the Customer’s performance under this agreement shall be documented by the Provider and transmitted to the Customer’s SLA Coordinator. Issues(s) will be addressed and resolved in an agreed upon time frame by both parties. If informal resolution between the parties is unsuccessful, the parties will proceed to mediation according to s.120.573 F.S. The parties will designate a mutually acceptable mediator who shall be certified by the Florida Supreme Court and each party will share equally in the cost of mediation.

12 Escalation Process

If a dispute or issue is not resolved between the Customer’s SLA Coordinator and Provider’s Platform Manager, the dispute or issue will be escalated through the escalation levels in the table below.

Level	Customer	Provider
1	SLA Coordinator	Platform Manager (SLA Coordinator)
2	Customer’s Authorized Representative	Platform Manager / Chief, Enterprise Planning & Management
3	CIO	Executive Director
4	Agency/Deputy Head/CIO	Chairperson, SSRC Board of Trustees
5	Division of Administrative Hearings (pursuant to s. 120.573, Florida Statutes)	

13 Performance Penalties

Services are provided solely on a cost recovery basis. Any costs associated with established penalties would have to be recovered through rates charged for services. Federal OMB Circular No. A-87 requires equitable cost allocation for services to customer agencies. For these reasons the Provider cannot establish direct or indirect financial penalties for not meeting service level targets. However, the Provider may report to the Board of Trustees their success in meeting service levels for each service provided, and identify and speak to any shortfalls.

The Provider is committed to meet or exceed service level targets specified in the SLAs and will conduct performance reviews when requested with the Customer to assess the level of service provided. Additionally, the Provider’s employee performance standards and reviews will include appropriate individual accountability for the applicable service level metrics.

14 Change Control Process Adherence

The Provider has internal change management procedures for reducing the risk of impact to the Customer when changes to production environments occur, and providing an appropriate level

of communication to the Customer. The Provider’s Change Control Board meets regularly to review all changes impacting services prior to any changes being implemented. Change Control Procedures exist for all scheduled and emergency changes associated with services covered by this Agreement. Advance notification of changes is required and sufficient time for the review and approval process to take place is necessary. The Customer will provide contact information for change control notification, scheduled change activities, and emergency change approval. It is the responsibility of the Customer to notify Provider, through the SSRC Services Desk, that a change (as communicated) may impact or disrupt Customer business functions.

Provider change management documentation and procedures are available for download at the following location: http://ssrc.myflorida.com/client_services.html

15 Standard Maintenance Window

The standard maintenance window for all Provider platforms, unless otherwise noted within Section 6 Product / Service Definition, is as follows:

Name	Time	Characteristics
<i>Service Availability Window (Scheduled Availability)</i>	Business Days: 7:00AM – 5:59PM (EST)	This is scheduled availability. Production services will not be purposefully brought down or impacted without an emergency service change request.
<i>Normal IT Maintenance Window</i>	Business Days: 6:00PM – 6:59AM (EST) Saturday and Sunday: All day	Normal maintenance, changes, and system enhancements will be performed during this time. Notification of expected down time between 7:00AM and 5:59PM on non-Business Days (weekends and holidays) will be provided to Customers. Routine facility maintenance and testing.
<i>Normal Backup Maintenance Window</i>	Business Days: 8:00AM – 5:00PM (EST)	Normal maintenance, changes and system enhancements will be performed during this time.
<i>DMS SUNCOM Network Maintenance Window</i>	Monday 12:30AM – 7:00AM (EST)	Normal network maintenance, changes and system enhancements will be performed by DMS SUNCOM during this time.

16 IT Security Management

To ensure the integrity of the State of Florida network and all associated information technology systems, pursuant to Rule 60DD-2, Florida Administrative Code, and any subsequent amendments, the Provider requires the Customer to cooperate with the Office of Information Security (OIS) within the Agency for Enterprise Information Technology (AEIT). Provider is responsible for security of all Provider services outlined within this document. The SSRC acknowledges its duty to maintain security of data and information technology resources pursuant to Section 282.318, Florida Statutes.

The Customer is the “custodian” of data/records transferred to the SSRC, especially for public records purposes, and as such the Customer determines data retention requirements, as well as access to these records/data pursuant to Florida law. The SSRC is designated to house these records pursuant to Sections 282.201-205, Florida Statutes, and as such the SSRC agrees to limit access to Customer’s data/records, other than those persons who require access as a part of their daily work activities, except as required under Chapter 119, the Florida Public Records Act or other applicable Florida or Federal law.

17 Security Incidents

Customer is responsible for application-level security, including, but not limited to, security patches for Customer managed applications. Application security should be done according to industry accepted best practices and include data validation to mitigate against risks of malicious activity.

Security incidents caused by Customer application, which require Provider assistance, will be billed at professional service rates. If the security incident is within the Provider responsibilities, Customer will not be billed. Provider will initiate internal Computer Security Incident Response Team (CSIRT) procedures as defined by Provider security policies.

18 Disaster Recovery

Disaster Recovery (DR) is not automatically a part of this service. The Provider offers DR services through a DR provider, which agencies can utilize to meet their statutory requirements for DR of their mission critical computing systems and applications. All DR services contracted through the SSRC must be specified in Section 6, and all associated costs will be the responsibility of the Customer.

19 Continuity of Operations Planning (COOP)

The SSRC is required to develop its own business continuity plan pursuant to Section 282.203(1)(f), Florida Statutes. All costs related to SSRC’s own COOP activities shall be paid by Provider.

Customers are responsible for their own COOP planning. It is the responsibility of the Customer to provide COOP instructions to the Provider regarding any Provider delivered service that may be affected by a Customer COOP activation. All Provider costs related to Customer COOP activities shall be billed at the Provider’s Professional Services rate plus any applicable travel and materials cost.

The Customer COOP shall provide detailed instructions specifying the Provider delivered actions/procedures to be performed. The Customer COOP instructions shall also include the Customer’s notification processes for COOP activation and subsequent resumption of normal operations. Drills of COOP activities must be coordinated at least four (4) months in advance with the Provider. Standard Professional Services rates (time, travel and materials) will apply.

20 Services Desk Operations

The Provider maintains a Services Desk which serves as the single point of contact for the Customer support needs. All requests for services including general service inquiries, incident reports and invoice discrepancy reviews, etc. should be placed through the Services Desk by contacting 850-487-1746 or 877-299-7772 (for calls outside of Tallahassee). Requests of lower severity can also be submitted to the Services Desk via email at help@ssrc.myflorida.com.

21 Services Desk Severity and Incident Escalation

All requests for service are assigned an incident number and a severity level, and prioritized using the following table, unless otherwise noted within Section 6 product/Service Definition, is as follows:

Severity	Defined Severity	Description	Maximum Response Times
1	Critical	The majority of Customers are experiencing a work stoppage of a mission critical function, application, platform, connection or environment that is interrupting the Customers' business.	2.5 Hour
2	High	A Customer is experiencing a partial failure of a supported function, application, platform, connection or environment that is disrupting the Customer's business.	5 Hours
3	Medium	A Customer is experiencing a reduced level of efficiency and performance of a supported function, application, platform, connection or environment that is impacting the Customer's business productivity.	2 Business Days
4	Low	A Customer has a functional (how-to) question they cannot answer through the SSRC Services Desk or wants to submit a request for installation or change of service in their technical or physical environment.	3.5 Business Days

The following table outlines the standard response time for escalation for each severity.

Group	Standard Tier Two Plus Response Times – By Severity			
	1 – Critical	2 – High	3 – Medium	4 - Low
Platform Support Group	1 Hour	2 Hours	8 Business Hours	3 Business Days
Automatic Escalation to Platform Management	30 Minutes	1 Hour	2 Business Hours	4 Business Hours
Automatic Escalation to Second Level Management	30 Minutes	1 Hour	2 Business Hours	N/A
Automatic Escalation to Upper Level Management and notification sent to the SSRC Executive Management	30 Minutes	1 Hour	4 Business Hours	N/A

Group	Standard Tier Two Plus Response Times – By Severity			
	1 – Critical	2 – High	3 – Medium	4 - Low
Total Escalation Time	2.5 Hours	5 Hours	2 Business Days	3.5 Business Days

22 Hours of Operation

The Provider’s Services Desk provides Customer support 24 hours per day, 7 days per week including holidays.

23 Document Change Management

It is mutually understood and agreed that any communications, promises, representations or agreements not included in writing in this agreement shall not be binding upon any party and that the agreement may not be altered, modified or otherwise changed at any time except with the written consent of each of the parties hereto.

The performance of additional work or additional expense incurred by the Provider beyond that expressly authorized in this SLA will not be accepted or approved for payment by the Customer unless previously authorized in a written amendment to the SLA signed by the Customer and the Provider.

This SLA will remain in effect unless amended or replaced with an updated version. To make modifications to this agreement, the Coordinators listed below must be contacted and modifications jointly approved by Customer’s and Provider’s representatives or their designees.

SLA Coordinators		
	Name	Phone
Customer SLA Coordinator	Jerome Heiker	(850) 245-6160
Provider SLA Coordinator	John A. Morden	(850) 488-5236

Schedule VII: Agency Litigation Inventory

For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

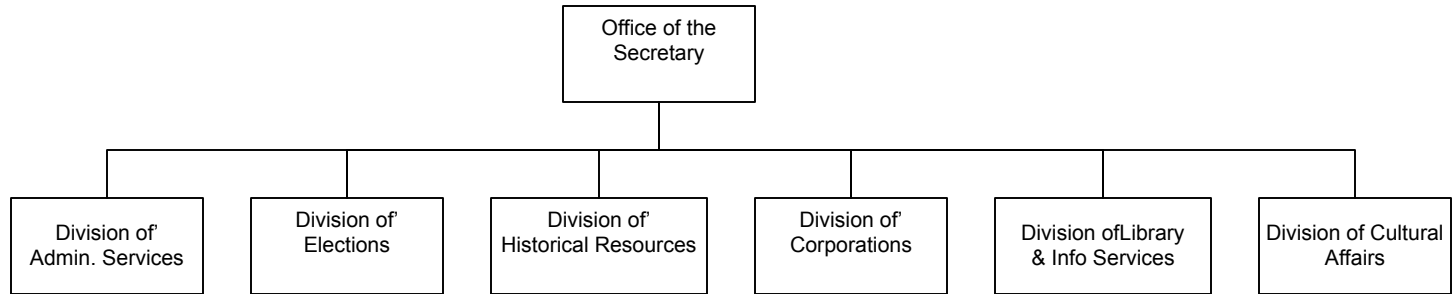
Agency:	Department of State		
Contact Person:	C.B. Upton	Phone Number:	245-6536
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Angelfish Swim School, et al. v. Dawn K. Roberts		
Court with Jurisdiction:	Third District Court of Appeal		
Case Number:	3D10-1611		
Summary of the Complaint:	Class action for declaratory judgment requesting court to declare that § 607.193, Florida Statutes (late penalties for corporation filing) imposes an unconstitutionally excessive fine and that § 607.0122, Florida Statutes (allowing for penalties for reinstating corporations after dissolution) is either unconstitutionally vague or imposes an unconstitutionally excessive fine; and seeking costs and attorneys’ fees.		
Amount of the Claim:	The total exposure based upon the definition of the certified class is approximately \$150 million plus prejudgment interest. We expect this amount to be reduced on statute of limitations grounds.		
Specific Statutes or Laws (including GAA) Challenged:	Sections 607.193, 607.0122, Florida Statutes		
Status of the Case:	Class certified by trial court and that certification is now on appeal to the Third District.		
		Agency Counsel	
		Office of the Attorney General or Division of Risk Management	
	X	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	Andres T. Traylor, P.A. (Miami) Wexler Wallace, LLP (Chicago) Jorge A. Duarte, P.A. (Miami)		

Schedule VII: Agency Litigation Inventory

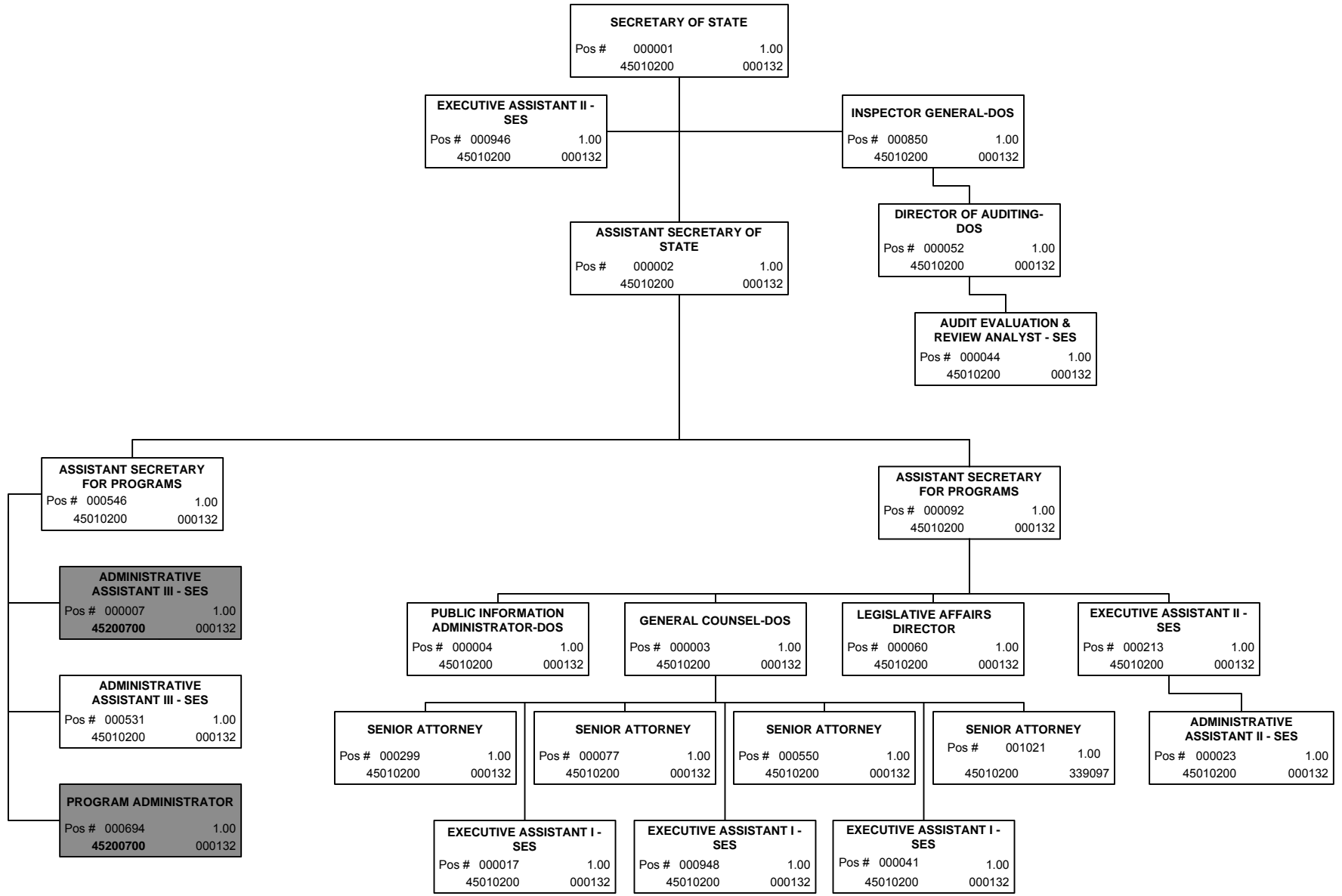
For directions on completing this schedule, please see the “Legislative Budget Request (LBR) Instructions” located on the Governor’s website.

Agency:	Department of State		
Contact Person:	C.B. Upton	Phone Number:	245-6536
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	Florida Prosecuting Attorney’s Association, et al. v. Dawn K. Roberts		
Court with Jurisdiction:	First District Court of Appeal		
Case Number:	Appellate case number is not yet available. Trial court case number was 37-2010-CA-002313		
Summary of the Complaint:	Plaintiffs, various groups of government attorneys, challenged the budget proviso language that says, “no state agency may expend funds provided in this act for bar dues,” contending that language conflicts with the language in section 216.345, Florida Statutes. Plaintiffs claim that section 216.345 provides agencies with discretion to pay bar dues.		
Amount of the Claim:	The total exposure for this case is unknown, but it could reach as high as \$2 million, depending on the number of state agencies that decide to pay bar dues for their attorneys.		
Specific Statutes or Laws (including GAA) Challenged:	House Bill 5001, Section 8(3)(a)4 (budget proviso language); Section 216.345, Florida Statutes		
Status of the Case:	Plaintiffs prevailed in the circuit court. The Department appealed, triggering an automatic stay of the proceedings. The Department is preparing its initial brief on appeal.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input checked="" type="checkbox"/>	Outside Contract Counsel	
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).			

