



FLORIDA DEPARTMENT *of* STATE

RICK SCOTT
Governor

KEN DETZNER
Secretary of State

LEGISLATIVE BUDGET REQUEST

Department of State
Tallahassee, FL

September 15, 2017

Cynthia Kelly, Director
Office of Policy and Budget
Executive Office of the Governor
1701 Capitol
Tallahassee, Florida 32399-0001

JoAnne Leznoff, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Mike Hansen, Staff Director
Senate Committee on Appropriations
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 2018-19 Fiscal Year. This submission has been approved by Ken Detzner, Secretary of State.

Sincerely,

A handwritten signature in blue ink that reads "Ken Detzner".

Ken Detzner
Secretary of State

Attachments

R. A. Gray Building • 500 South Bronough Street • Tallahassee, Florida 32399-0250
Telephone: (850) 245-6500 • Facsimile: (850) 245-6125 www.dos.state.fl.us



FLORIDA DEPARTMENT OF STATE

Temporary Special Duty - General Pay Additives Implementation Plan for Fiscal Year 2018-2019

1. General Provisions

A “temporary special duties - general” pay additive may be granted to a Career Service employee whose position has been assigned temporary duties and responsibilities not customarily assigned to the position for reasons other than as a result of another employee being absent from work pursuant to the Family and Medical Leave Act or authorized military leave. Circumstances under which a temporary special duty - general pay additive may be granted are:

- (a) the employee is temporarily assigned duties of a vacant position; or
- (b) the employee is temporarily assigned to work on a special project that is outside the normal duties of the employee’s position.

The organizational unit requesting the additive must have sufficient salary rate and dollars to pay the additive.

The employee to whom the additive will be granted must be consistently meeting the established performance standards and expectations for his or her position.

2. Justification

The employee is being required to assume additional duties and responsibilities not customarily assigned to his or her position, in addition to his or her normal job duties and responsibilities, and should be reasonably compensated for having to perform those additional duties and responsibilities.

3. Procedures

The additive must be requested in writing by the Division Director. The request shall include:

- (a) the name, classification and work unit of the employee for whom the additive is being requested;
- (b) a description of the temporary duties and responsibilities that will be assigned to the employee;
- (c) the reason(s) why assignment of the temporary duties and responsibilities is necessary;

(d) the anticipated amount of time the temporary duties and responsibilities will be required; and

(e) the amount of the additive being requested.

The request shall be submitted to the Director of Administrative Services who shall verify that the Division has sufficient salary rate and dollars to pay the additive. If approved by the Director of Administrative Services, the request shall be submitted to the Deputy Secretary for review and approval. If approved by the Deputy Secretary, the request shall be submitted to the Assistant Secretary for final review. The Deputy Secretary and Assistant Secretary shall determine whether assignment of the temporary special duties and granting the additive to the employee is necessary to enable the Department to perform mission critical functions.

4. Period of Time Additive May Be In Effect

The period of time the additive may be in effect will vary depending upon the specific circumstances under which the additive is implemented. The additive may be approved for up to six (6) months, unless an extension is granted; provided, however, that if the additive will be in effect for more than 90 days, the Department will review the circumstances under which the additive was implemented at the end of the 90-day period. If the circumstances under which the additive was granted have changed, the additive shall be removed or adjusted as appropriate.

An extension of the additive may be granted upon written approval by the Director of Administrative Services, Deputy Secretary and Assistant Secretary based on documented justification that continuation of the temporary special duties and additive is necessary to enable the Department to perform mission critical functions.

5. Effective Date of Additive

The effective date of the additive will be the first day the additional duties are assigned, unless a different date is required by an applicable collective bargaining agreement then in effect.

6. Amount of Additive

The amount of the additive may not exceed ten percent (10%) of the employee's current base rate of pay, unless a higher amount is approved by the Director of Administrative Services, Deputy Secretary and Assistant Secretary based on documented justification of the need for a higher rate.

7. Classes and Number of Positions Affected

The classes and number of positions that might be approved for a temporary special duty-general pay additive during FY 2017-2018 is unknown. No temporary special duty-general pay additives were approved by the Department during FY 2016-2017.

8. Historical Data

The temporary special duty pay additive was first implemented by the Department in or about 1999. No temporary special duty-general pay additives were approved by the Department during FY 2016-2017.

9. Estimated Annual Cost

The Department estimates that the annual cost of the additive will not exceed \$15,000. (Note: Because this additive is not being requested for an entire class of positions, and the Department has no historical data regarding past implementation of this additive, no specific salary estimates can be provided at this time.)

10. Collective Bargaining Units Impacted

Employee units covered by the AFSCME Master Contract will be impacted in accordance with Article 21 (Out of Title Work):

(A) Each time an employee is designated by the employee's immediate supervisor to act in a vacant established position in a higher broadband level than the employee's current broadband level, and actually performs a major portion of the duties of a higher level position, irrespective of whether the higher level position is funded, for a period of time more than 22 workdays within any six consecutive months, the employee shall be eligible to receive a temporary special duty additive in accordance with the Personnel Rules, beginning with the 23rd day.

(B) Employees being paid at a higher rate while temporarily filling a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary employment in the higher broadband level is ended.



FLORIDA DEPARTMENT *of* STATE

Budget Entity Level Exhibits and Schedules

Legislative Budget Request

FY 2018-2019

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Global Marine Exploration, Inc., v. The Unidentified Wrecked and Abandoned Sailing Vessel</i>		
Court with Jurisdiction:	Middle District of Florida, Orlando Division		
Case Number:	6:16-cv-1742		
Summary of the Complaint:	Action <i>in rem</i> under admiralty law for exclusive rights at the described wreckage site.		
Amount of the Claim:	No set monetary amount. The plaintiff is seeking full salvage rights at the wreckage site.		
Specific Statutes or Laws (including GAA) Challenged:	The Abandoned Shipwreck Act, 43 U.S.C. 2101-2106.		
Status of the Case:	This case is in the midst of discovery. The depositions of plaintiffs' experts will be taken by August 18, 2017. Discovery is closed on October 18, 2017.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel	
	X	Office of the Attorney General or Division of Risk Management	
		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).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Joyner, et al., v. Presidential Advisory Committee, et al.</i>		
Court with Jurisdiction:	Southern District of Florida, Miami Division		
Case Number:	1:17-cv-22568		
Summary of the Complaint:	Complaint for injunctive and declaratory relief challenging the gathering of voter information by the Presidential Advisory Committee on Election Integrity.		
Amount of the Claim:	Attorneys' fees and costs; no monetary damages		
Specific Statutes or Laws (including GAA) Challenged:	Article I, § 23, Florida Constitution; §97.0585, Fla. Stat.		
Status of the Case:	Plaintiffs' Temporary Restraining Order was denied as moot. A Motion to Dismiss will be filed shortly on behalf of the Secretary.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Hand, et al. v. Scott, et al.</i>		
Court with Jurisdiction:	Northern District of Florida, Tallahassee Division		
Case Number:	4:17-cv-128		
Summary of the Complaint:	Class action lawsuit attempting to automatically restore former felons' voting rights and eliminate Florida's current rights restoration process.		
Amount of the Claim:	Attorneys' fees and costs.		
Specific Statutes or Laws (including GAA) Challenged:	28 U.S.C. §§ 1331 and 1343.		
Status of the Case:	A Motion to Dismiss has been filed and the parties are in the midst of discovery.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	<p>This is a case styled as a class-action. The Plaintiffs have not yet moved for class certification. The firms representing the Plaintiffs are:</p> <p>Fair Elections Legal Network 1825 K St. NW, Suite 450 Washington, DC 20006</p> <p>Cohen Milstein Sellers & Toll PLLC 2925 PGA Boulevard Suite 200 Palm Beach Gardens, FL 33410</p>		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Florida Wildlife Federation, Inc., et. al. v. The Florida Legislature, et. al. CONSOLIDATED WITH: Florida Defenders of the Environment, Inc., v. Detzner, et al.</i>		
Court with Jurisdiction:	Second Judicial Circuit – Leon County, Florida		
Case Number:	2015 CA 001423 and 2015 CA 2682		
Summary of the Complaint:	Declaratory judgment action alleging that the defendants have failed to appropriate moneys, pursuant to constitutional mandate, for the maintenance and conservation of recreation lands.		
Amount of the Claim:	Complaint states that the rights and interests at issue are not quantifiable in monetary terms.		
Specific Statutes or Laws (including GAA) Challenged:	Article X, section 28 of the Florida Constitution (commonly referred to as Amendment 1).		
Status of the Case:	This consolidated case has recently been noticed for trial by the Legislative Defendants. A trial date has not been set. Parties are in the midst of discovery.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Rubin Young v. Florida Election Canvassing Commission, et al.</i>		
Court with Jurisdiction:	Third District Court of Appeals, appealed from Eleventh Judicial Circuit, Miami-Dade County		
Case Number:	3D17-107, appealed from 16-30282		
Summary of the Complaint:	This is an election contest alleging multiple irregularities involving a race for Clerk of Circuit Court, Miami-Dade County.		
Amount of the Claim:	N/A		
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 102.168		
Status of the Case:	Defendants won a dismissal in the trial court and recently won a dismissal from the 3rd DCA. The Plaintiff is expected to appeal to the Florida Supreme Court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" 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).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Democratic National Committee, et al., v. Detzner</i>		
Court with Jurisdiction:	The Northern District of Florida – Tallahassee		
Case Number:	4:16-cv-607		
Summary of the Complaint:	Action for preliminary injunction to provide an opportunity to cure for those whose vote-by-mail ballots are rejected because of a signature mismatch.		
Amount of the Claim:	Attorneys' fees and costs only.		
Specific Statutes or Laws (including GAA) Challenged:	Fla. Stat. § 101.68(2)(c)(1); the Equal Protection Clause of the United States Constitution.		
Status of the Case:	A Preliminary Injunction was granted. The state legislature changed the law to conform to the court's ruling. The case has been voluntarily dismissed except as to attorneys' fees and costs. A settlement has been reached on fees and costs and is awaiting finalization.		
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).	N/A		

Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Northwood Associates v. Detzner, et al.</i>		
Court with Jurisdiction:	Second Judicial Circuit – Leon County, Florida		
Case Number:	2016 CA 823		
Summary of the Complaint:	Action for declaratory and injunctive relief, and breach of contract, related to funding the Northwood Centre leases.		
Amount of the Claim:	No damages claimed as to the Secretary of State		
Specific Statutes or Laws (including GAA) Challenged:	This is a breach of contract/lease case.		
Status of the Case:	Motions to Dismiss by the agency tenants have been denied (the Secretary’s Motion to Dismiss has yet to be heard) and the case is in discovery.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	N/A		