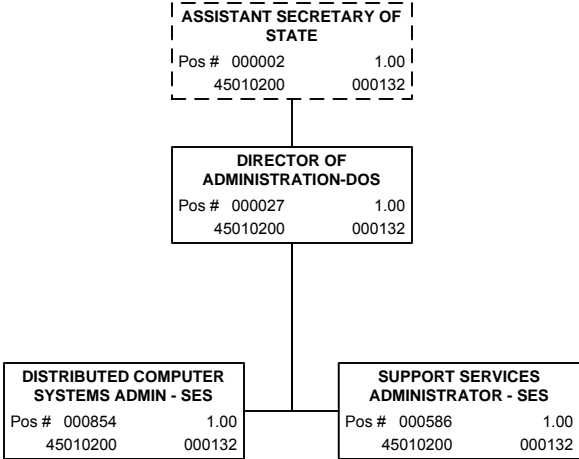
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Organizational Units
(435.00 FTE)**



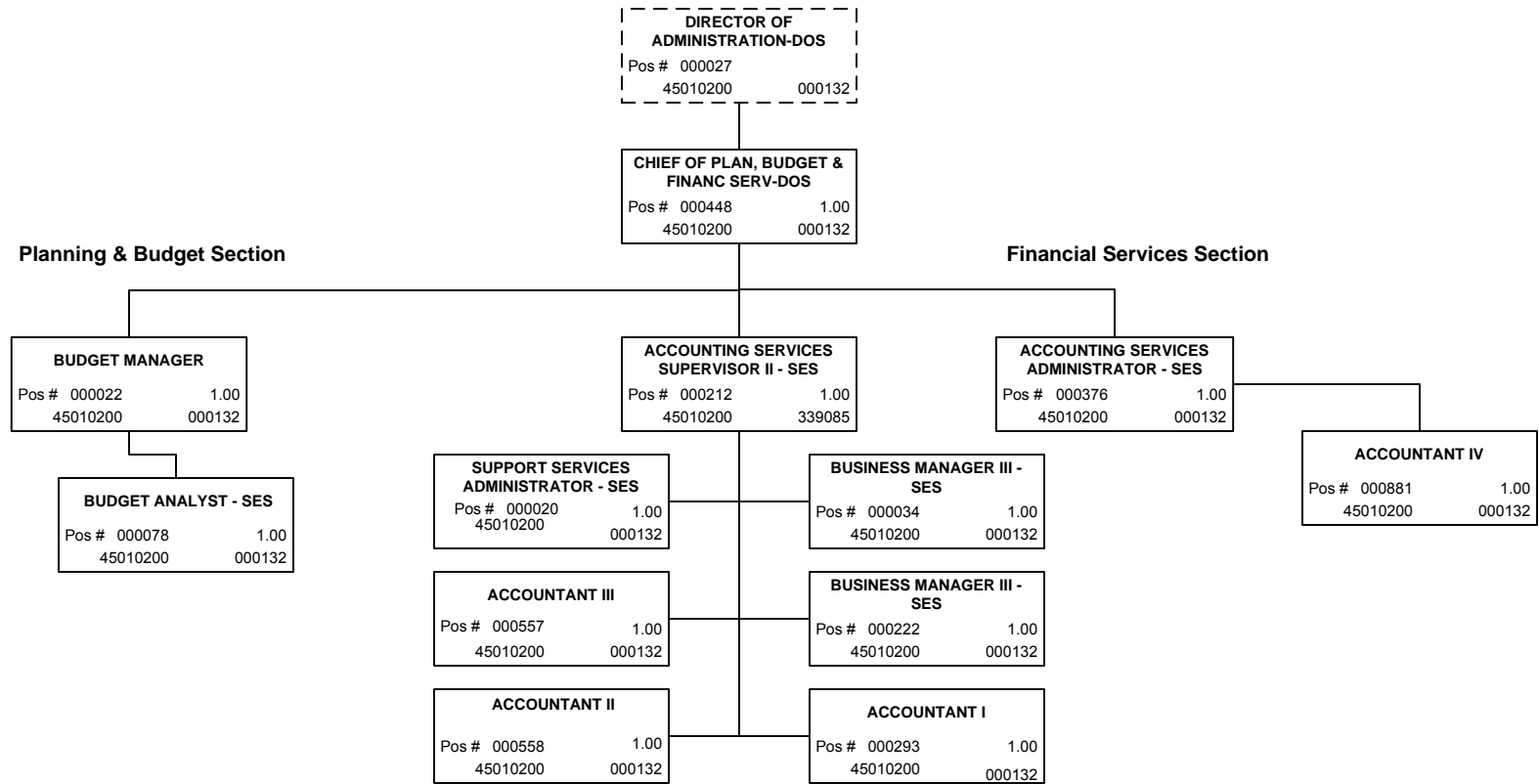
**Department of State
Office of the Secretary**



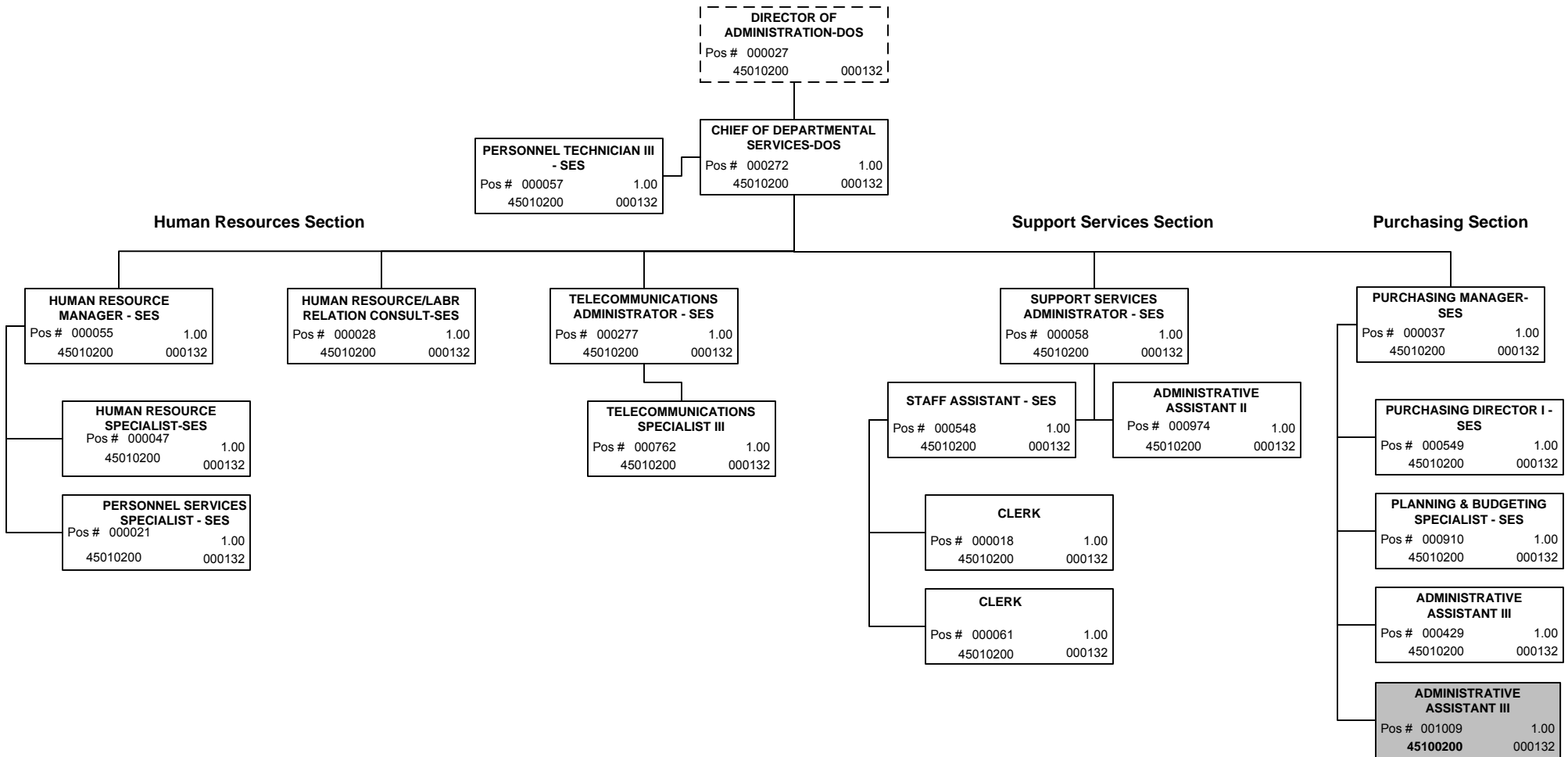
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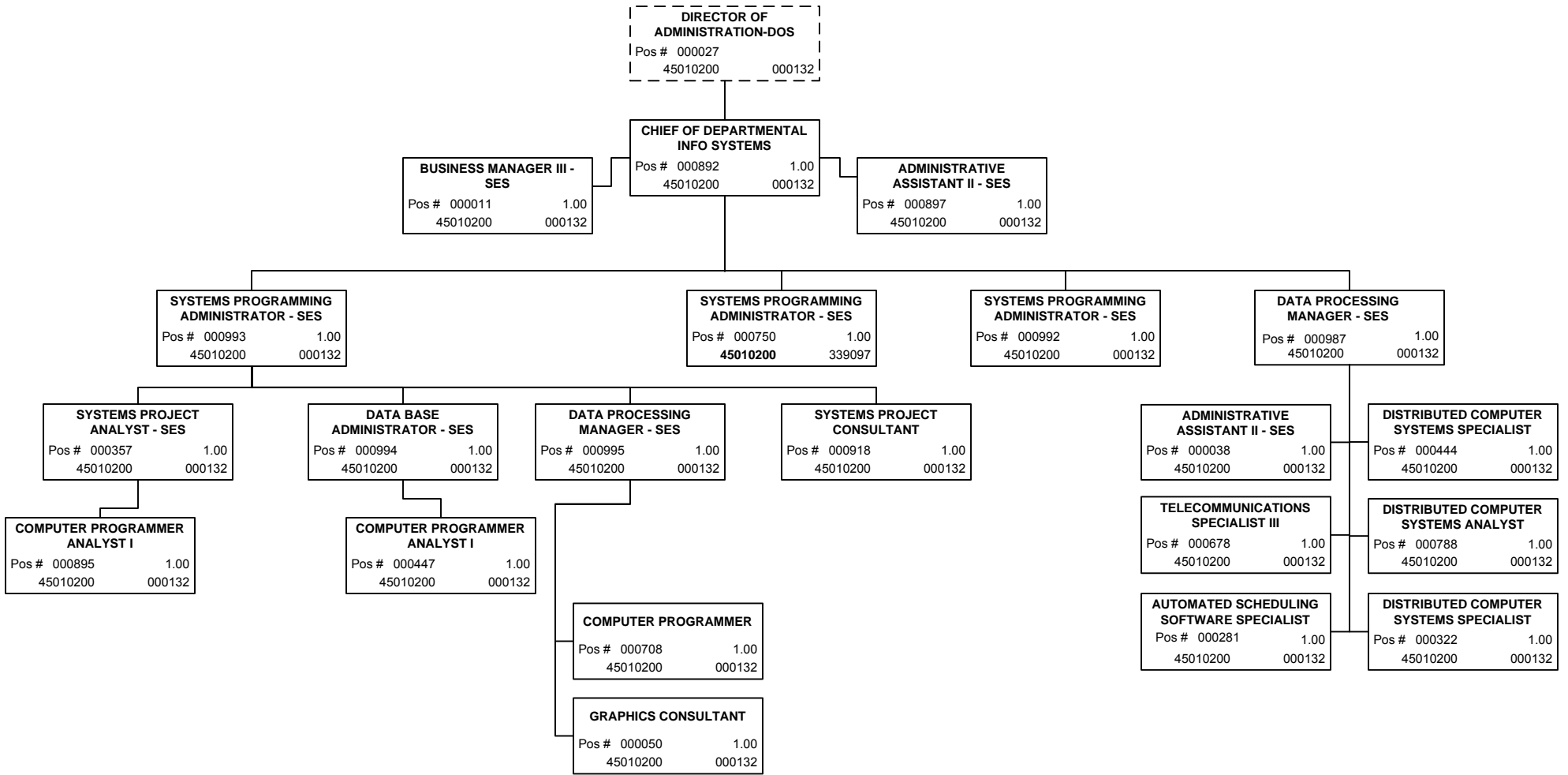
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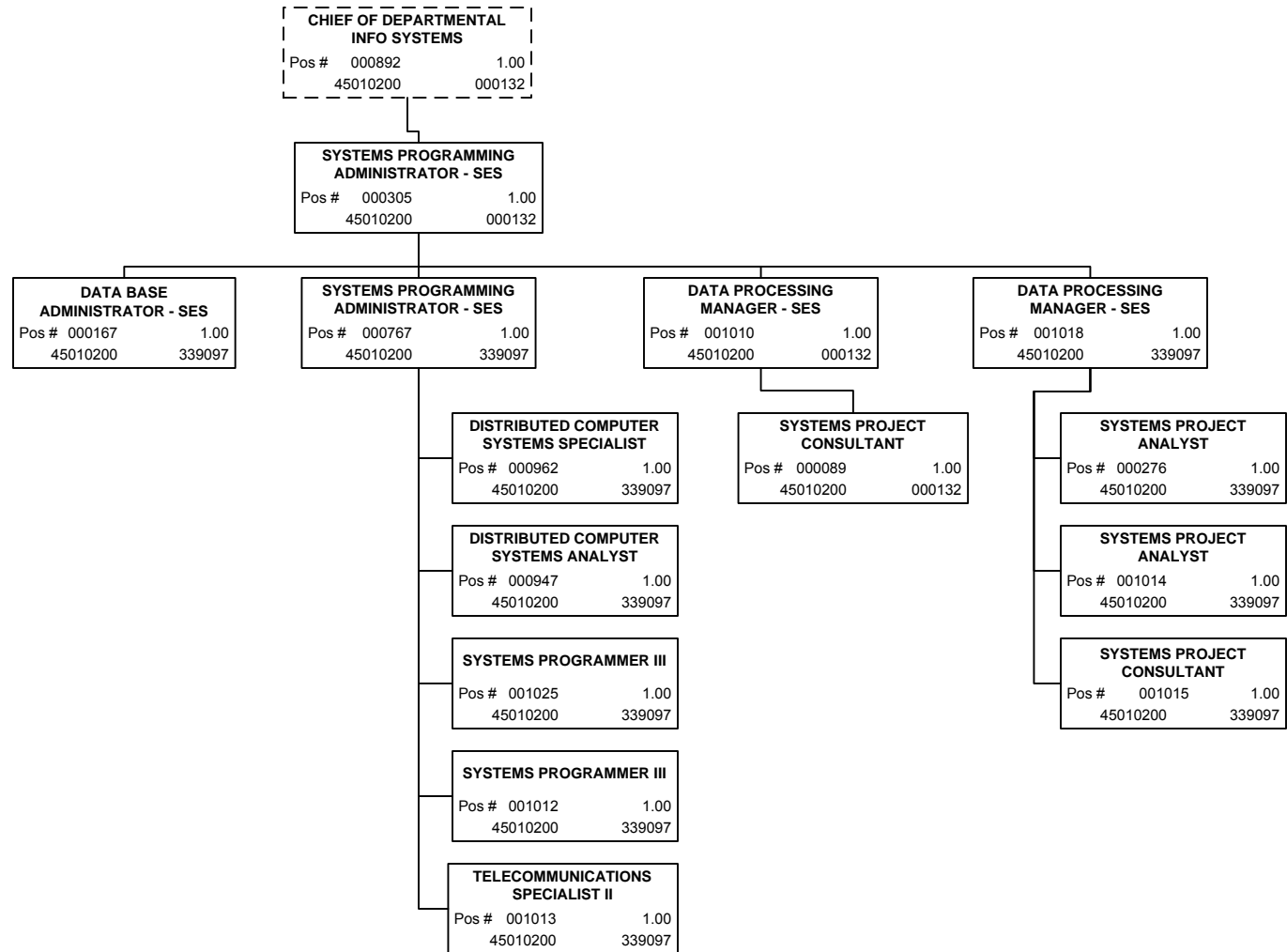
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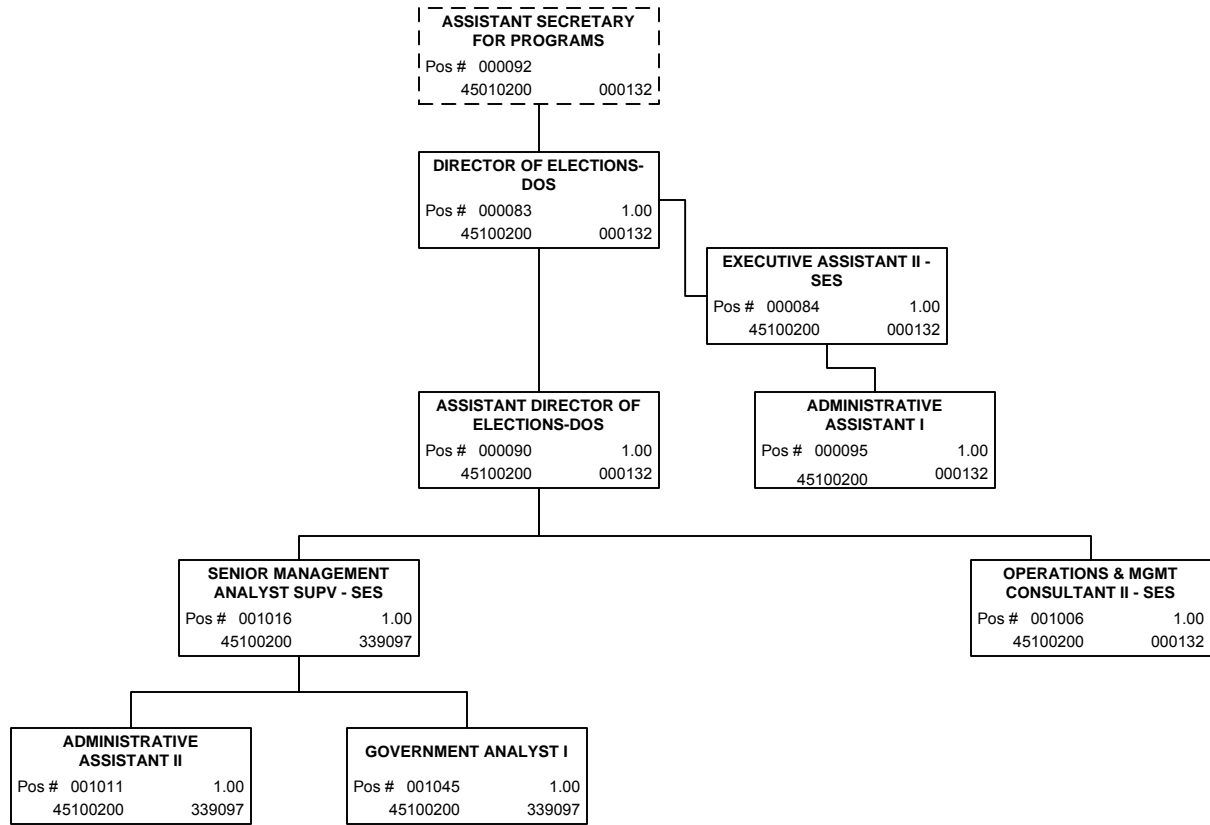
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Bureau of Departmental Information Systems (Page 1 of 2)