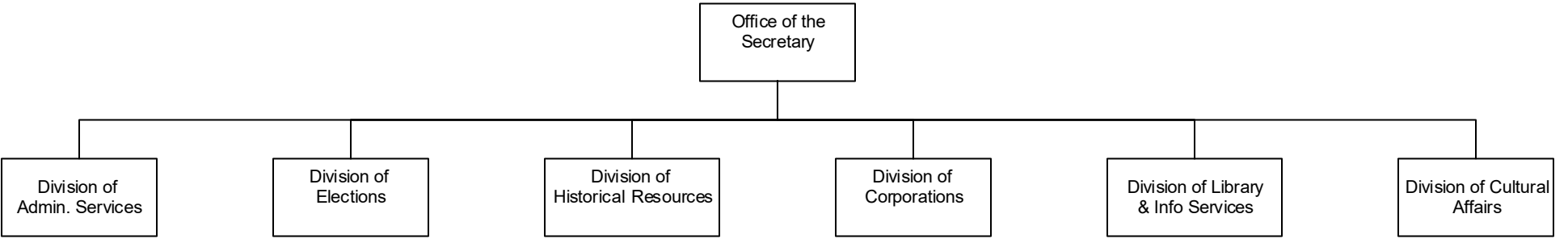
Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>1715 Fleet-Queens Jewels, LLC v. The Unidentified Wreck and Abandoned Sailing Vessels, etc.</i>		
Court with Jurisdiction:	United States District Court for the Southern District of Florida		
Case Number:	79-8266-CIV-KING, 79-8356-CIV-KING, 79-8342-CIV-KING, 80-8093-CIV-KING, 82-8478-CIV-KING		
Summary of the Complaint:	Consolidated action regarding wreck sites of the 1715 Spanish Plate Fleet originally filed in 1979, involving salvage rights of the plaintiff/salvor.		
Amount of the Claim:	Undetermined at this time.		
Specific Statutes or Laws (including GAA) Challenged:	Ch. 267 Fla. Stat. and various provisions of the June 3, 1983, Memorandum of Understanding and Settlement Agreement between the salvors and the Florida Department of State, as renewed.		
Status of the Case:	Annual distribution of salvaged items/artifacts continues pursuant to the Memorandum of Understanding and Settlement Agreement between the salvor and the Florida Department of State.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input type="checkbox"/>	Agency Counsel	
	<input checked="" type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	N/A		

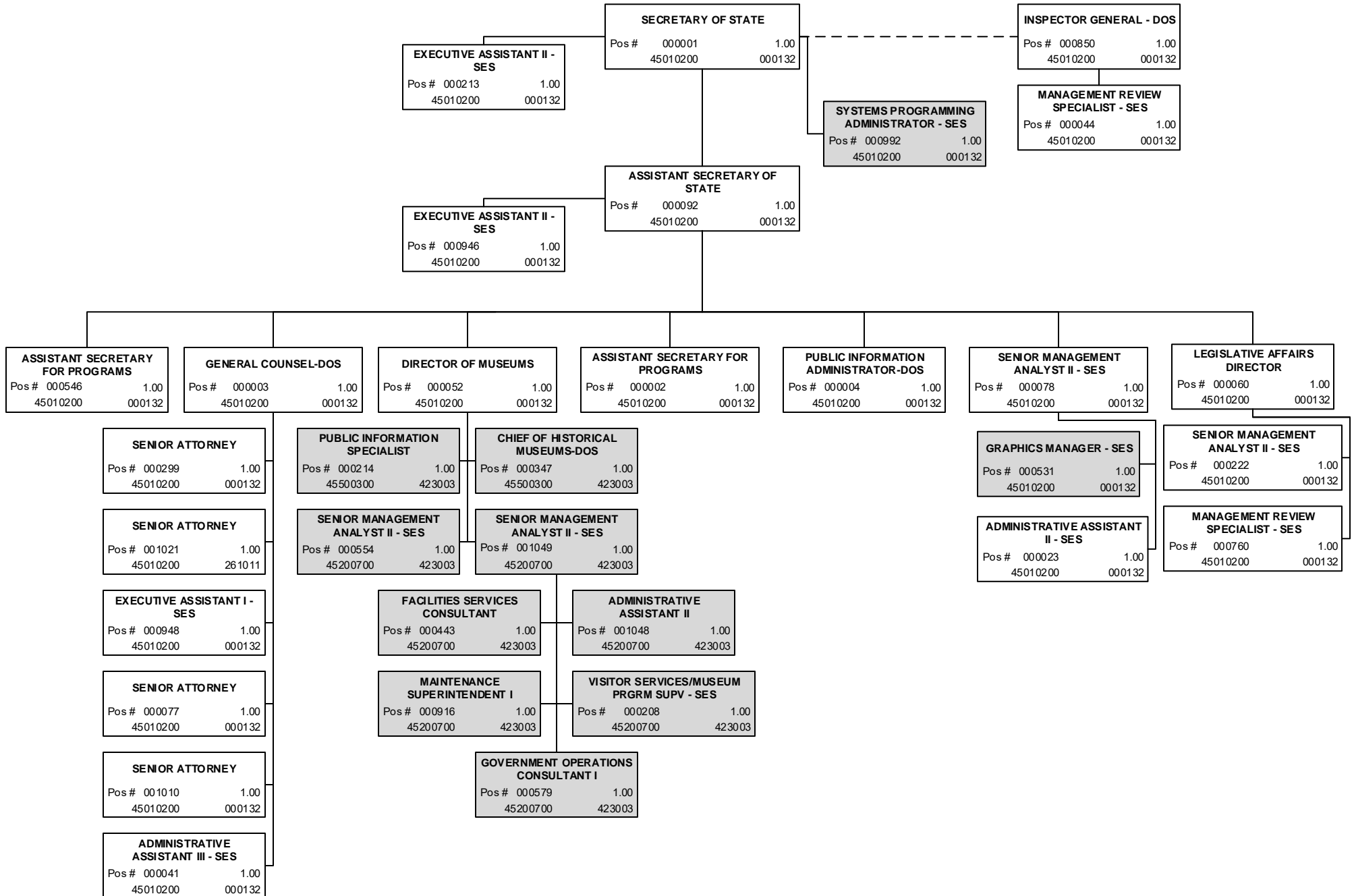
Schedule VII: Agency Litigation Inventory

Agency:	Department of State		
Contact Person:	David A. Fugett	Phone Number:	850-245-6511
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	<i>Jupiter Wreck, Inc. v. The Unidentified, Wrecked and Abandoned Sailing Vessel, etc.</i>		
Court with Jurisdiction:	United States District Court for the Southern District of Florida – In Admiralty		
Case Number:	9:87-CV-08548		
Summary of the Complaint:	Plaintiff is seeking salvage and title rights as first finders for the exclusive possession of the wrecked and unidentified sailing vessel.		
Amount of the Claim:	Undetermined at this time.		
Specific Statutes or Laws (including GAA) Challenged:	The Plaintiff is asking the court to re-open this closed case and change an earlier ruling to give the salvor exclusive ownership rights and title to the property at issue.		
Status of the Case:	Memorandums have been filed by the parties and we await a ruling from the court.		
Who is representing (of record) the state in this lawsuit? Check all that apply.	<input checked="" type="checkbox"/>	Agency Counsel	
	<input type="checkbox"/>	Office of the Attorney General or Division of Risk Management	
	<input 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).	N/A		

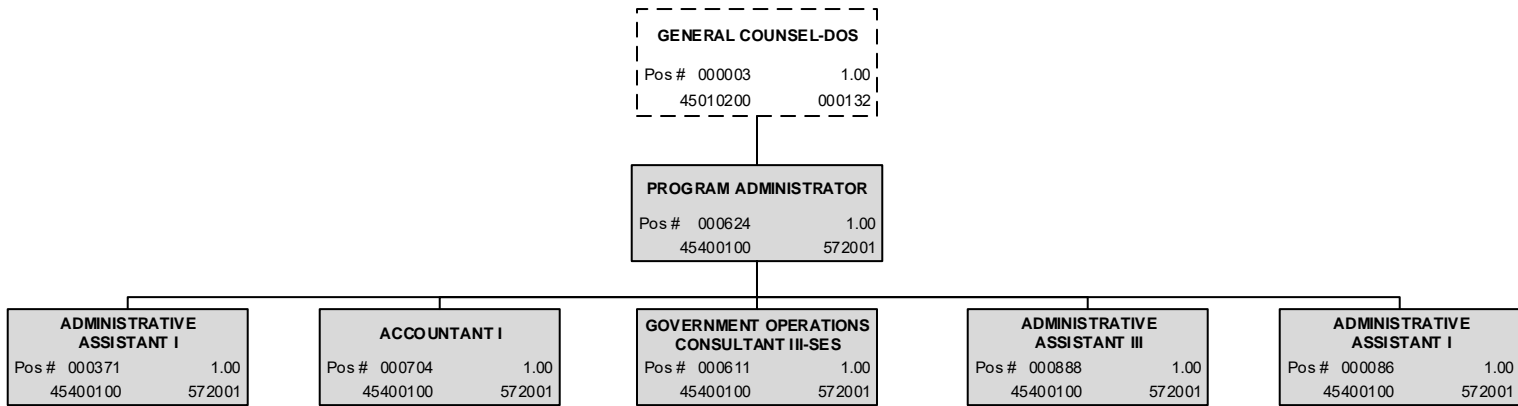
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Organizational Units
(408.00 FTE)**