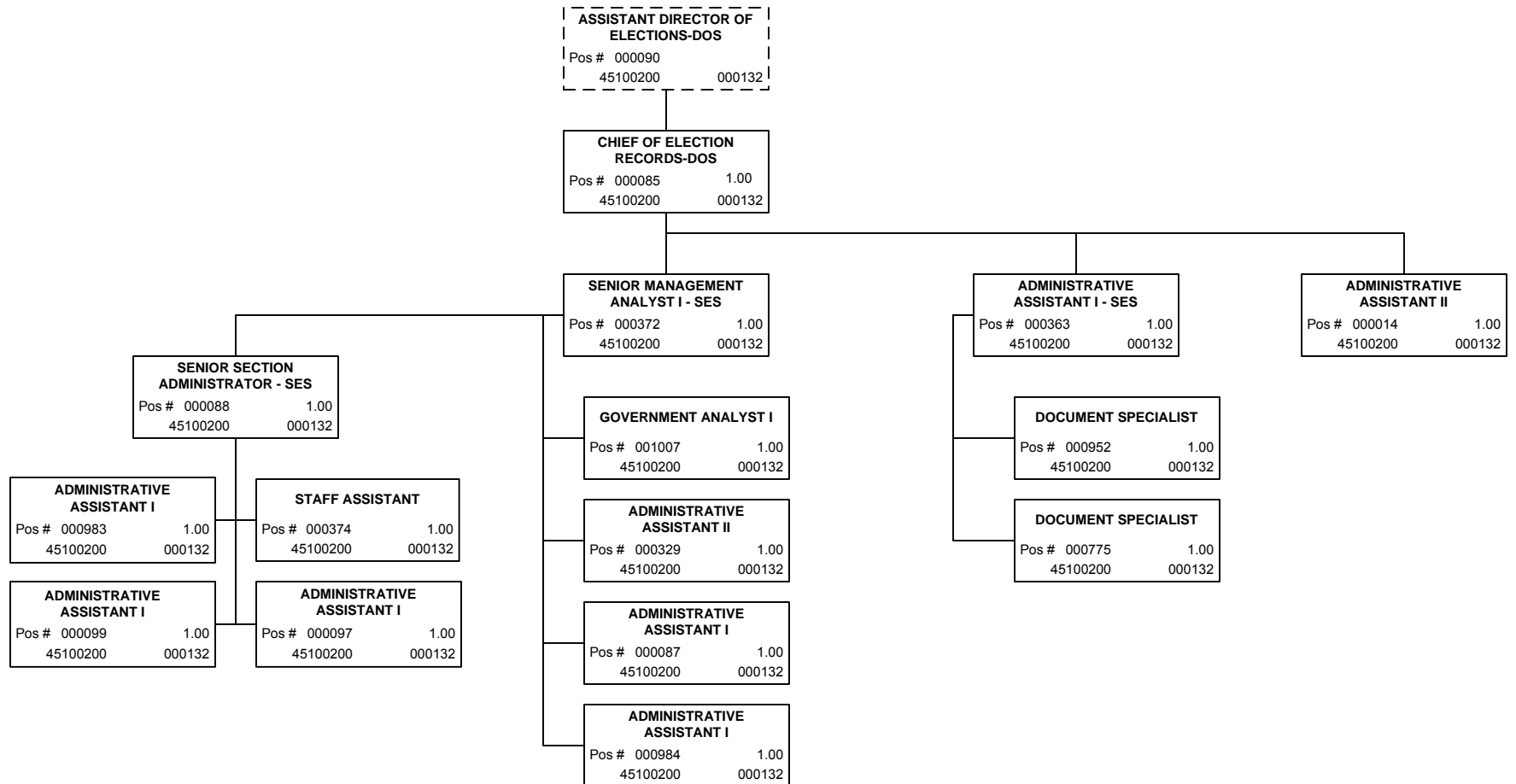
Department of State
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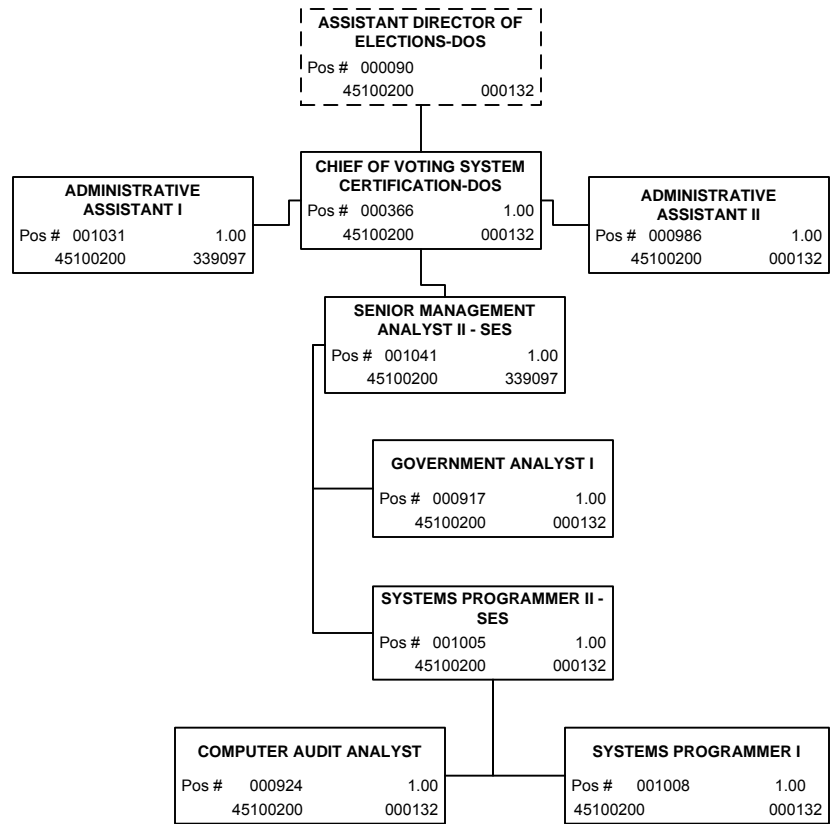
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Office of the Division Director**



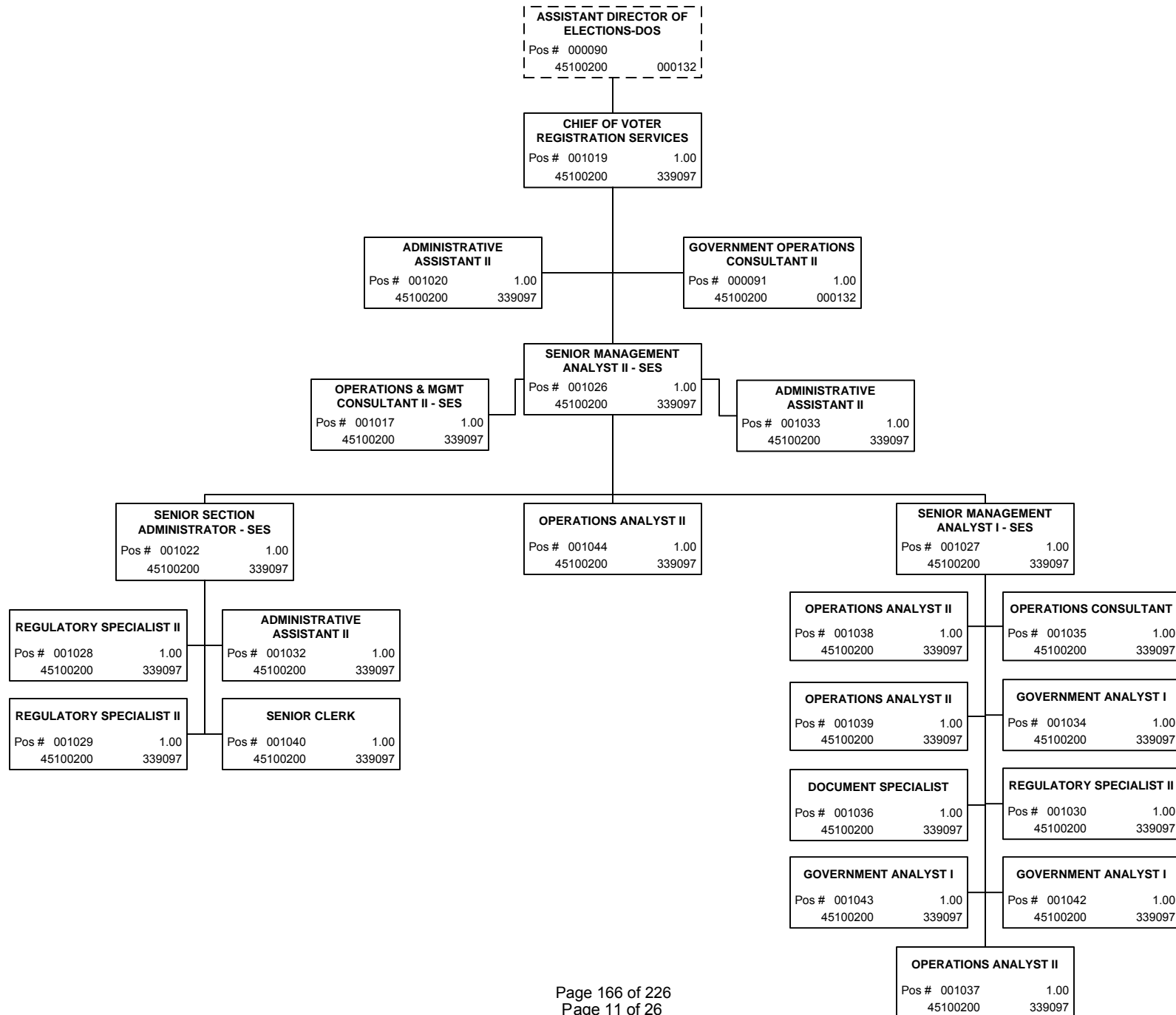
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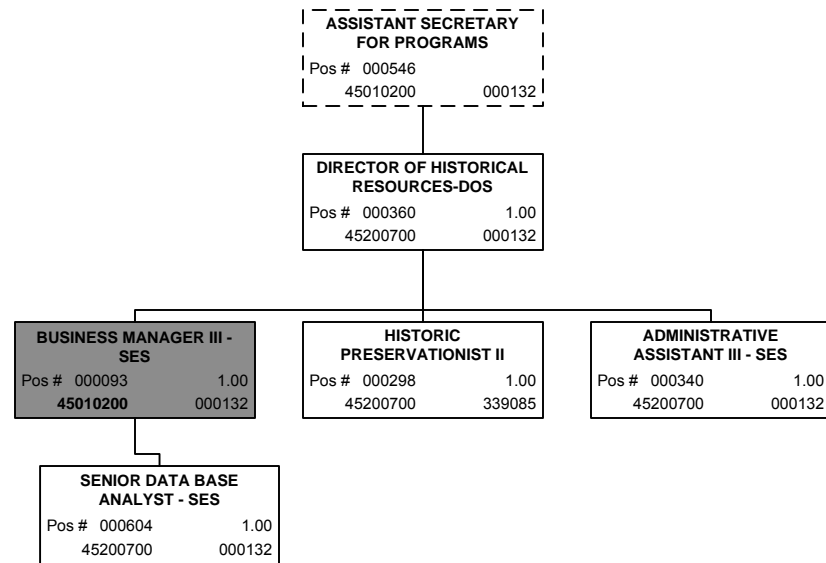
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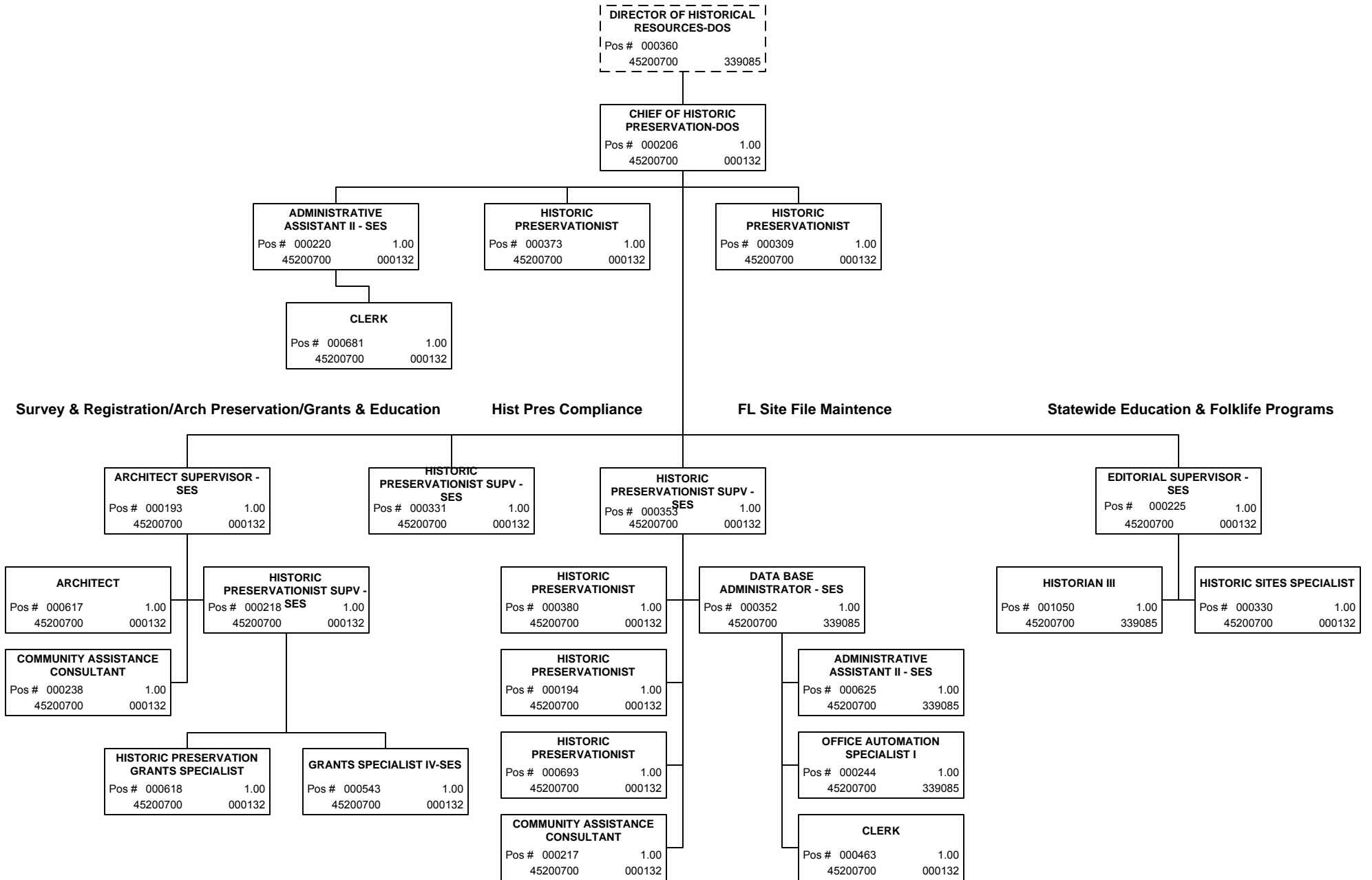
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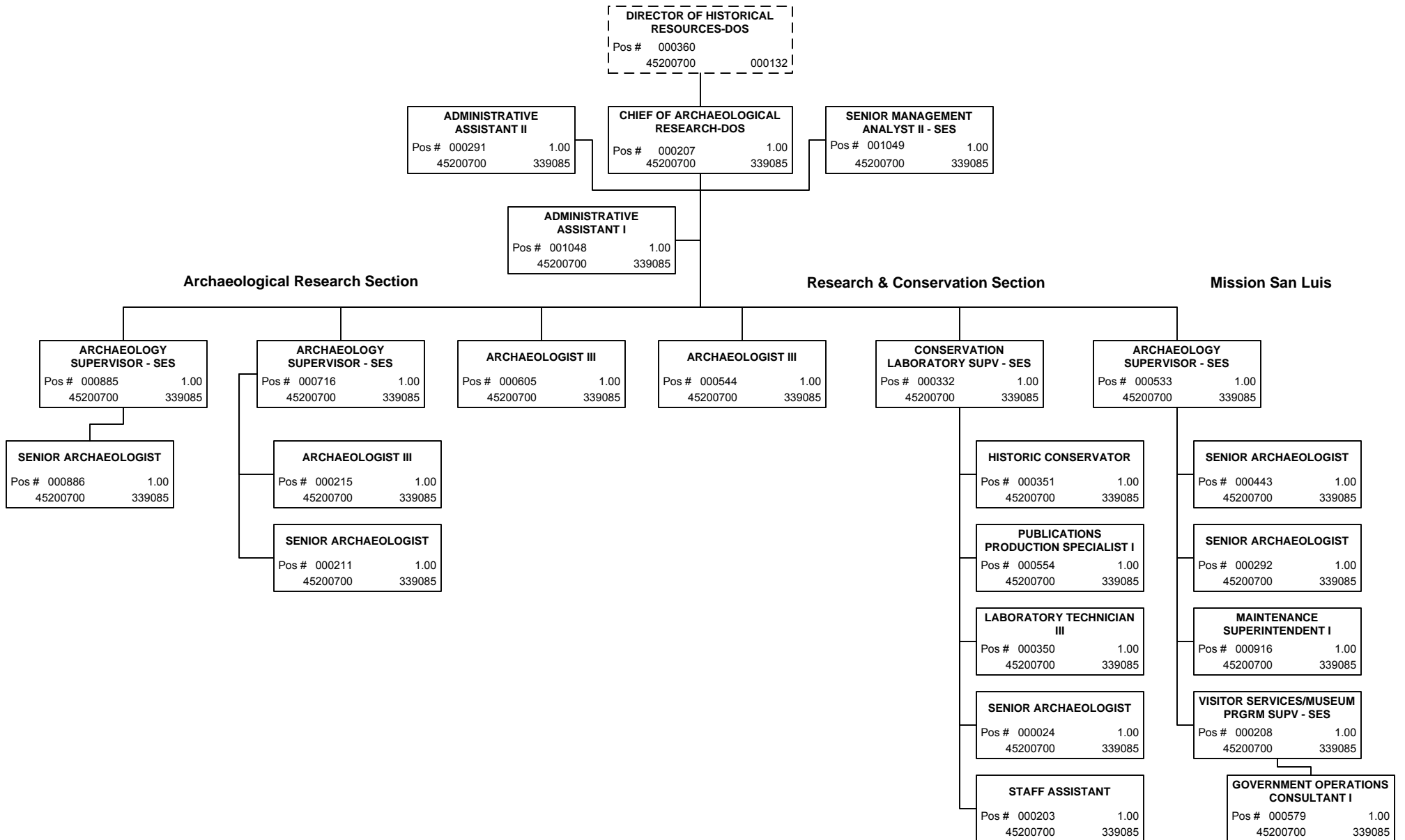
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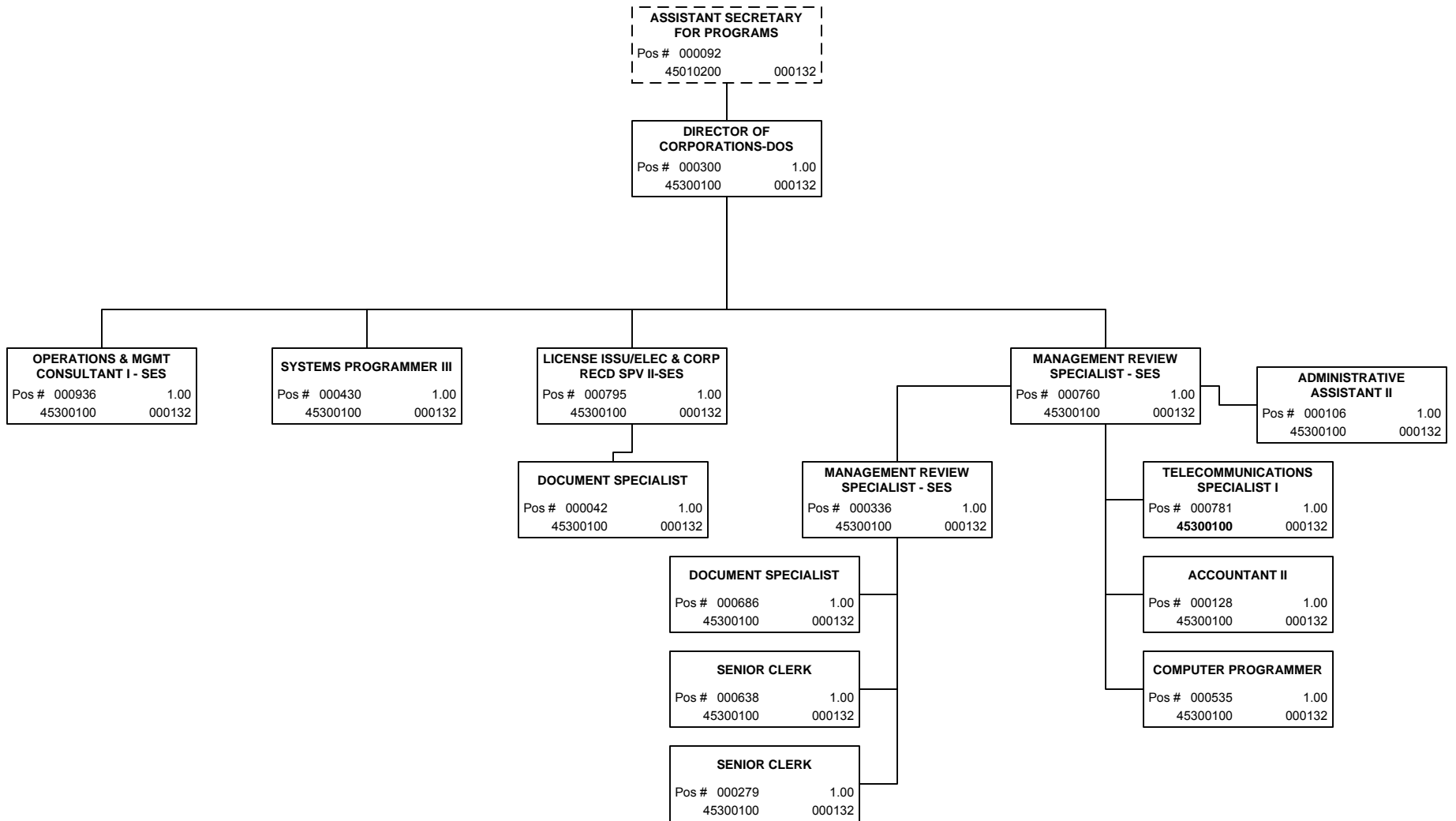
**Department of State
Division of Historical Resources
Bureau of Historic Preservation**



**Department of State
Division of Historical Resources
Bureau of Archaeological Research**



**Department of State
Division of Corporations
Office of Division Director**



**Department of State
Division of Corporations
Bureau of Commercial Recording
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ADMINISTRATIVE
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Amendments Section

Reinstatement Section

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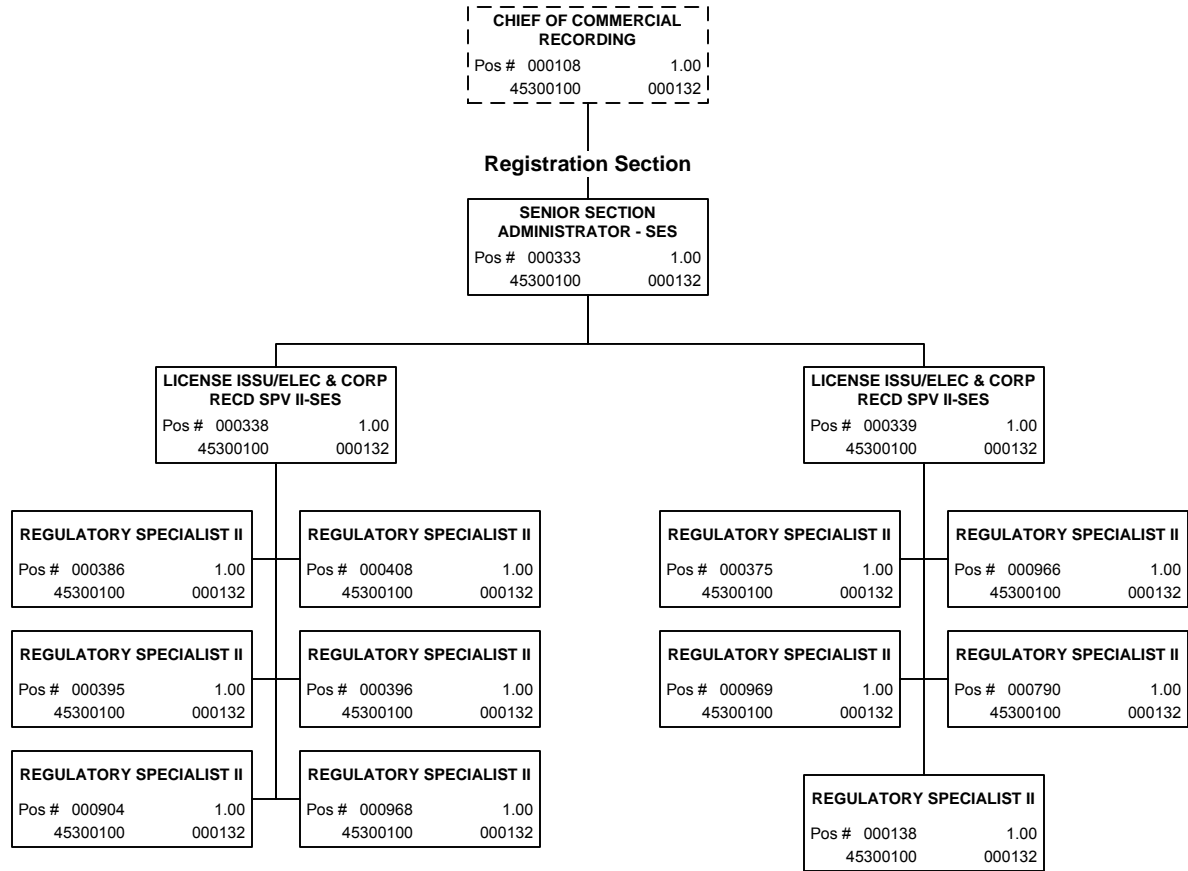
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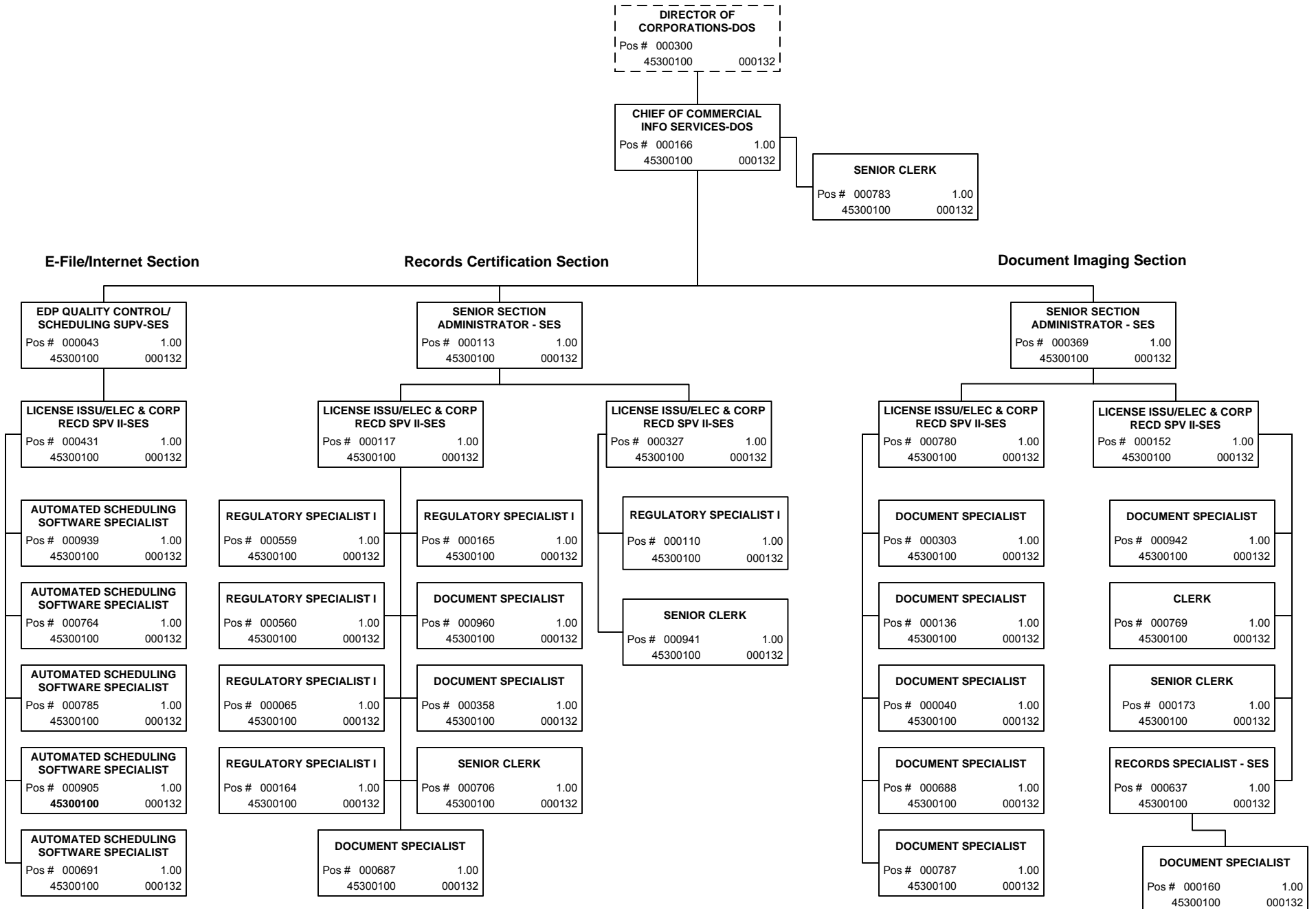
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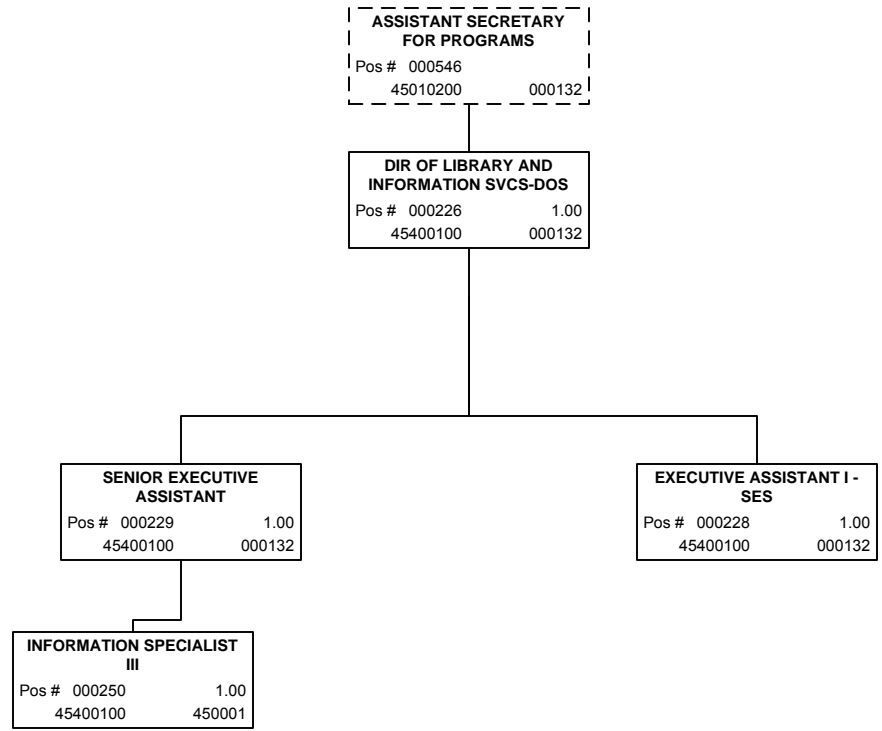
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Division of Corporations
Bureau of Commercial Recording
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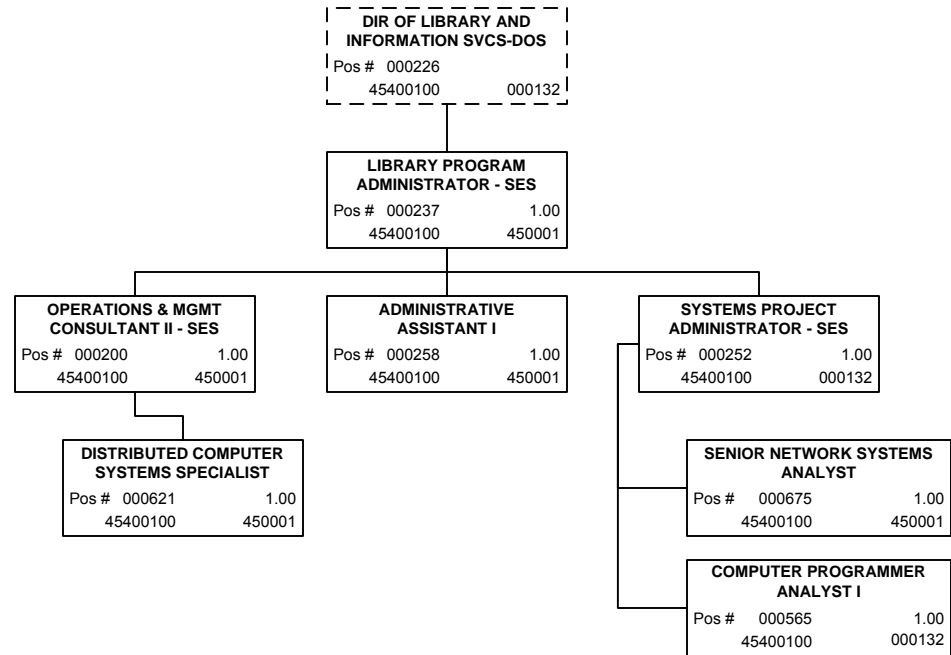
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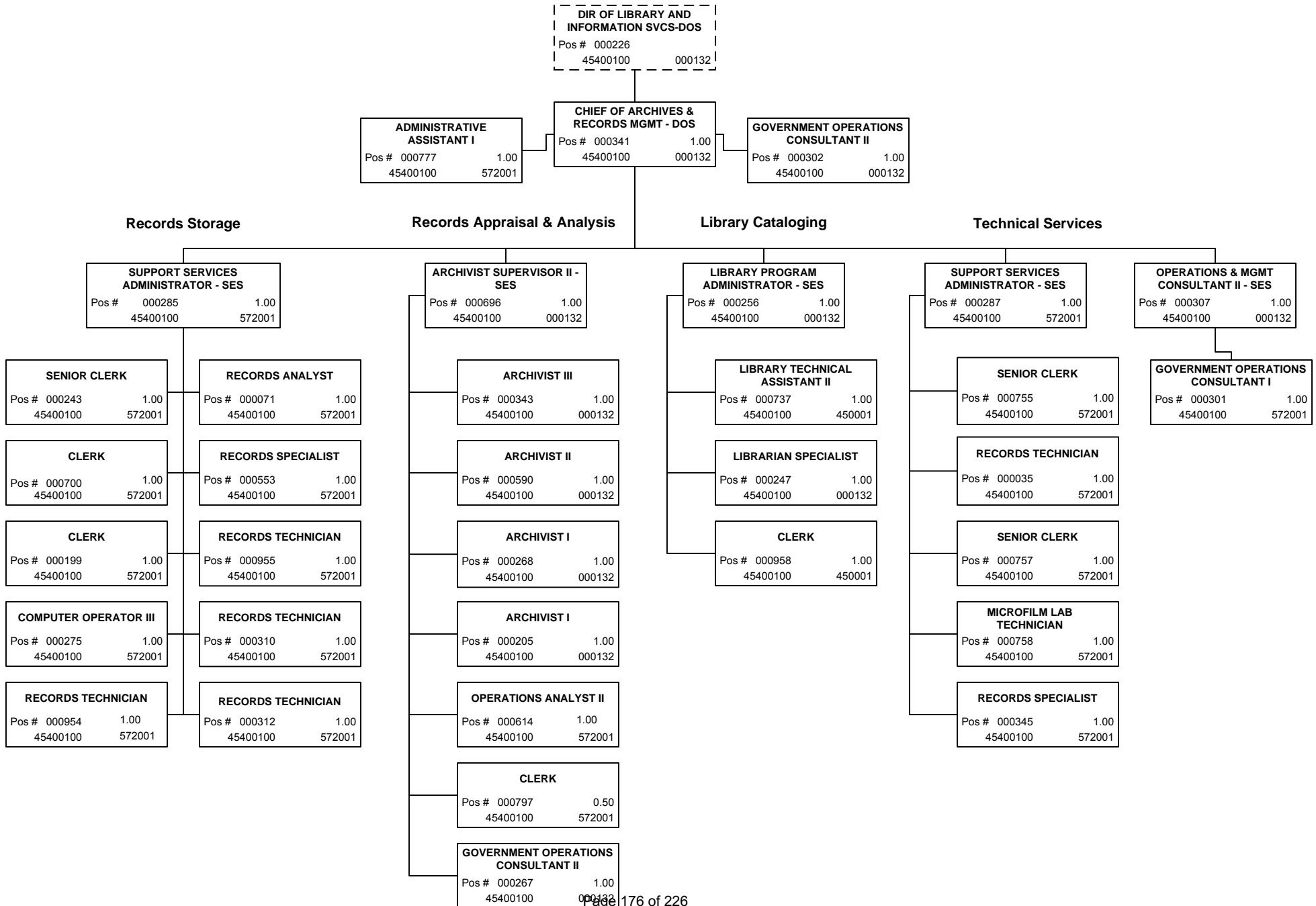
Department of State
Division of Library and Information Services
Office of Division Director