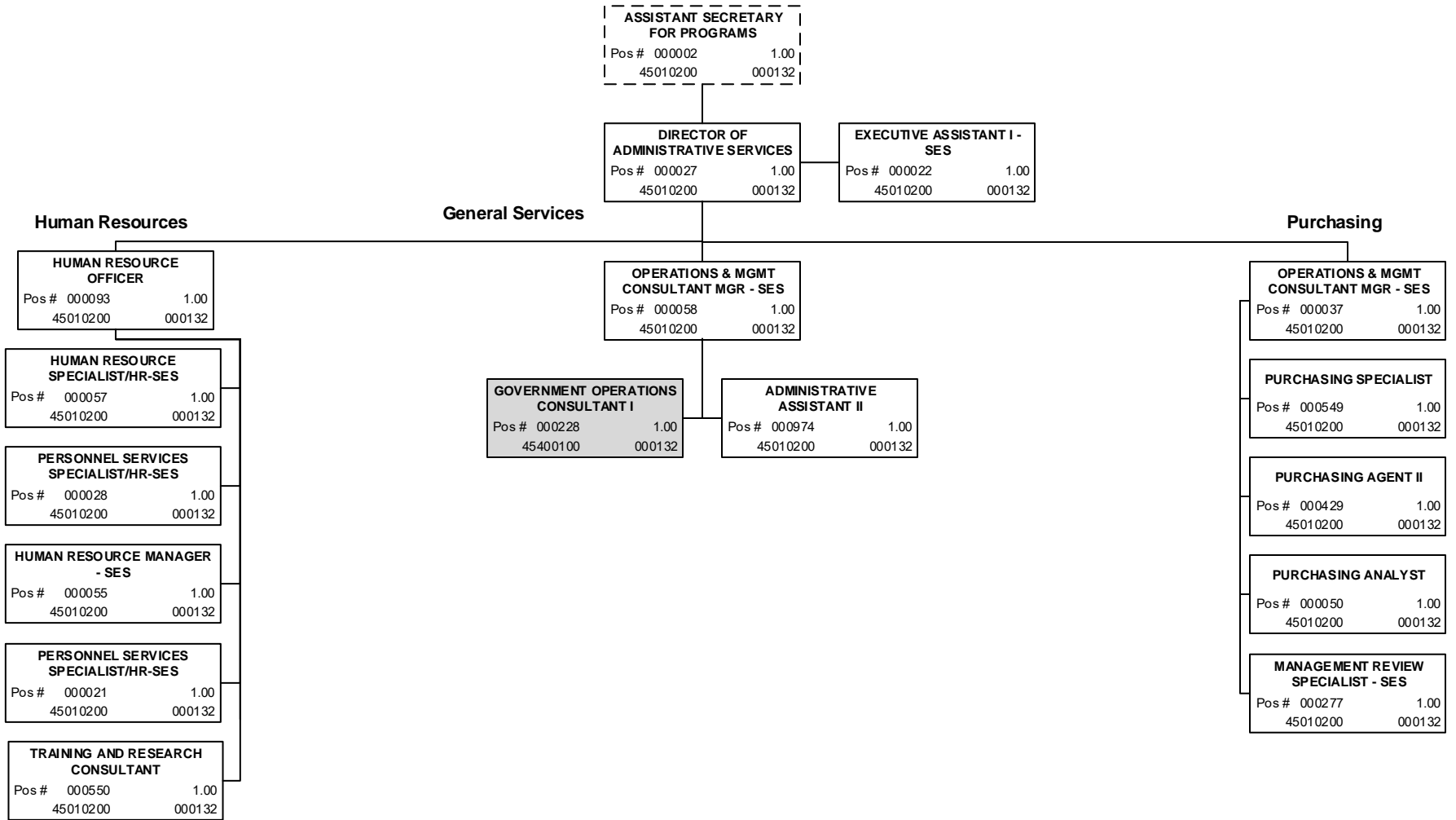
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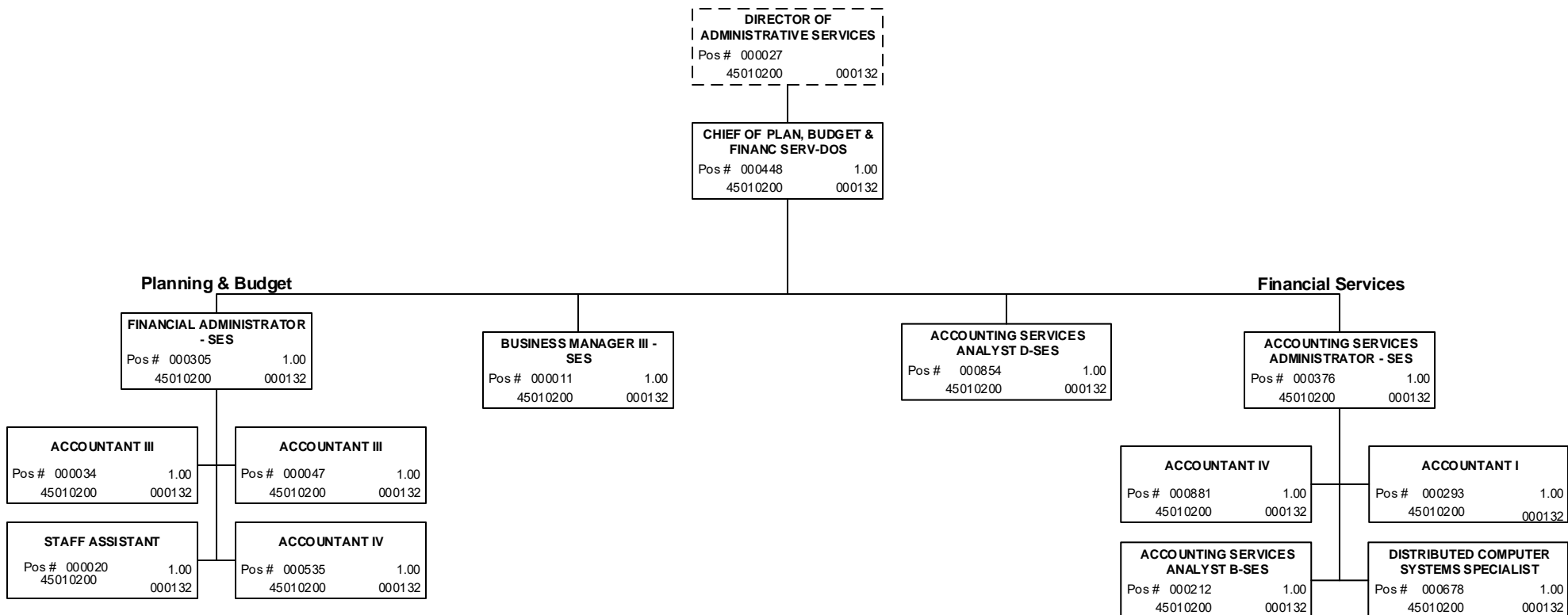
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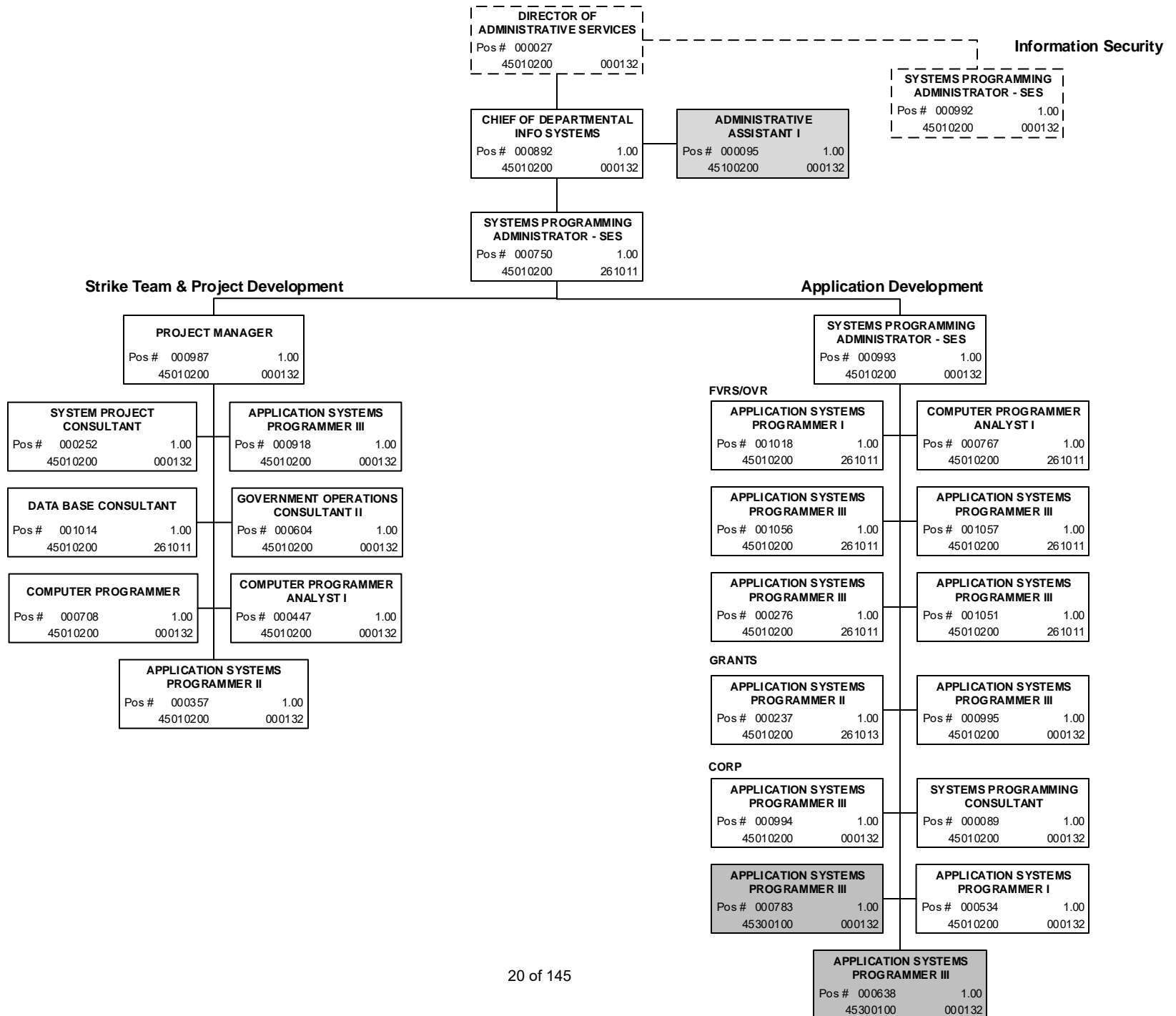
**DIVISION OF ADMINISTRATIVE SERVICES
Office of Division Director**



DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Planning, Budget & Financial Services



DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
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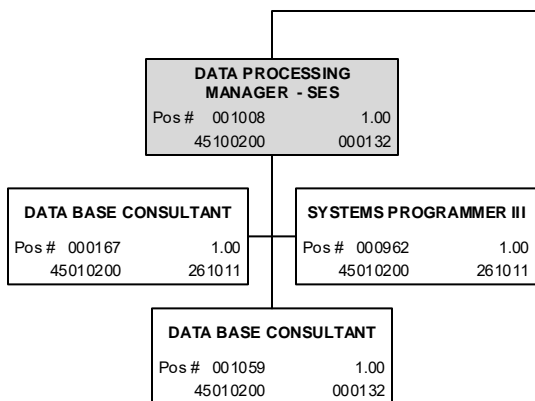


DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
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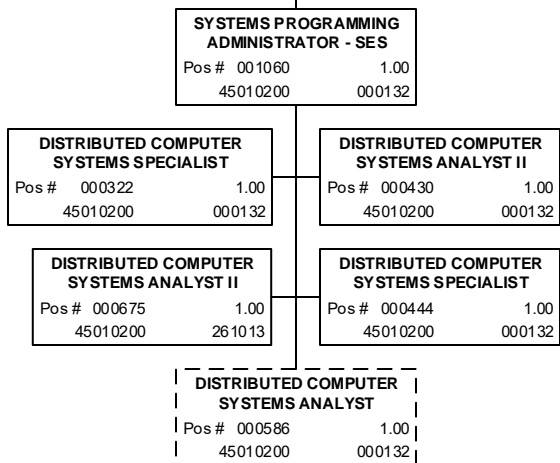
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CHIEF OF DEPARTMENTAL INFO SYSTEMS			
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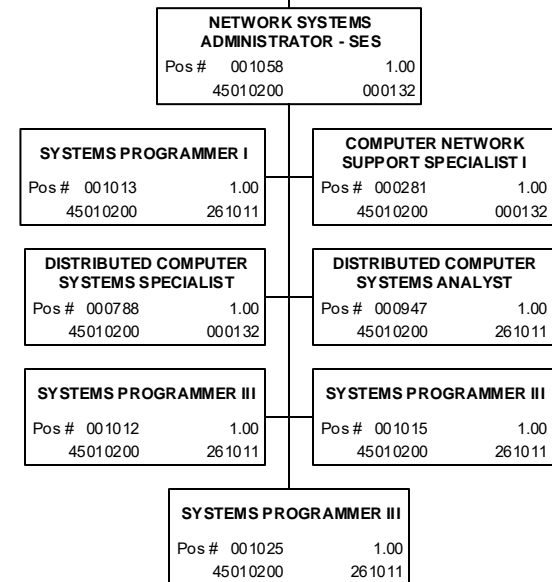
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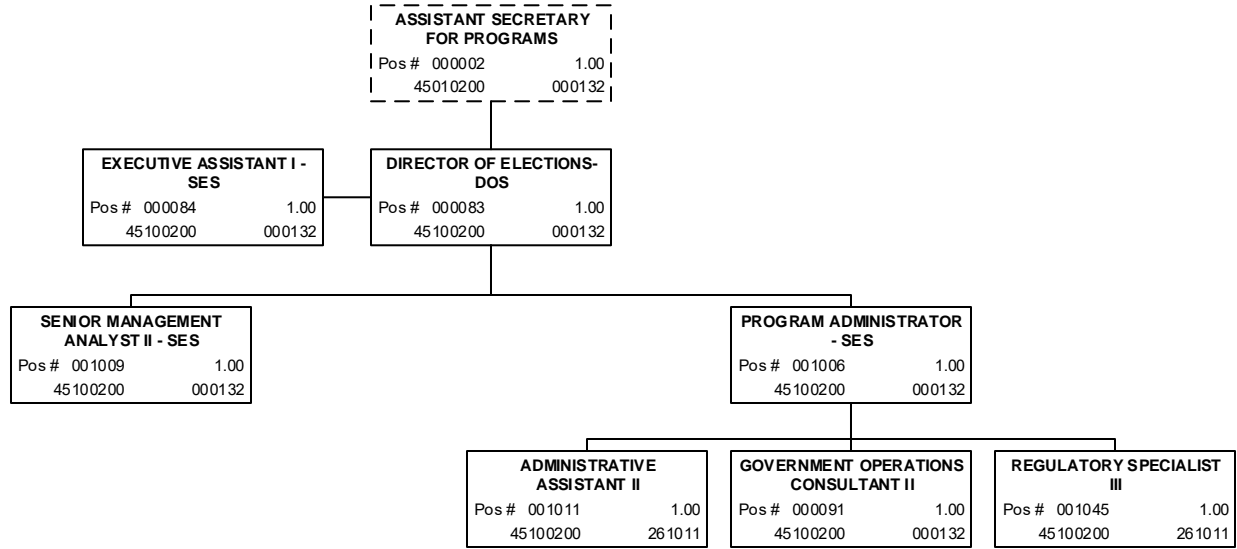
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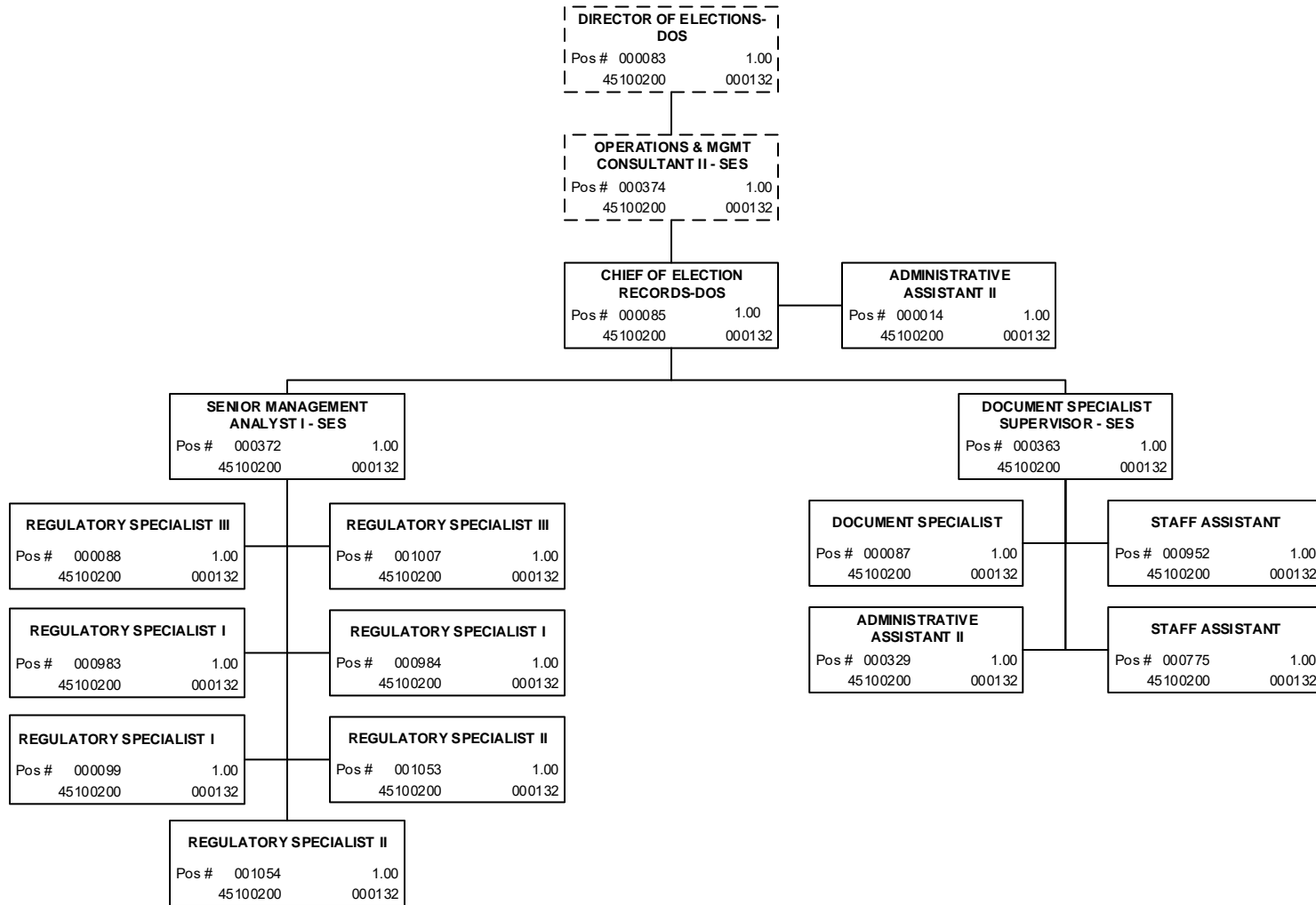
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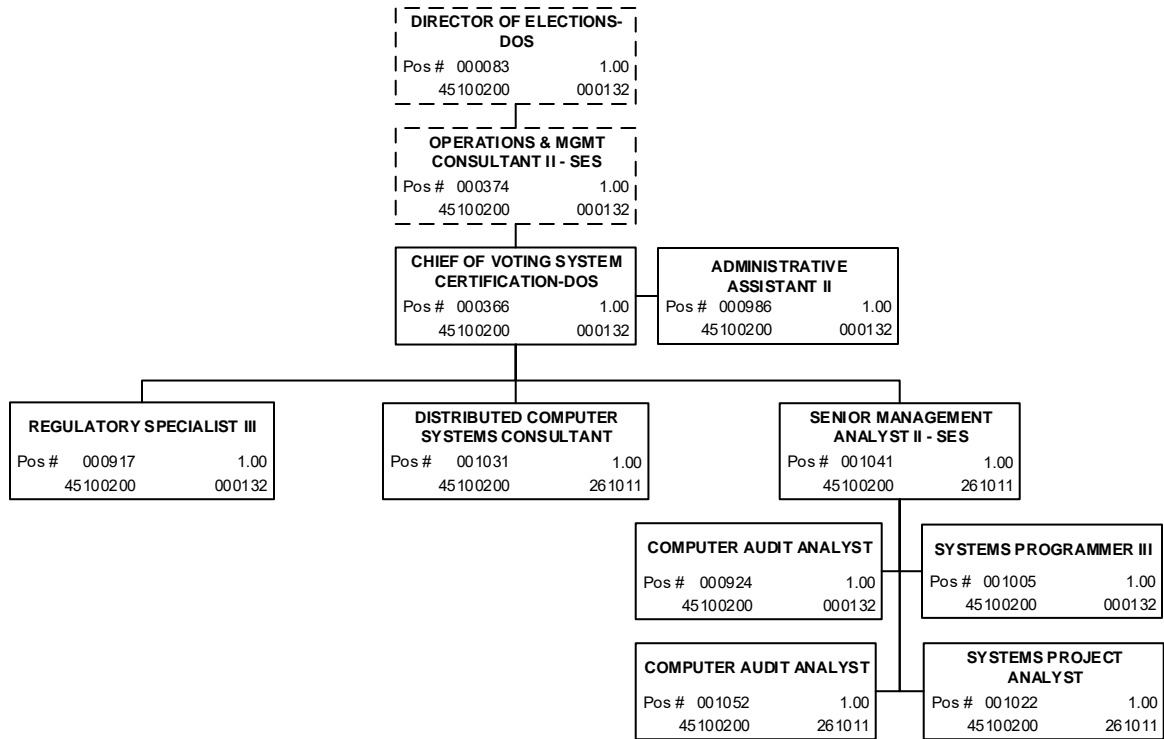
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Office of Division Director**