Department of State
Division of Library and Information Services
Office of Information Systems



Department of State
Division of Library and Information Services
Office of Information Resource Management-State Records Center



Department of State
Division of Library and Information Services
Office of Information Access Services – State Library

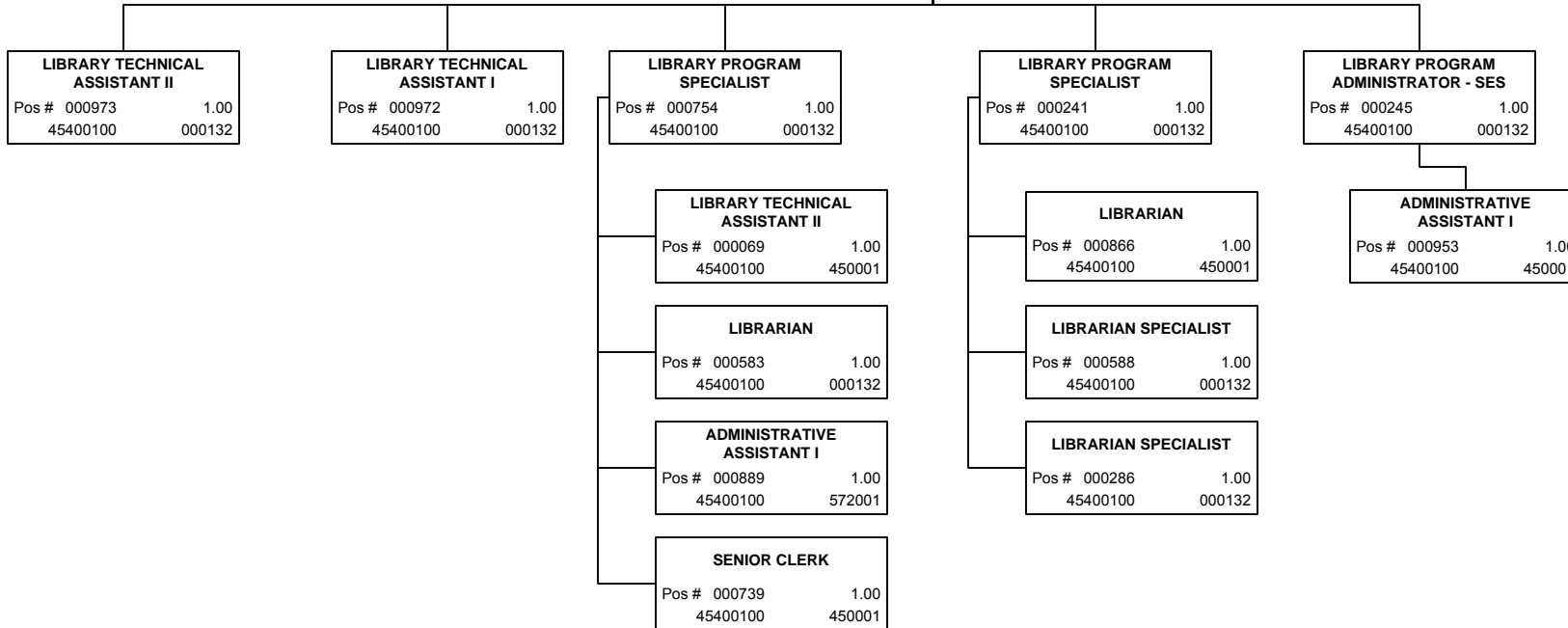
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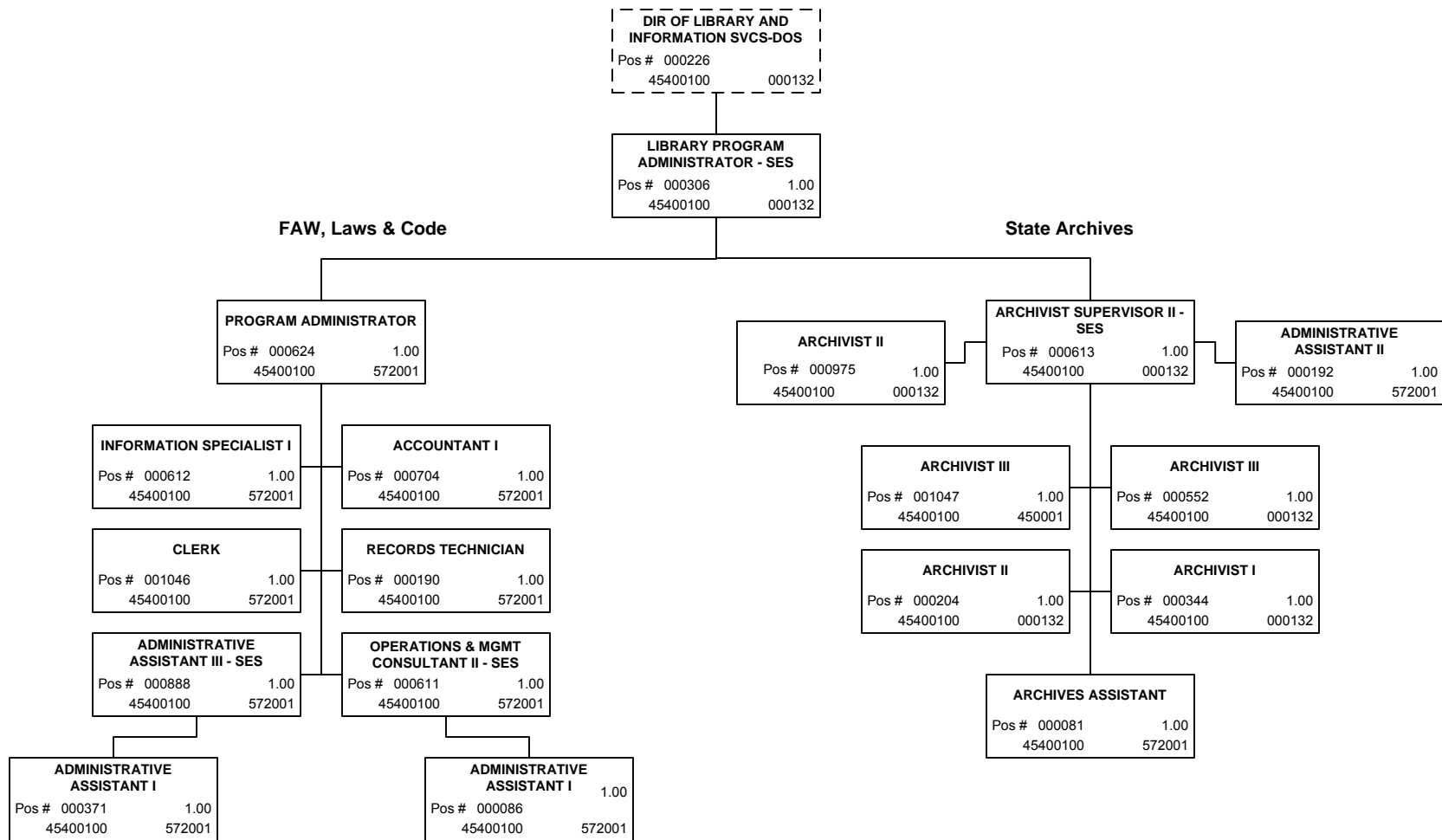
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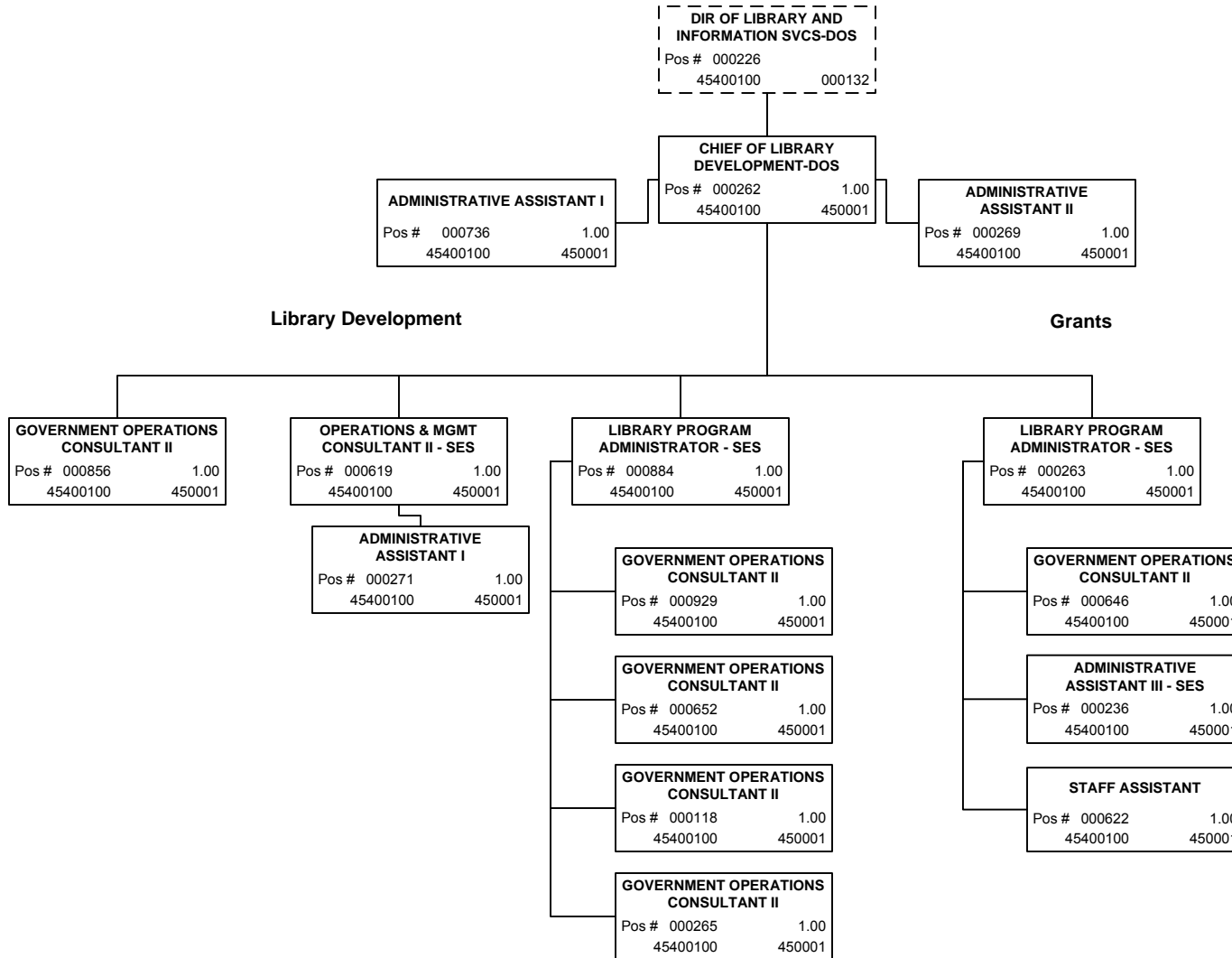
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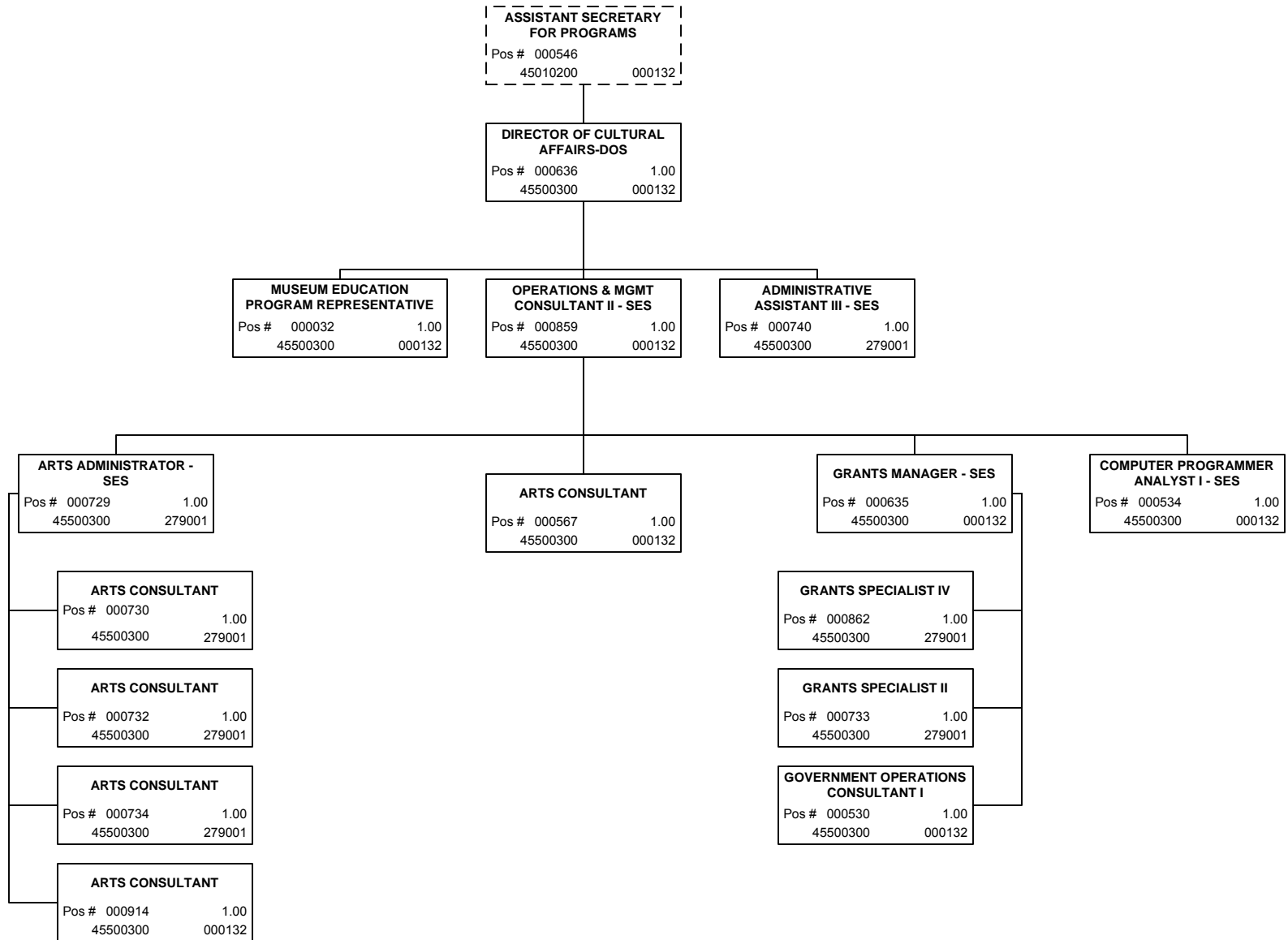
Department of State
Division of Library and Information Services
Office of Information Access Services-State Archives, Laws & Code