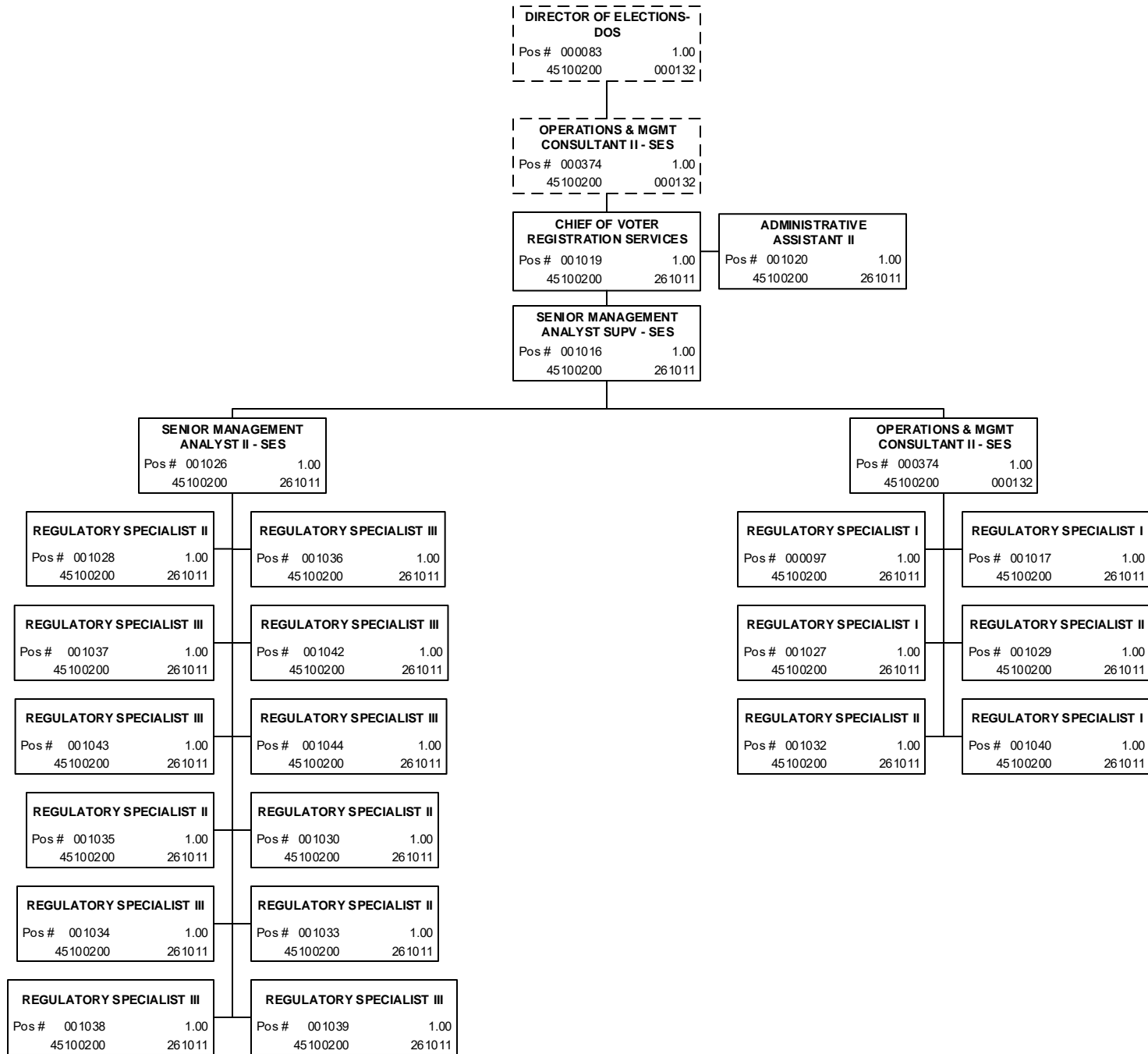
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Bureau of Election Records



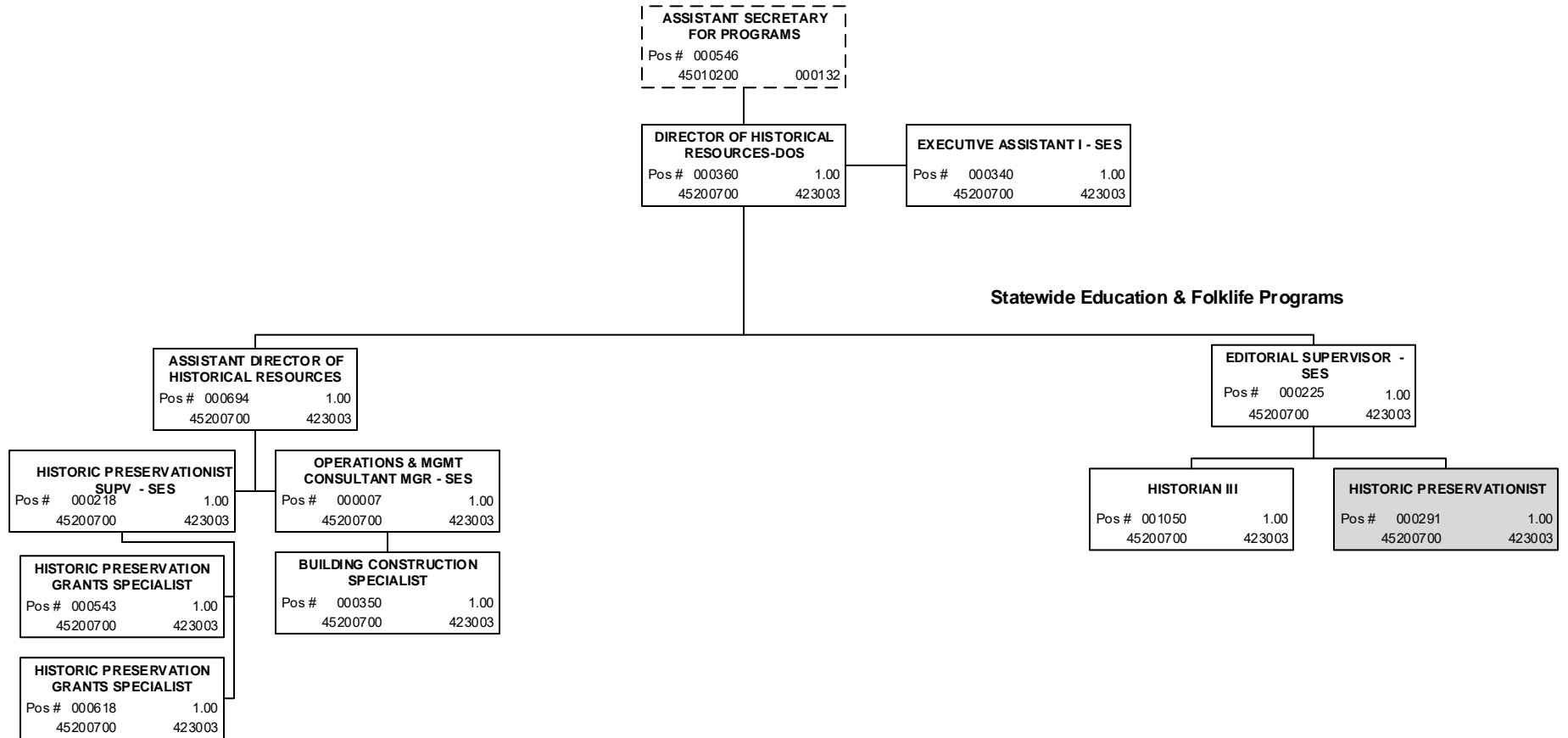
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BUREAU OF VOTING SYSTEMS CERTIFICATION**



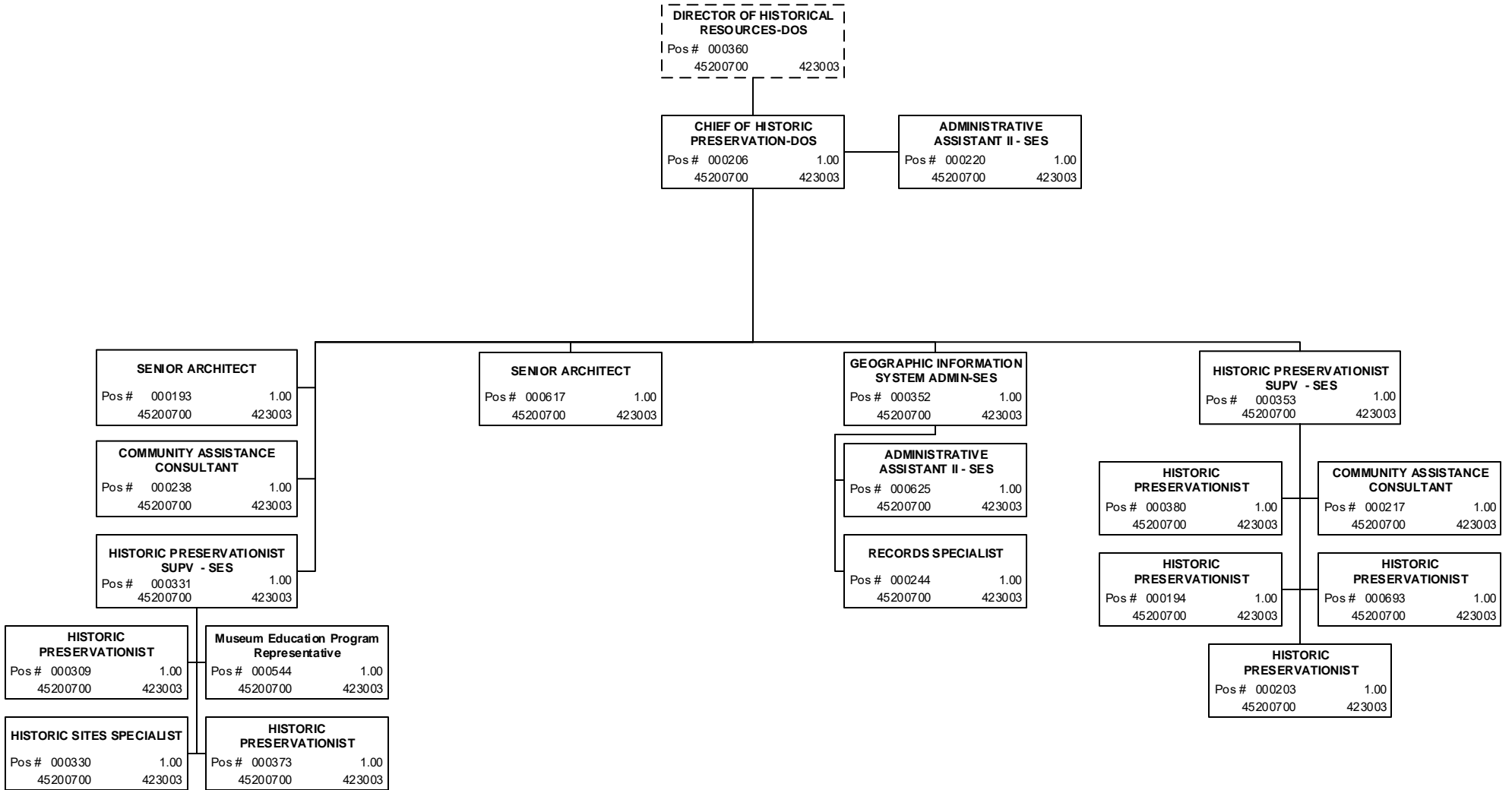
DIVISION OF ELECTIONS
Bureau of Voter Registration Services



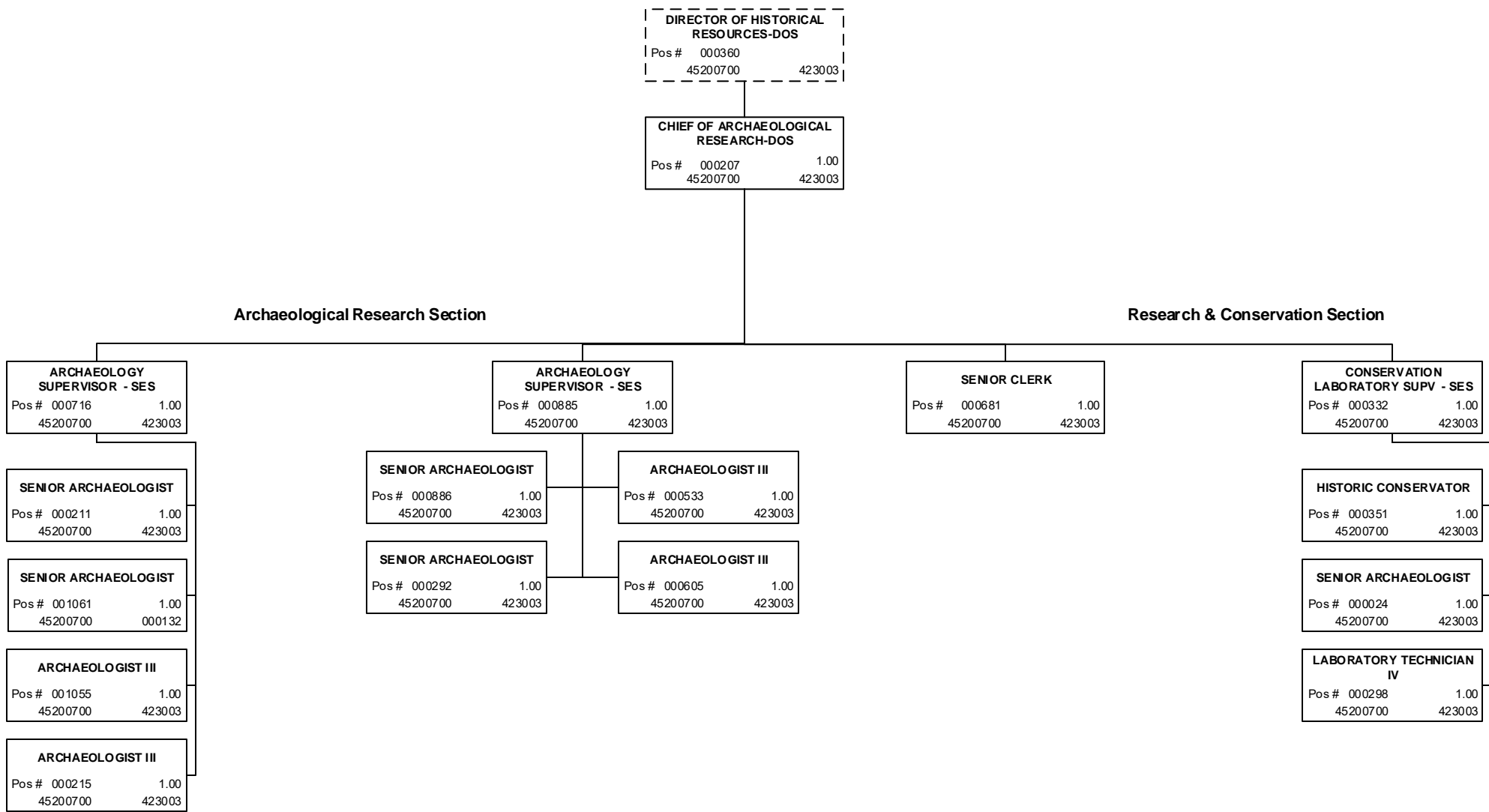
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Office of Division Director**



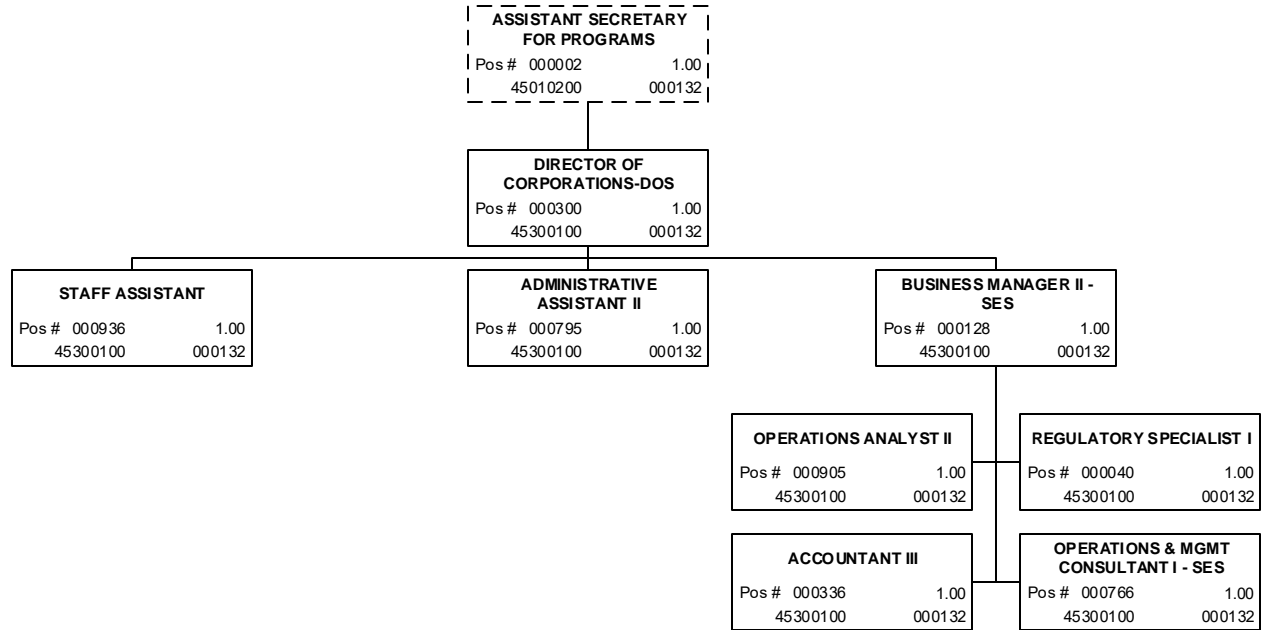
**DIVISION OF HISTORICAL RESOURCES
Bureau of Historic Preservation**



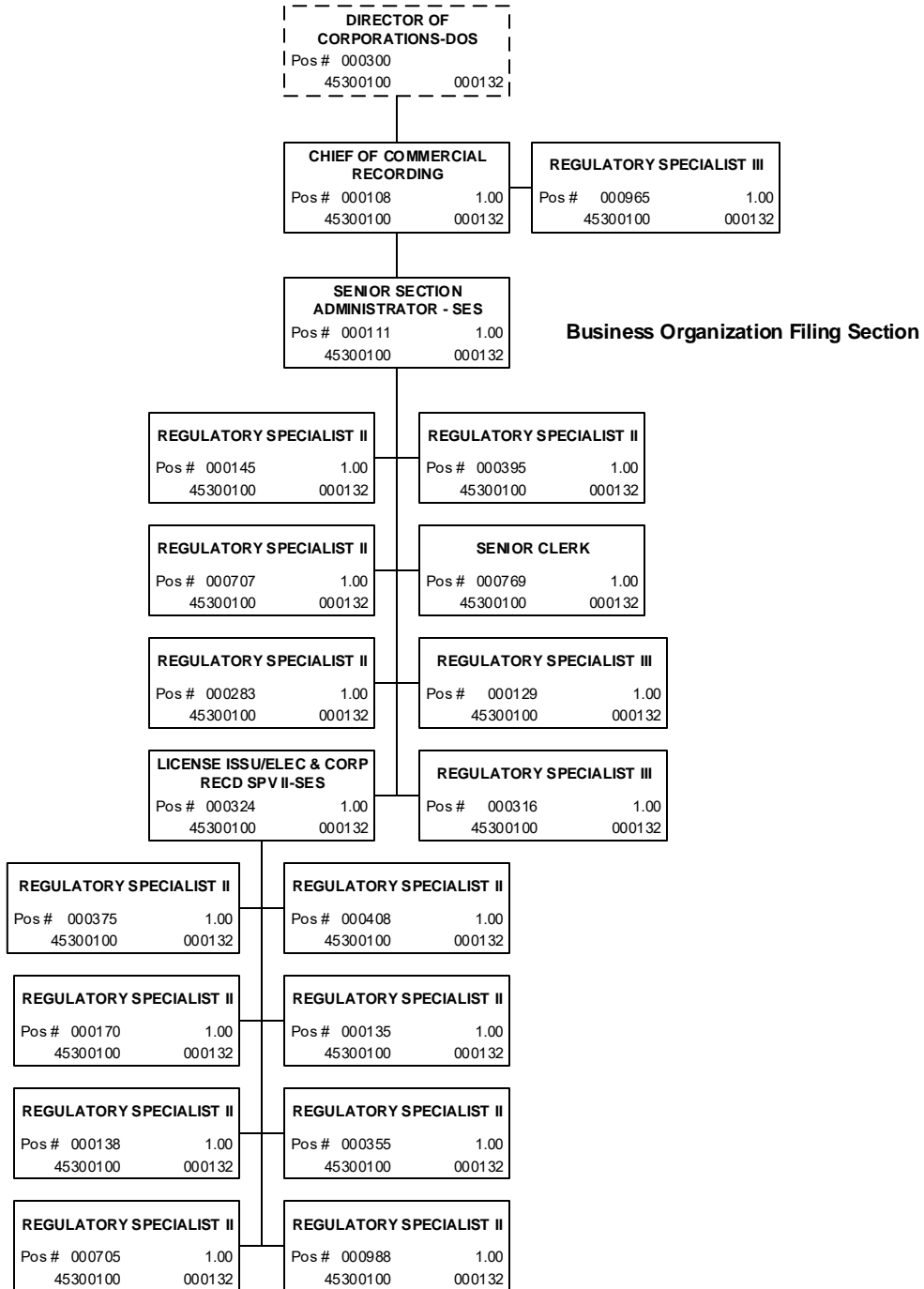
**DIVISION OF HISTORICAL RESOURCES
Bureau of Archaeological Research**