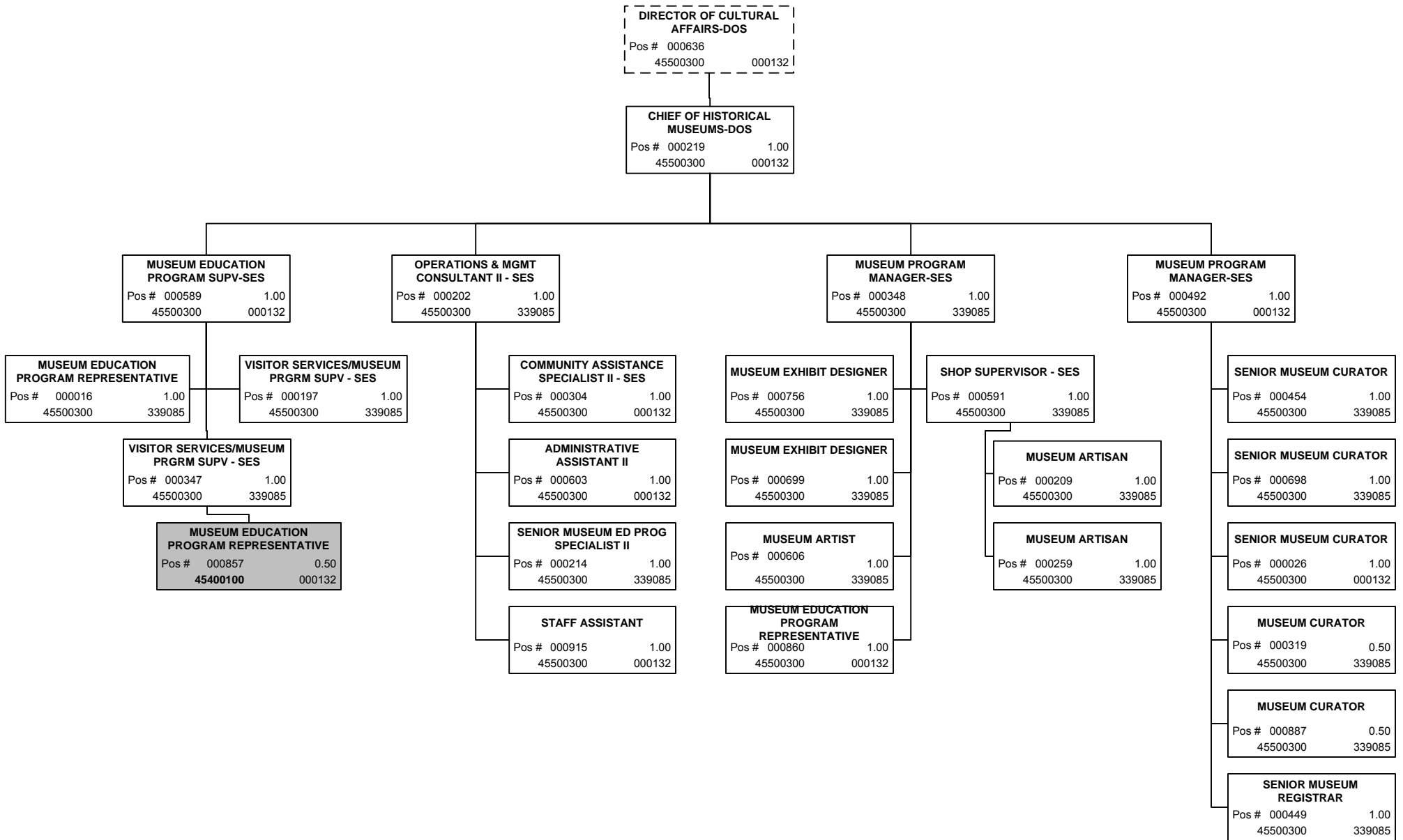
Department of State
Division of Library and Information Services
Office of Development



**Department of State
Cultural Affairs**



**Department of State
Division of Cultural Affairs
Bureau of Historical Museums**



STATE, DEPARTMENT OF	FISCAL YEAR 2009-10				
	SECTION I: BUDGET			FIXED CAPITAL OUTLAY	
		OPERATING			
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT		79,924,014		0	
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)		2,612,524		0	
FINAL BUDGET FOR AGENCY		82,536,538		0	
SECTION II: ACTIVITIES * MEASURES		Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
<i>Executive Direction, Administrative Support and Information Technology (2)</i>					0
Administrative Code And Weekly Production * Number of notices edited and typeset		16,718	68.53	1,145,757	
Laws Of Florida Production * Number of laws received and processed		3,572	20.96	74,881	
Elections Assistance And Oversight * Number of elections assistance contacts		11,375,277	0.92	10,485,085	
Voting Education Grants *		53	36,410.60	1,929,762	
Survey And Registration Services * Number of properties protected and preserved		14,860	35.01	520,301	
Architectural Preservation Services * Number of preservation services applications		1,058	837.34	885,907	
Statewide Education Programs (includes Nea Apprenticeship) * Number of attendees at workshops		157,049	1.91	299,359	
Magazine And Publications * Number of recipients		3,018,611	0.09	260,087	
State And Federal Compliance Reviews * Preservation services applications reviewed		7,433	108.18	804,115	
Conserve And Curate Historic And Archaeological Objects * Number of historic and archaeological objects maintained for public use		431,805	5.39	2,327,882	
Florida Master Site File * Total number of historic and archaeological sites recorded in the Master Site File		181,559	2.75	500,067	
San Luis Mission Research And Interpretation * Number of interpretive products		516	4,143.44	2,138,014	
Commercial Recording-business Organization Filing * Number of business organization filings processed.		1,397,681	1.26	1,756,385	
Commercial Recording-registration * Number of commercial registration filings processed		1,397,114	1.03	1,440,145	
Commercial Recording-amendments * Number of amendments processed		1,211,936	1.04	1,254,687	
Commercial Recording-reinstatement * Number of commercial registration reinstatements processed		1,461,127	1.08	1,571,126	
Commercial Information Services - Records Certification * Number of records certified		1,719,833	0.83	1,432,656	
Commercial Information Services - Document Imaging * Number of documents imaged		7,846,299	0.28	2,217,960	
Library And Network Services * Number of State Library public service activities conducted		112,845,443	0.07	7,830,728	
Library Development Technical Assistance/Grants Management * Number of technical assistance contacts		7,346,670	0.45	3,320,246	
State Aid To Libraries * Local financial support leveraged		548,863,939	0.04	21,253,978	
Library Cooperative Grants * Number of libraries supported		475	2,526.32	1,200,000	
Federal Aid To Libraries * Number of grants awarded		36	87,139.92	3,137,037	
State Archives * Number of State Archives public service activities conducted		195,681,513	0.01	2,145,786	
Records Management * Number of Records Management activities conducted		88,011,238	0.03	2,658,676	
Cultural Program Support Grants * Number of state-supported cultural events		1,935	1,718.15	3,324,611	
State Historic Museums * Number of visitors to state historic museums		62,580	11.40	713,650	
Museum Exhibit Fabrication * Number of museum exhibits available to the public		79	9,033.56	713,651	
Historic Planning * Number of historic objects maintained for public use		55,239	11.07	611,701	
Statewide Museum Programs * Number of people served by statewide museum programs		321,136	1.90	611,700	
TOTAL				78,565,940	
SECTION III: RECONCILIATION TO BUDGET					
PASS THROUGHS					
TRANSFER - STATE AGENCIES					
AID TO LOCAL GOVERNMENTS					
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS					
OTHER					
REVERSIONS				3,970,607	
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)				82,536,547	

SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.
(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.
(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.
(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Department of State

Contact: Barbara M. Leonard, Chief of Planning, Budget and Financial Services

Article III, Section 19(a)3, Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

- 1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2010 contain revenue or expenditure estimates related to your agency?

Yes No

- 2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2011-2012 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2011-2012 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	G/A-Cultural and Museum Grants		\$2,625,989	\$2,000,000
b	G/A-Library Cooperatives		\$1,575,000	0
c	G/A-Library Grants - State Aid to Libraries		\$21,300,000	\$21,253,978
d	G/A-Historic Preservation Grants		\$887,500	\$650,000
e	Fixed Capital Outlay		0	0
f				

- 3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from your Schedule I) or budget drivers, please explain the variance(s) below.

* R/B = Revenue or Budget Driver

DEPARTMENT OF STATE

**OFFICE OF THE SECRETARY & ADMINISTRATIVE
SERVICES**

EXHIBITS OR SCHEDULES

DEPARTMENT OF STATE

**OFFICE OF THE SECRETARY & ADMINISTRATIVE
SERVICES**

SCHEDULE I SERIES

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2011 - 2012

Department: Department of State

Chief Internal Auditor: Kirby J. Mole

Budget Entity: 45010200

Phone Number: 850-245-6195

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Auditor General Report No. 2010-005	March 2, 2009	Multi- Agency Audit Divisions of Corporations and Admin Services/Dept. Operations & Technical Support	<p>Finding No. 3: DCA, DEP, DMA, and DOS did not complete the appropriate Self-Assessment Questionnaire to self-evaluate their compliance with the PCI Data Security Standard.</p> <p>Recommendation: Agencies should ensure that appropriate versions of the Questionnaire are fully completed to evaluate the necessary controls to meet PCI Data Security Standard requirements and protect cardholder data.</p> <p>Finding No. 8: Certain user identifications (IDs) and passwords to the Sunbiz database were being shared by DOS employees.</p> <p>Recommendation: DOS should cease the practice of sharing user IDs and passwords and assign individual user IDs to all system users as provided for in its Access Controls.</p> <p>Finding No. 9: DMA and DOS did not follow certain approval and reporting requirements set forth in Section 215.322, Florida Statutes, and the related DFS rules.</p> <p>Recommendation: DMA and DOS should file annual reports with the CFO as required by DFS rules.</p>	<p>The Department implemented corrective action. The Department completed and filed the appropriate DFS Questionnaire on May 27,2009 and will continue to do so each year as required.</p> <p>The Department implemented corrective action. Each user now has an individual user ID in accordance with the Department's security policy.</p> <p>The Department implemented corrective action. An annual report was filed with DFS on July 22, 2009 and a revised version on August 3, 2009. The Department will continue to do so each year as required.</p>	

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>Understanding for payment card services lacked certain provisions required by Sections 287.058(1) and (2), Florida Statutes, and contained outdated provisions.</p> <p>Recommendation: In consultation with DFS, DOS should consider utilizing the DFS-established payment card services contract that is competitively resolicited on a periodic basis. If DOS determines that, in its specific circumstances, the established DFS contract is not in the best interest of the State, DOS should ensure that alternative contracts include provisions required by State law and that the provisions reflect current business practices.</p>	<p>The Department has implemented corrective action. Since the Department's process is outside the parameters of the DFS-established payment card services contract, approval to procure services was obtained from DFS, DMS, and the CFO. The Department developed a Business Case, Request for Proposal and contract with the assistance of the DFS, CFO, CEG and the Department's purchasing section which meets the requirements of Section 287.058,(1) and (2), Florida Statutes. The was contract went into effect July 1, 2010.</p>	
Inspector General Report No. 2010-002	February 24, 2010	Follow-up to Auditor General Report No. 2010-005, Multi- Agency Audit Divisions of Corporations and Admin Services/Dept. Operations & Technical Support	<p>Finding No. 3: DCA, DEP, DMA, and DOS did not complete the appropriate Self-Assessment Questionnaire to self-evaluate their compliance with the PCI Data Security Standard.</p> <p>Recommendation: Agencies should ensure that appropriate versions of the Questionnaire are fully completed to evaluate the necessary controls to meet PCI Data Security Standard requirements and protect cardholder data.</p> <p>Finding No. 8: Certain user identifications (IDs) and passwords to the Sunbiz database were being shared by DOS employees.</p> <p>Recommendation: DOS should cease the practice of sharing user IDs and passwords and assign individual user IDs to all system users as provided for in its Access Controls</p>	<p>The Department implemented corrective action. The Department completed and filed the appropriate DFS Questionnaire on May 27,2009 and will continue to do so each year as required.</p> <p>The Department implemented corrective action. Each user now has an individual user ID in accordance with the Department's security policy.</p>	
			Finding No. 9: DMA and DOS did not follow		

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>certain approval and reporting requirements set forth in Section 215.322, Florida Statutes, and the related DFS rules.</p> <p>Recommendation: DMA and DOS should file annual reports with the CFO as required by DFS rules.</p> <p>Finding No. 10: The DOS Letter of Understanding for payment card services lacked certain provisions required by Sections 287.058(1) and (2), Florida Statutes, and contained outdated provisions.</p> <p>Recommendation: In consultation with DFS, DOS should consider utilizing the DFS-established payment card services contract that is competitively resolicited on a periodic basis. If DOS determines that, in its specific circumstances, the established DFS contract is not in the best interest of the State, DOS should ensure that alternative contracts include provisions required by State law and that the provisions reflect current business practices.</p>	<p>The Department implemented corrective action. An annual report was filed with DFS on July 22, 2009 and a revised version on August 3, 2009. The Department will continue to do so each year as required.</p> <p>The Department has implemented corrective action. Since the Department's process is outside the parameters of the DFS-established payment card services contract, approval to procure services was obtained from DFS, DMS, and the CFO. The Department developed a Business Case, Request for Proposal and contract with the assistance of the DFS, CFO, CEG and the Department's purchasing section which meets the requirements of Section 287.058,(1) and (2), Florida Statutes. The was contract went into effect July 1, 2010.</p>	
Inspector General Report No. 2010-003	December 30, 2009	Audit of the Division of Cultural Affairs, American Recovery and Reinvestment Act Funding	<p>Finding No. 1: The Division of Cultural Affairs has insufficient controls in place to properly manage the process of ARRA funding application review and grant selection. Although the Division has created written procedures for grant application panelists to follow, the Division has not created written procedures regarding the application review and for selection of the actual grantees after panel meetings.</p>		
			Recommendations		

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>The Division of Cultural Affairs should:</p> <p>1. Develop and periodically update written procedures regarding the grant application and selection process for all types of grants. In the future, if the Division receives special funding for grants, such as the ARRA funding received from the National Endowment for the Arts, specific procedures should be developed that include any special requirements or processes other than the Divisions standard requirements or processes. The developed procedures should contain sufficient detail to provide adequate assurances to management that processes are being conducted in a consistent manner and allow post-audit functions.</p> <p>2. Ensure that Division staff completes process documentation, such as the staff analysis, according to instructions.</p> <p>3. Initiate a quality assurance program that periodically tests the grant application review and selection processes performed by the Division to ensure of all necessary elements have been completed and compliance with the adopted policy and procedure.</p>	<p>1. The Division is implementing corrective action. Updated written procedures for statutory grant programs are in the process of being developed and will incorporate the recommendations of the auditor to provide step by step procedures for the review of grant applications, monitoring throughout the grant period, and reviewing interim and final reports. Analysis forms will be updated to require the appropriate response by DCA staff. A Procedural Desk Reference is estimated to be completed within the next 3 months. Division staff will be trained in the use of this new Reference. This procedures manual will also be applicable for any future special funding programs not established in statute. A quality assurance process for both statutory and non-statutory grant programs requires random file review and deadlines for completion of tasks. This process will be</p>	
			<p>Finding No. 2: Our office has determined that the Division of Cultural Affairs grant application review process and grant recipient selection process were generally in accordance with available federal and state</p>		