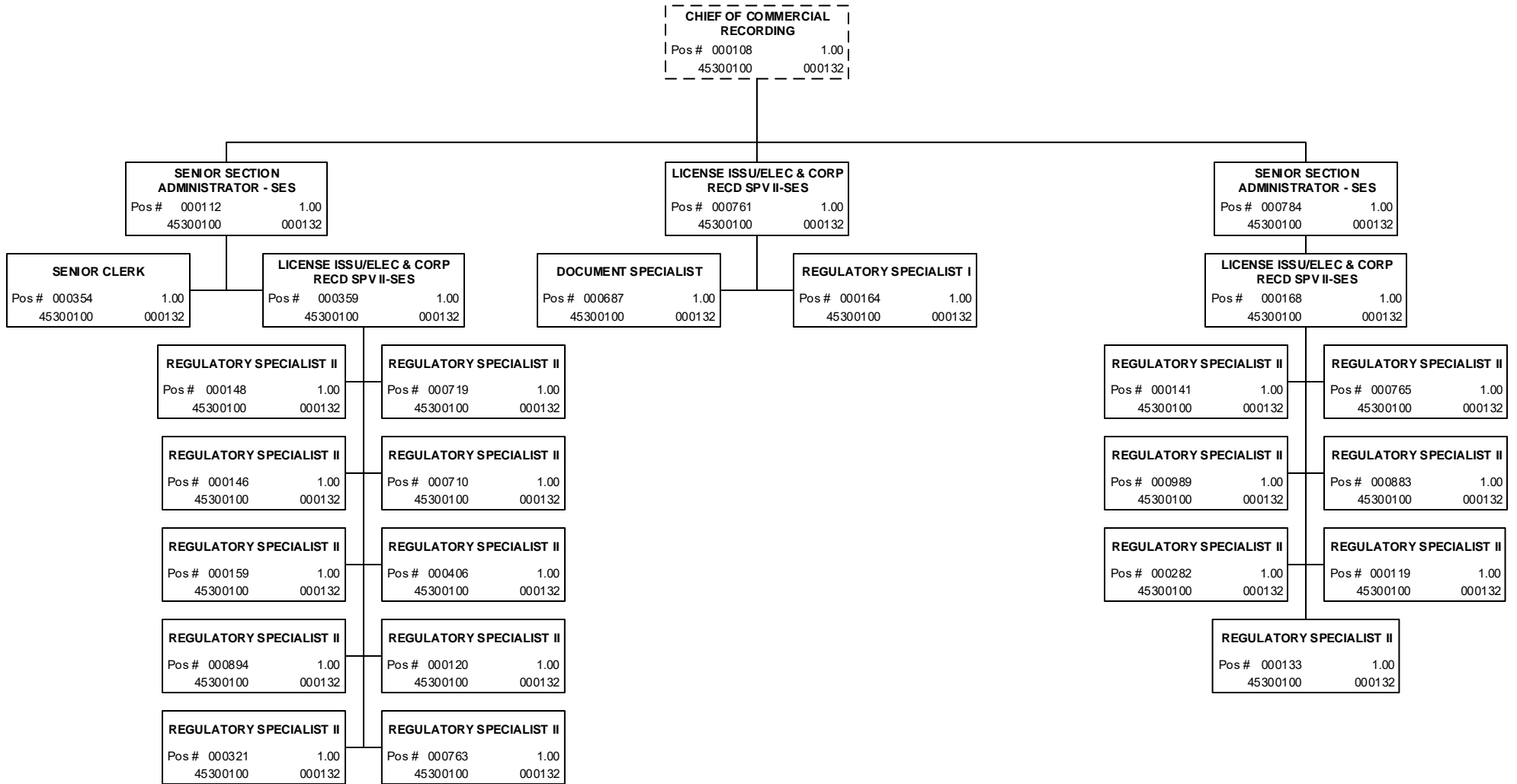
**DIVISION OF CORPORATIONS
Office of Division Director**



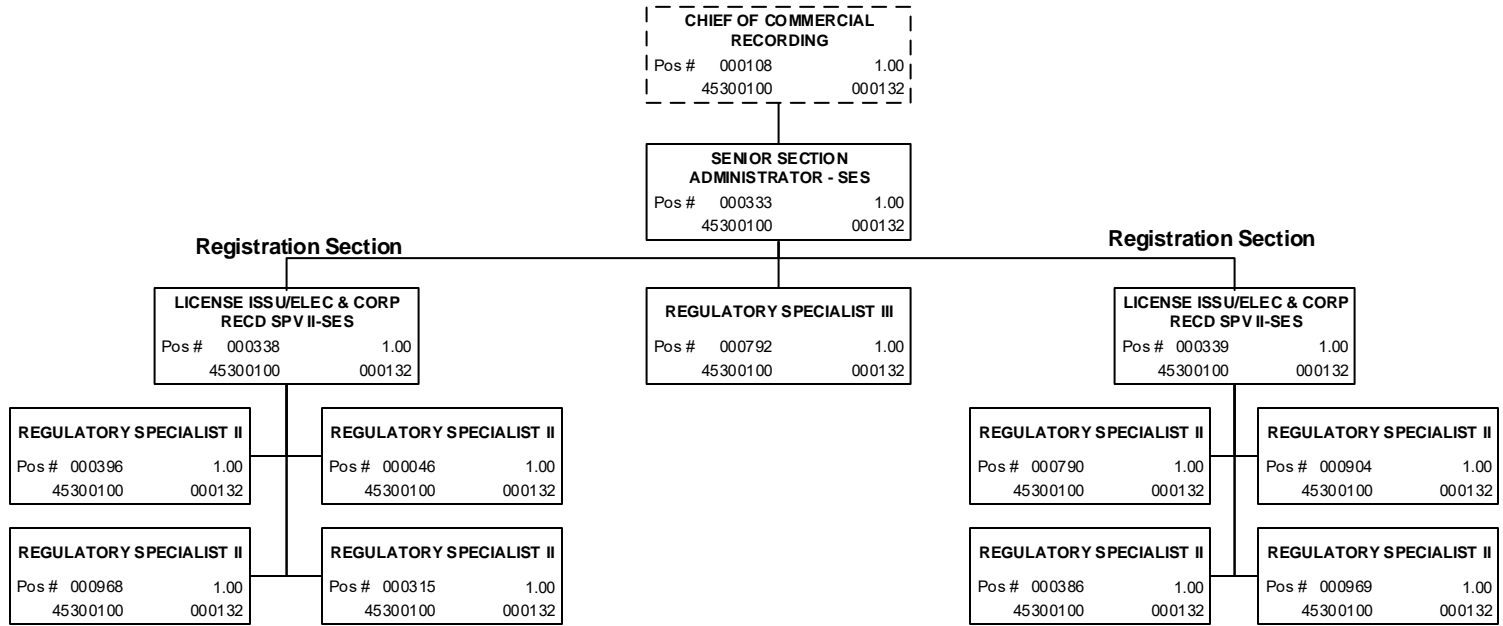
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Bureau of Commercial Recording
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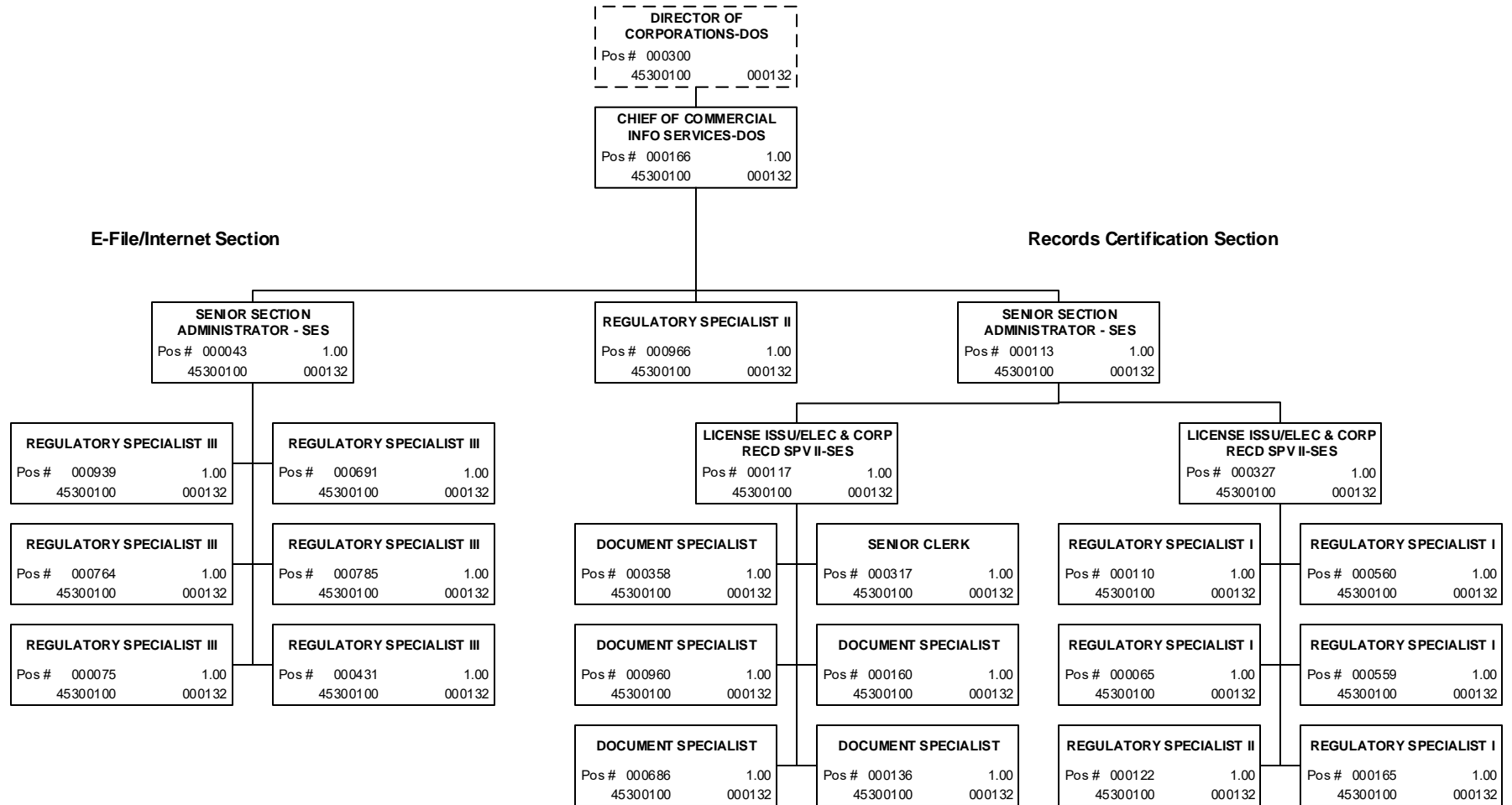
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Bureau of Commercial Recording
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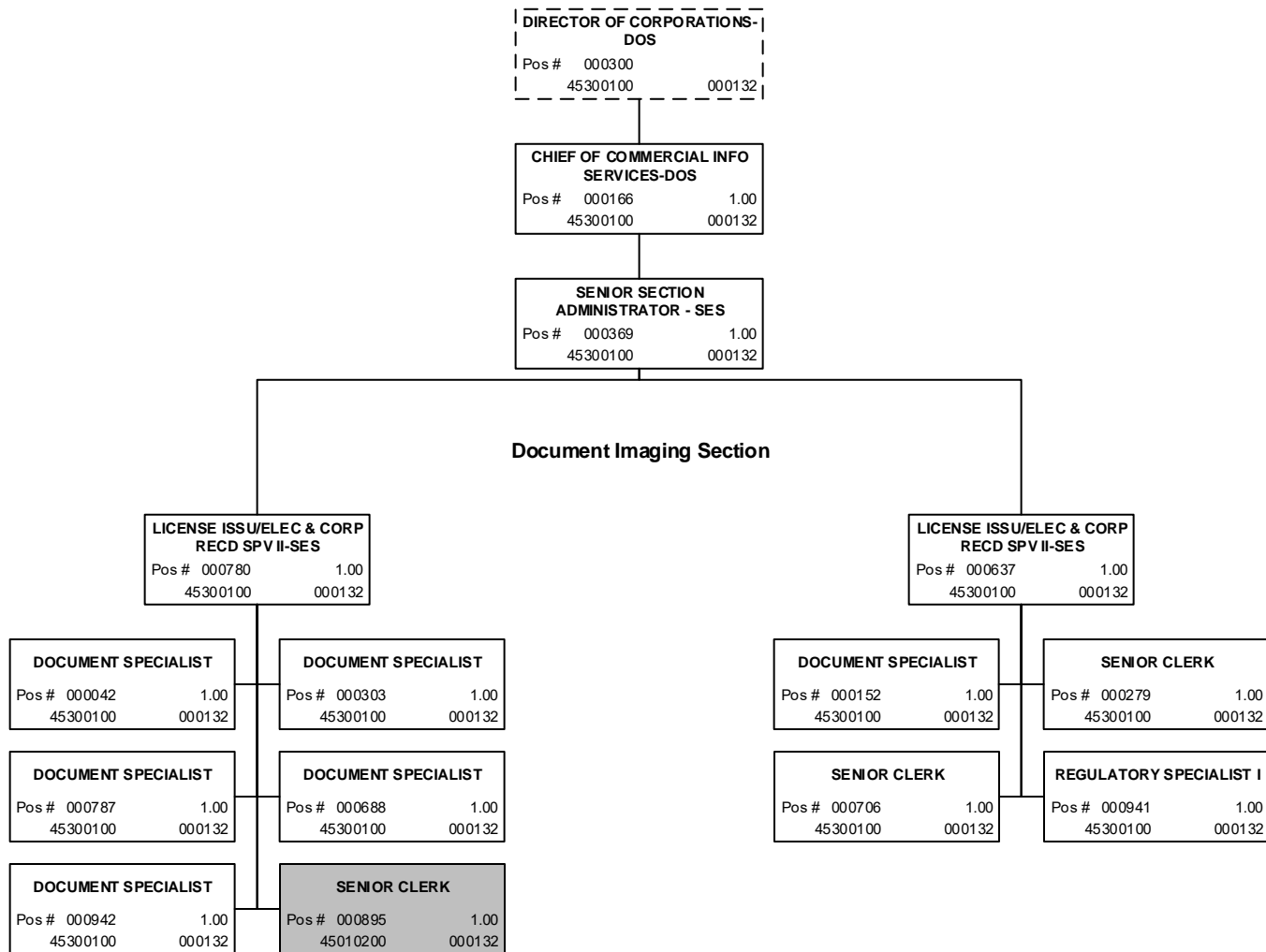
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Bureau of Commercial Recording
(Page 3 of 3)**