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>guidelines. However, while the Division is generally compliant with these guidelines, there are opportunities to improve regarding one of the eligibility requirements. During our review, it was determined that one of the eligibility requirements for a grant applicant was that the organization's grant application proposal should be for salary support, full or partial, for one or more positions that are critical to their artistic mission. Division staff indicated during interviews that the Division did not have a specific procedure to document verification by Division staff that the organization's grant application proposal was for salary support for one or more positions related to their artistic mission. The subjective determination of how critical the position was to the organizations artistic mission was addressed in the application scoring by an independent panel.</p> <p>Recommendation: The Division of Cultural Affairs should ensure that in the future Division staff document review and document all grant eligibility requirements are met by applicants prior to panel meeting or scoring. The Division application review process should include a review of the entire grant application by Division staff since this review may also uncover conflicts of interest between the applicant and Department of State employees.</p>	<p>The Division will implement corrective action by adopting the recommendation for future special funding opportunities which are not in statue and rule. For statutory grant programs, DCA staff will be re-trained to review the eligibility issues as identified in Rule and document appropriately each eligibility criteria for the program to which the applicant has applied before it is submitted for panel review and scoring. The staff review shall also include a review of the entire grant application to ensure that no conflicts of interest between applicants and Department employees are evident.</p>	
			<p>Finding No. 3: A minor deficiency was observed with respect to the Division of Cultural Affairs selection of the grant recipients at the conclusion of the panel scoring. Review of the panel scoring</p>		

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
			<p>summary and applicants selected to receive funding revealed that Division provided grant funds to 6 of the 7 Florida regions although their submitted methodology indicated all 7 regions would be granted funds.</p> <p>Recommendation: The Division of Cultural Affairs should ensure that in the future, specific methodologies provided to an organization as part of an application to receive funding, are followed by Division staff.</p>	<p>The Division will implement corrective action immediately. In the future, methodologies for special one time programs will be written. After panel recommendations are completed, senior management will review the funding distribution methodology to ensure that the prescribed process was followed as written prior to awarding. Final review and approval by the Division Director will be required as the final step.</p>	

DEPARTMENT OF STATE

ELECTIONS

EXHIBITS OR SCHEDULES

DEPARTMENT OF STATE

ELECTIONS

SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-12
Trust Fund Title:	Department of State
Budget Entity:	Grants & Donations Trust Fund
LAS/PBS Fund Number:	Division of Elections 45100000
	2339

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	224,916	(A)		224,916
ADD: Other Cash (See Instructions)	-	(B)		-
ADD: Investments	61,491,297	(C)		61,491,297
ADD: Outstanding Accounts Receivable	156,259	(D)		156,259
ADD: _____	-	(E)		-
Total Cash plus Accounts Receivable	61,872,472	(F)	-	61,872,472
LESS Allowances for Uncollectibles	-	(G)		-
LESS Approved "A" Certified Forwards	858,340	(H)		858,340
Approved "B" Certified Forwards	-	(H)		-
Approved "FCO" Certified Forwards	-	(H)		-
LESS: Other Accounts Payable (Nonoperating)	6,170	(I)		6,170
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/2010	61,007,962	(K)	-	61,007,962 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I AND IC

Budget Period 2011-12

Department Title: Department of State
Trust Fund Title: Grants & Donations Trust Fund
LAS/PBS Fund Number: 2339

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-10	(68,032,515)	(A)
Add/Subtract:		
Accounts Payable not CF	(712)	(B)
Other Adjustment(s):		
Supply Inventory	-	(C)
Current Compensated Absences	-	(C)
Compensated Absences Liability	-	(C)

ADJUSTED BEGINNING TRIAL BALANCE: (68,033,227) (D)

UNRESERVED FUND BALANCE, SCHEDULE 1C (68,033,227) (E)

DIFFERENCE: - (F)*

***SHOULD EQUAL ZERO**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-12
Trust Fund Title:	Department of State
Budget Entity:	Operating Trust Fund
LAS/PBS Fund Number:	Division of Elections 45100000
	2510

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	315,328	(A)		315,328
ADD: Other Cash (See Instructions)	-	(B)		-
ADD: Investments	-	(C)		-
ADD: Outstanding Accounts Receivable	-	(D)		-
ADD: _____	-	(E)		-
Total Cash plus Accounts Receivable	315,328	(F)	-	315,328
LESS Allowances for Uncollectibles	-	(G)		-
LESS Approved "A" Certified Forwards	-	(H)		-
Approved "B" Certified Forwards	-	(H)		-
Approved "FCO" Certified Forwards	-	(H)		-
LESS: Other Accounts Payable (Nonoperating)	315,328	(I)		315,328
LESS: _____	-	(J)		-
Unreserved Fund Balance, 07/01/2010	-	(K)	-	- **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

DEPARTMENT OF STATE

HISTORICAL RESOURCES

EXHIBITS OR SCHEDULES

DEPARTMENT OF STATE

HISTORICAL RESOURCES

SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-12
Trust Fund Title:	Department of State
Budget Entity:	Operating Trust Fund
LAS/PBS Fund Number:	Division of Historical Resources 45200000
	2510

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	129,210	(A)	-	129,210
ADD: Other Cash (See Instructions)	-	(B)	-	-
ADD: Investments	151,890	(C)	-	151,890
ADD: Outstanding Accounts Receivable	213,687	(D)	-	213,687
ADD: _____	-	(E)	-	-
Total Cash plus Accounts Receivable	494,787	(F)	-	494,787
LESS Allowances for Uncollectibles	-	(G)	-	-
LESS Approved "A" Certified Forwards	184,350	(H)	-	184,350
Approved "B" Certified Forwards	4,253	(H)	-	4,253
Approved "FCO" Certified Forwards	-	(H)	-	-
LESS: Other Accounts Payable (Nonoperating)	233	(I)	-	233
LESS: Deferred Revenue	111,322	(J)	-	111,322
Unreserved Fund Balance, 07/01/2010	194,629	(K)	-	194,629 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I AND IC

Budget Period 2011-12

Department Title: Department of State
Trust Fund Title: Grants & Donations Trust Fund (Historical Resources)
LAS/PBS Fund Number: 2339

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-10	(7,024,553)	(A)
Add/Subtract:		
Accounts Payable not CF	(712)	(B)
Other Adjustment(s):		
Supply Inventory	-	(C)
Current Compensated Absences	-	(C)
Compensated Absences Liability	-	(C)

ADJUSTED BEGINNING TRIAL BALANCE: (7,025,265) (D)

UNRESERVED FUND BALANCE, SCHEDULE 1C (7,025,265) (E)

DIFFERENCE: - (F)*

***SHOULD EQUAL ZERO**

DEPARTMENT OF STATE

LIBRARY & INFORMATION SERVICES

EXHIBITS OR SCHEDULES

DEPARTMENT OF STATE

LIBRARY & INFORMATION SERVICES

SCHEDULE I SERIES

**FLORIDA STATE RECORDS CENTER
MICROFILM PROCESSING AND DUPLICATION**

**Fee Schedule and Services
As of July 1, 2010**

PROCESSING MICROFILM

16 mm (100-foot roll)	\$12.00
16 mm (200-foot roll)	\$14.00
35 mm (100-foot roll)	\$14.00

Includes developing, light box inspection, plastic reel, storage box and label.

FILM DUPLICATION (100-FOOT ROLL)

16 mm Silver-Direct	\$20.00
16 mm Diazo	\$12.00
16 mm Diazo (200-foot roll)	\$14.00
35 mm Silver-Direct	\$25.00
35 mm Diazo	\$14.00

Includes duplicating, light box inspection, plastic reel, storage box and label. Includes processing of silver duplicates.

JACKETING MICROFILM

16 mm or 35 mm Original Jackets	\$1.50
16 mm or 35 mm Duplicate Jackets	40 cents

Includes typing subject strips and loading jackets.

MISCELLANEOUS

Cartridge/Containers (Includes Material and Labor)	\$10.00
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**FLORIDA STATE RECORDS CENTER
COMPUTER OUTPUT MICROFILM**

**Fee Schedule and Services
As of July 1, 2010**

COMPUTER OUTPUT MICROFILM

COM Pages (images)	\$ 15.00 per 1,000
Original Fiche	\$ 1.50
Original Rolls	\$ 12.00
Initial COM Project Setup and Test	\$150.00
Revisions to an Existing COM Project Setup	\$150.00
Minimum Monthly Charge	\$150.00

COMPUTER OUTPUT MICROFILM DUPLICATION

16 mm Diazo Roll (100-foot roll)	\$12.00
Fiche-Diazo	40 cents
Cartridges/Containers (Includes Material and Labor)	\$10.00

**FLORIDA STATE RECORDS CENTER
ELECTRONIC MEDIA STORAGE**

**Fee Schedule and Services
As of July 1, 2010**

ELECTRONIC MEDIA STORED

Computer Tapes (reel to reel)
Computer Cartridges
Optical Disks

Floppy Disks
Magnetic Disks

STORAGE AND RETRIEVAL

Storage Fee:

\$20.00 per shelf per month for items stored

Storage Services Include:

Short- and long-term storage.
Temperature and humidity controlled environment.
Restricted access vault with intrusion alarm and sprinkler system.

Pickup and Delivery:

Quoted on a case-by-case basis.

Retrieval Services Include:

Free retrieval and refile, Monday through Friday, 8:00 a.m. to 5:00 p.m.,
excluding holidays.
Shipping charges will be applied outside the Tallahassee area.

Emergency Retrieval Services Include:

On-call, twenty-four hours a day, seven days a week emergency access.
Mobile telephone: 850.509.0276.

Emergency Retrieval Fee:

During non-working hours, a service charge of \$75.00 per hour with one hour
minimum charge for services will apply. Customers will be required to pick up their
own emergency retrievals from the State Records Center during non-working hours.

**FLORIDA STATE RECORDS CENTER
RECORDS STORAGE**

**Fee Schedule and Services
As of July 1, 2010**

ACCESSIONING

Services Include:

- On-site pickup
- Administrative processing and record keeping
- Total Recall system training

Accessioning Fee:

\$1.45 per cubic foot carton

Other Records Services:

Quoted on an hourly basis

STORAGE AND RETRIEVAL

Storage Services Include:

- Short- and long-term storage
- Restricted access area with intrusion alarm and sprinkler system

Retrieval Services Include:

Free retrieval and refile, Monday through Friday, 8:00 a.m. to 5:00 p.m.

Emergency Services:

After hours or holiday reference service: \$75.00 per hour (1 hour minimum)

Storage Fee:

27 cents per month per cubic foot carton

RECORDS STORAGE CARTONS

Carton Fee:

\$35.00 per flat (bundle of 25 cartons)

DISPOSAL OR PERMANENT WITHDRAWAL OF RECORDS STORAGE CARTONS

Services Include:

- Free monitoring of record retention schedules
- Free notification of destruction of eligible records

Disposal Fee:

40 cents per cubic foot carton

DISPOSAL OF RECORDS NOT STORED IN STATE RECORDS CENTER

Services Include:

Pickup in Tallahassee area

Disposal Fee:

\$1.40 per cubic foot carton

**FLORIDA STATE RECORDS CENTER
SECURITY MICROFILM STORAGE**

**Fee Schedule and Services
As of July 1, 2010**

ACCESSIONING

Services Include:

- Preliminary inspection for ready contamination
- Associated transfer documentation including container listing

Accession Fee:

Rolls must be in inert/acid-free containers. Otherwise, \$.05 per box plus \$20 per hour labor will be charged.

Microfilm: 12 cents per 16 mm or 35 mm roll

Microfiche: 12 cents per 35 fiche (35 fiche minimum)

STORAGE AND RETRIEVAL

Storage Services Include:

- Temperature- and humidity-controlled environment
- Secure fire-proof vault storage
- Periodic film inspection

Retrieval Services Include:

- Free retrievals and refils
- Free pickup and delivery within the Tallahassee area (shipping charges will apply outside the Tallahassee area)

Emergency Services:

After hour or holiday reference service: \$ 75.00 per hour (1 hour minimum)

Other additional services: \$ 20.00 per hour

Storage Fee:

Microfilm: 4 cents per 16 mm or 35 mm roll per month (48 cents per year)

Microfiche: 4 cents per 35 fiche per month (35 fiche minimum) (48 cents per year)

MICROFILM DISPOSAL/PERMANENT WITHDRAWAL

Disposal Fee:

Microfilm: 40 cents per 16 mm or 35 mm roll

Microfiche: 40 cents per 35 fiche

Permanent Withdrawal Fee:

Microfilm: 6 cents per 16 mm or 35 mm roll

Microfiche: 6 cents per 35 fiche

Services Include:

- Free Monitoring of Retention Schedule
- Free Notification of Destruction Eligibility
- Assurance that film will be disposed of to preserve integrity and to safeguard against contamination of the environment.

FILM DUPLICATION

16 mm Silver-Direct Rolls	\$20.00
16 mm Diazo Rolls	\$12.00
16 mm Diazo (200-foot roll)	\$14.00
35 mm Silver-Direct Rolls	\$25.00
35 mm Diazo Rolls	\$14.00
16 mm or 35 mm Duplicate Jackets or Fiche	40 cents

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-12
Trust Fund Title:	Department of State
Budget Entity:	Records Management Trust Fund
LAS/PBS Fund Number:	Division of Library and Information Services 45400000
	2572

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	607,845	(A)		607,845
ADD: Other Cash (See Instructions)	-	(B)		-
ADD: Investments	-	(C)		-
ADD: Outstanding Accounts Receivable	130,168	(D)		130,168
ADD: _____	-	(E)		-
Total Cash plus Accounts Receivable	738,013	(F)	-	738,013
LESS Allowances for Uncollectibles	-	(G)		-
LESS Approved "A" Certified Forwards	846	(H)		846
Approved "B" Certified Forwards	22,000	(H)		22,000
Approved "FCO" Certified Forwards	-	(H)		-
LESS: Other Accounts Payable (Nonoperating)	102,505	(I)	-	102,505
LESS: _____		(J)		-
Unreserved Fund Balance, 07/01/2010	612,662	(K)	-	612,662 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I AND IC

Budget Period 2011-12

Department Title: Department of State
Trust Fund Title: Records Management Trust Fund
LAS/PBS Fund Number: 2572

BEGINNING TRIAL BALANCE:

Unreserved Fund Balance Per Trial Balance, 07-01-10	(520,443)	(A)
Add/Subtract:		
Approved "B" Certified Forwards	22,000	(B)
Other Adjustment(s):		
Supply Inventory	2,205	(C)
Current Compensated Absences	(43,752)	(C)
Compensated Absences Liability	(72,672)	(C)

ADJUSTED BEGINNING TRIAL BALANCE: (612,662) (D)

UNRESERVED FUND BALANCE, SCHEDULE 1C (612,662) (E)

DIFFERENCE: - (F)*

***SHOULD EQUAL ZERO**

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-12
Trust Fund Title:	Department of State
Budget Entity:	Library Services Trust Fund
LAS/PBS Fund Number:	Division of Library and Information Services 45400000
	2450

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,092,312	(A)	-	1,092,312
ADD: Other Cash (See Instructions)	-	(B)	-	-
ADD: Investments	-	(C)	-	-
ADD: Outstanding Accounts Receivable	636	(D)	-	636
ADD: _____	-	(E)	-	-
Total Cash plus Accounts Receivable	1,092,948	(F)	-	1,092,948
LESS Allowances for Uncollectibles	636	(G)	-	636
LESS Approved "A" Certified Forwards	180,897	(H)	-	180,897
Approved "B" Certified Forwards	181,890	(H)	-	181,890
Approved "FCO" Certified Forwards	-	(H)	-	-
LESS: Other Accounts Payable (Nonoperating)	-	(I)	-	-
LESS: Unearned Revenue-Current	729,525	(J)	-	729,525
Unreserved Fund Balance, 07/01/2010	-	(K)	-	-

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

DEPARTMENT OF STATE

CULTURAL AFFAIRS

EXHIBITS OR SCHEDULES

DEPARTMENT OF STATE

CULTURAL AFFIARS

SCHEDULE I SERIES

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2011-2012
Trust Fund Title:	Department of State
Budget Entity:	Florida Fine Arts Trust Fund
LAS/PBS Fund Number:	Division of Cultural Affairs 45500000
	2279

	Balance as of 6/30/2010		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	44,780	(A)		44,780
ADD: Other Cash (See Instructions)	-	(B)		-
ADD: Investments	-	(C)		-
ADD: Outstanding Accounts Receivable	-	(D)		-
ADD: Due from Federal Government	-	(E)		-
Total Cash plus Accounts Receivable	44,780	(F)	-	44,780
LESS Allowances for Uncollectibles	-	(G)		-
LESS Approved "A" Certified Forwards	5,502	(H)		5,502
Approved "B" Certified Forwards	30,365	(H)		30,365
Approved "FCO" Certified Forwards	-	(H)		-
LESS: Other Accounts Payable (Nonoperating)	-	(I)		-
LESS: Unearned Revenue-Current	8,913	(J)		8,913
Unreserved Fund Balance, 07/01/2010	-	(K)	-	-

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line G, Section III of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Fiscal Year 2011-12 LBR Technical Review Checklist (Rev. 10-13-2010)

Department/Budget Entity (Service): Department of State/4500

Agency Budget Officer/OPB Analyst Name: Barbara Leonard/Marleni Bruner

A "Y" indicates "YES" and is acceptable, an "N/J" indicates "NO/Justification Provided" - these require further explanation/justification (additional sheets can be used as necessary), and "TIPS" are other areas to consider.

Action	Program or Service (Budget Entity Codes)					
	4501	4510	4520	4530	4540	4550

1. GENERAL

1.1 Are Columns A01, A02, A04, A05, A36, A90, A91, A92, A93, A94, A95, IA1, IA4, IA5, IP1, V1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only?	Y	Y	Y	Y	Y	Y
1.2 Is Column A03 set to TRANSFER CONTROL for DISPLAY and UPDATE status for both the Budget and Trust Fund columns? (CSDI)	Y	Y	Y	Y	Y	Y

AUDITS:

1.3 Has Column A03 been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. (EXBR, EXBA)	Y	Y	Y	Y	Y	Y
1.4 Has security been set correctly? (CSDR, CSA)	Y	Y	Y	Y	Y	Y
TIP The agency should prepare the budget request for submission in this order: 1) Lock columns as described above; 2) copy Column A03 to Column A12; and 3) set Column A12 column security to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status.						

2. EXHIBIT A (EADR, EXA)

2.1 Is the budget entity authority and description consistent with the agency's LRPP and does it conform to the directives provided on page 56 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
2.2 Are the statewide issues generated systematically (estimated expenditures, nonrecurring expenditures, etc.) included?	Y	Y	Y	Y	Y	Y
2.3 Are the issue codes and titles consistent with <i>Section 3</i> of the LBR Instructions (pages 15 through 27)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y
2.4 Have the coding guidelines in <i>Section 3</i> of the LBR Instructions (pages 15 through 27) been followed?	Y	Y	Y	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift and were the issues entered into LAS/PBS correctly? Check D-3A funding shift issue 340XXX0 - a unique deduct and unique add back issue should be used to ensure fund shifts display correctly on the LBR exhibits.	Y	Y	Y	Y	Y	Y
3.2 Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y

AUDITS:

3.3 Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity at the FSI level? Are all nonrecurring amounts less than requested amounts? (NACR, NAC - Report should print "No Negative Appropriation Categories Found")	Y	Y	Y	Y	Y	Y
3.4 Current Year Estimated Verification Comparison Report: Is Column A02 equal to Column B07? (EXBR, EXBC - Report should print "Records Selected Net To Zero")	Y	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
TIP	Generally look for and be able to fully explain significant differences between A02 and A03.						
TIP	Exhibit B - A02 equal to B07: Compares Current Year Estimated column to a backup of A02. This audit is necessary to ensure that the historical detail records have not been adjusted. Records selected should net to zero.						
TIP	Requests for appropriations which require advance payment authority must use the sub-title "Grants and Aids". For advance payment authority to local units of government, the Aid to Local Government appropriation category (05XXXX) should be used. For advance payment authority to non-profit organizations or other units of state government, the Special Categories appropriation category (10XXXX) should be used.						
4. EXHIBIT D (EADR, EXD)							
4.1	Is the program component objective statement consistent with the agency LRPP, and does it conform to the directives provided on page 59 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
4.2	Is the program component code and title used correct?	Y	Y	Y	Y	Y	Y
TIP	Fund shifts or transfers of services or activities between program components will be displayed on an Exhibit D whereas it may not be visible on an Exhibit A.						
5. EXHIBIT D-1 (ED1R, EXD1)							
5.1	Are all object of expenditures positive amounts? (This is a manual check.)	Y	Y	Y	Y	Y	Y
AUDITS:							
5.2	Do the fund totals agree with the object category totals within each appropriation category? (ED1R, XD1A - Report should print "No Differences Found For This Report")	Y	Y	Y	Y	Y	Y
5.3	FLAIR Expenditure/Appropriation Ledger Comparison Report: Is Column A01 less than Column B04? (EXBR, EXBB - Negative differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
5.4	A01/State Accounts Disbursements and Carry Forward Comparison Report: Does Column A01 equal Column B08? (EXBR, EXBD - Differences need to be corrected in Column A01.)	Y	Y	Y	Y	Y	Y
TIP	If objects are negative amounts, the agency must make adjustments to Column A01 to correct the object amounts. In addition, the fund totals must be adjusted to reflect the adjustment made to the object data.						
TIP	If fund totals and object totals do not agree or negative object amounts exist, the agency must adjust Column A01.						
TIP	Exhibit B - A01 less than B04: This audit is to ensure that the disbursements and carry/certifications forward in A01 are less than FY 2009-10 approved budget. Amounts should be positive.						
TIP	If B08 is not equal to A01, check the following: 1) the initial FLAIR disbursements or carry forward data load was corrected appropriately in A01; 2) the disbursement data from departmental FLAIR was reconciled to State Accounts; and 3) the FLAIR disbursements did not change after Column B08 was created.						
6. EXHIBIT D-3 (ED3R, ED3) (Not required in the LBR - for analytical purposes only.)							
6.1	Are issues appropriately aligned with appropriation categories?	Y	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
TIP	Exhibit D-3 is no longer required in the budget submission but may be needed for this particular appropriation category/issue sort. Exhibit D-3 is also a useful report when identifying negative appropriation category problems.						
7. EXHIBIT D-3A (EADR, ED3A)							
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 31 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.2	Does the issue narrative adequately explain the agency's request and is the explanation consistent with the LRPP? (See page 65 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.3	Does the narrative for Information Technology (IT) issue follow the additional narrative requirements described on pages 66 through 69 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E-4 and E-5 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y
7.7	Does the issue narrative thoroughly explain/justify all Salaries and Benefits amounts entered into the Other Salary Amounts transactions (OADA/C)? Amounts entered into OAD are reflected in the Position Detail of Salaries and Benefits section of the Exhibit D-3A.	Y	Y	Y	Y	Y	Y
7.8	Does the issue narrative include the Consensus Estimating Conference forecast, where appropriate?	N/A	N/A	N/A	N/A	N/A	N/A
7.9	Does the issue narrative reference the specific county(ies) where applicable?	Y	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #11-006?	Y	Y	Y	Y	Y	Y
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the OPB Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should <u>not</u> be deleted. (PLRR, PLMO)	N/A	N/A	N/A	N/A	N/A	N/A
7.12	Does the issue narrative include plans to satisfy additional space requirements when requesting additional positions?	N/A	N/A	N/A	N/A	N/A	N/A

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15	Do the issues relating to <i>salary and benefits</i> have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See page 26 and 86 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
7.16	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0 or 55C01C0)?	Y	Y	Y	Y	Y	Y
7.17	Are the issues relating to <i>major audit findings and recommendations</i> properly coded (4A0XXX0, 4B0XXX0)?	N/A	N/A	N/A	N/A	N/A	N/A
AUDIT:							
7.18	Are all FSI's equal to '1', '2', '3', or '9'? There should be no FSI's equal to '0'. (EADR, FSIA - Report should print "No Records Selected For Reporting")	Y	Y	Y	Y	Y	Y
7.19	Does the General Revenue for 160XXXX issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	Y	Y
7.20	Does the General Revenue for 180XXXX issues net to zero? (GENR, LBR2)	Y	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 200XXXX issues net to zero? (GENR, LBR3)	N/A	N/A	N/A	N/A	N/A	N/A
7.22	Have FCO appropriations been entered into the nonrecurring column A04? (GENR, LBR4 - Report should print "No Records Selected For Reporting" or a listing of D-3A issue(s) assigned to Debt Service (IOE N) or in some cases State Capital Outlay - Public Education Capital Outlay (IOE L))	N/A	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run OADA/OADR from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 64 through 70 of the LBR Instructions.						
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.						
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).						
TIP	If an appropriation made in the FY 2009-10 General Appropriations Act duplicates an appropriation made in substantive legislation, the agency must create a unique deduct nonrecurring issue to eliminate the duplicated appropriation. Normally this is taken care of through line item veto.						

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level)							
8.1	Has a separate department level Schedule I and supporting documents package been submitted by the agency?	Y	Y	Y	Y	Y	Y
8.2	Has a Schedule I been completed in LAS/PBS for each operating trust fund?	Y	Y	Y	Y	Y	Y
8.3	Have the appropriate Schedule I supporting documents been included for the trust funds (Schedule IA, Schedule IB, Schedule IC, and Reconciliation to Trial Balance)?	Y	Y	Y	Y	Y	Y
8.4	Have the Examination of Regulatory Fees Part I and Part II forms been included for the applicable regulatory programs?	N/A	N/A	N/A	N/A	N/A	N/A
8.5	Have the required detailed narratives been provided (5% trust fund reserve narrative; method for computing the distribution of cost for general management and administrative services narrative; adjustments narrative; revenue estimating methodology narrative)?	Y	Y	Y	Y	Y	Y
8.6	Has the Inter-Agency Transfers Reported on Schedule I form been included as applicable for transfers totaling \$100,000 or more for the fiscal year?	Y	Y	Y	Y	Y	Y
8.7	If the agency is scheduled for the annual trust fund review this year, have the Schedule ID and applicable draft legislation been included for recreation, modification or termination of existing trust funds?	Y	Y	Y	Y	Y	Y
8.8	If the agency is scheduled for the annual trust fund review this year, have the necessary trust funds been requested for creation pursuant to <i>section 215.32(2)(b), Florida Statutes</i> - including the Schedule ID and applicable legislation?	Y	Y	Y	Y	Y	Y
8.9	Are the revenue codes correct? In the case of federal revenues, has the agency appropriately identified direct versus indirect receipts (object codes 000700, 000750, 000799, 001510 and 001599)?	Y	Y	Y	Y	Y	Y
8.10	Are the statutory authority references correct?	Y	Y	Y	Y	Y	Y
8.11	Are the General Revenue Service Charge percentage rates used for each revenue source correct? (Refer to Chapter 2009-78, Laws of Florida, for appropriate general revenue service charge percentage rates.)	Y	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y
8.15	Are anticipated grants included and based on the state fiscal year (rather than federal fiscal year)?	Y	Y	Y	Y	Y	Y
8.16	Are the Schedule I revenues consistent with the FSI's reported in the Exhibit D-3A?	Y	Y	Y	Y	Y	Y
8.17	If applicable, are nonrecurring revenues entered into Column A04?	Y	Y	Y	Y	Y	Y
8.18	Has the agency certified the revenue estimates in columns A02 and A03 to be the latest and most accurate available? Does the certification include a statement that the agency will notify OPB of any significant changes in revenue estimates that occur prior to the Governor's Budget Recommendations being issued?	Y	Y	Y	Y	Y	Y
8.19	Is a 5% trust fund reserve reflected in Section II? If not, is sufficient justification provided for exemption? Are the additional narrative requirements provided?	Y	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
8.20	Are appropriate service charge nonoperating amounts included in Section II?	Y	Y	Y	Y	Y	Y
8.21	Are nonoperating expenditures to other budget entities/departments cross-referenced accurately?	Y	Y	Y	Y	Y	Y
8.22	Do transfers balance between funds (within the agency as well as between agencies)? (See also 8.6 for required transfer confirmation of amounts totaling \$100,000 or more.)	Y	Y	Y	Y	Y	Y
8.23	Are nonoperating expenditures recorded in Section II and adjustments recorded in Section III?	Y	Y	Y	Y	Y	Y
8.24	Are prior year September operating reversions appropriately shown in column A01?	Y	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions appropriately shown in column A02?	Y	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y
8.27	Does Column A01 of the Schedule I accurately represent the actual prior year accounting data as reflected in the agency accounting records, and is it provided in sufficient detail for analysis?	Y	Y	Y	Y	Y	Y
8.28	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y
AUDITS:							
8.29	Is Line I a positive number? (If not, the agency must adjust the budget request to eliminate the deficit).	Y	Y	Y	Y	Y	Y
8.30	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y	Y	Y	Y
8.31	Has a Department Level Reconciliation been provided for each trust fund and does Line A of the Schedule I equal the CFO amount? If not, the agency must correct Line A. (SC1R, DEPT)	Y	Y	Y	Y	Y	Y
TIP	The Schedule I is the most reliable source of data concerning the trust funds. It is very important that this schedule is as accurate as possible!						
TIP	Determine if the agency is scheduled for trust fund review. (See page 125 of the LBR Instructions.)						
TIP	Review the unreserved fund balances and compare revenue totals to expenditure totals to determine and understand the trust fund status.						
TIP	Typically nonoperating expenditures and revenues should not be a negative number. Any negative numbers must be fully justified.						
9. SCHEDULE II (PSCR, SC2)							
AUDIT:							
9.1	Is the pay grade minimum for salary rate utilized for positions in segments 2 and 3? (BRAR, BRAA - Report should print "No Records Selected For This Request") Note: Amounts other than the pay grade minimum should be fully justified in the D-3A issue narrative. (See <i>Base Rate Audit</i> on page 157 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)							
10.1	Is the appropriate lapse amount applied in Segment 3? (See page 87 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y

Action		Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 94 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	Y	Y	Y	Y	Y	Y
11. SCHEDULE IV (EADR, SC4)							
11.1	Are the correct Information Technology (IT) issue codes used?	Y	Y	Y	Y	Y	Y
TIP	If IT issues are not coded correctly (with "C" in 6th position), they will not appear in the Schedule IV.						
12. SCHEDULE VIIIA (EADR, SC8A)							
12.1	Is there only one #1 priority, one #2 priority, one #3 priority, etc. reported on the Schedule VIII-A? Are the priority narrative explanations adequate?	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)							
13.1	Do the reductions comply with the instructions provided on pages 98 through 101 of the LBR Instructions regarding a 5% reduction in recurring and nonrecurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y	Y
14. SCHEDULE VIIIB-2 (EADR, S8B2)							
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 15% reduction in recurring General Revenue and Trust Funds?	Y	Y	Y	Y	Y	Y
15. SCHEDULE XI (LAS/PBS Web - see page 108 of the LBR Instructions for detailed instructions)							
15.1	Has the Schedule XI one page summary Excel file been e-mailed to OPB at OPB.UnitCostSummary@laspbs.state.fl.us? Agencies are required to generate this spreadsheet via the LAS/PBS Web. (Note: Pursuant to <i>section 216.023(4)(b), Florida Statutes</i> , the Legislature can reduce the funding level for any agency that does not provide this information.)	Y	Y	Y	Y	Y	Y
15.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match the Excel file e-mailed to OPB?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:							
15.3	Does the FY 2009-10 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	Y	Y
15.4	None of the executive direction, administrative support and information technology statewide activities (ACT0010 thru ACT0490) have output standards (Record Type 5)? (Audit #1 should print "No Activities Found")	Y	Y	Y	Y	Y	Y
15.5	Does the Fixed Capital Outlay (FCO) statewide activity (ACT0210) only contain 08XXXX or 14XXXX appropriation categories? (Audit #2 should print "No Operating Categories Found")	Y	Y	Y	Y	Y	Y
15.6	Has the agency provided the necessary demand (Record Type 5) for all activities which <u>should</u> appear in Section II? (Note: Audit #3 will identify those activities that do NOT have a Record Type '5' and have not been identified as a 'Pass Through' activity. These activities will be displayed in Section III with the 'Payment of Pensions, Benefits and Claims' activity and 'Other' activities. Verify if these activities should be displayed in Section III. If not, an output standard would need to be added for that activity and the Schedule XI submitted again.)	Y	Y	Y	Y	Y	Y
15.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	Y	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						

Action	Program or Service (Budget Entity Codes)					
	4501	4510	4520	4530	4540	4550

16. MANUALLY PREPARED EXHIBITS & SCHEDULES

16.1	Do exhibits and schedules comply with LBR Instructions (pages 110 through 154 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
16.2	Are appropriation category totals comparable to Exhibit B, where applicable?	Y	Y	Y	Y	Y	Y
16.3	Are agency organization charts (Schedule X) provided and at the appropriate level of detail?	Y	Y	Y	Y	Y	Y

AUDITS - GENERAL INFORMATION

TIP	Review <i>Section 6: Audits</i> of the LBR Instructions for a list of audits and their descriptions.						
TIP	Reorganizations may cause audit errors. Agencies must indicate that these errors are due to an agency reorganization to justify the audit error.						

17. CAPITAL IMPROVEMENTS PROGRAM (CIP)

17.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y
17.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
17.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
17.4	Does the agency request include 5 year projections (Columns A03, A06, A07, A08 and A09)?	N/A	N/A	N/A	N/A	N/A	N/A
17.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	N/A	N/A
17.6	Has the CIP-2 form (Exhibit B) been modified to include the agency priority for each project and the modified form saved as a PDF document?	N/A	N/A	N/A	N/A	N/A	N/A
TIP	Requests for Fixed Capital Outlay appropriations which are Grants and Aids to Local Governments and Non-Profit Organizations must use the Grants and Aids to Local Governments and Non-Profit Organizations - Fixed Capital Outlay major appropriation category (140XXX) and include the sub-title "Grants and Aids". These appropriations utilize a CIP-B form as justification.						

18. FLORIDA FISCAL PORTAL

18.1	Have all files been assembled correctly and posted to the Florida Fiscal Portal as outlined in the Florida Fiscal Portal Submittal Process?	Y	Y	Y	Y	Y	Y
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