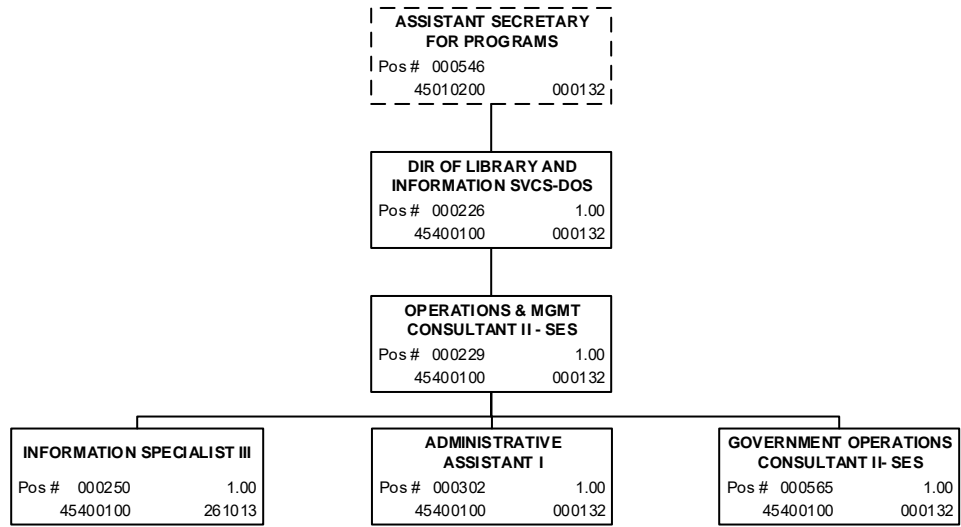
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
 (Page 1 of 2)



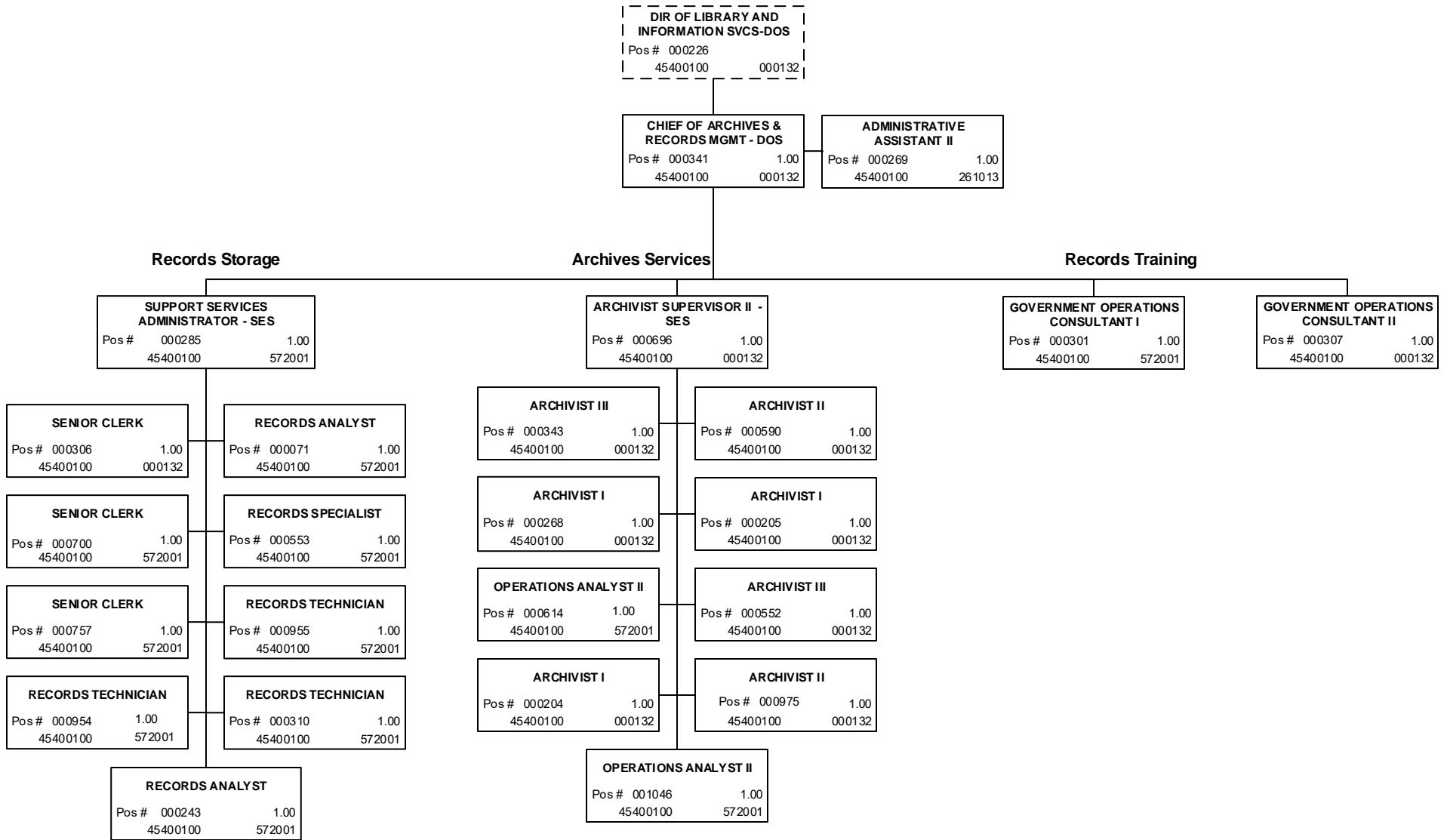
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
 (Page 2 of 2)



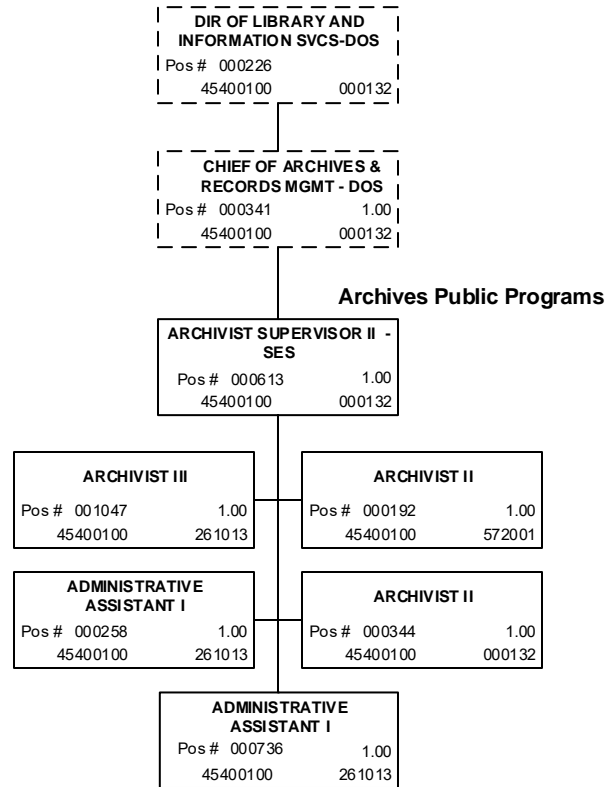
DIVISION OF LIBRARY AND INFORMATION SERVICES
Office of Division Director



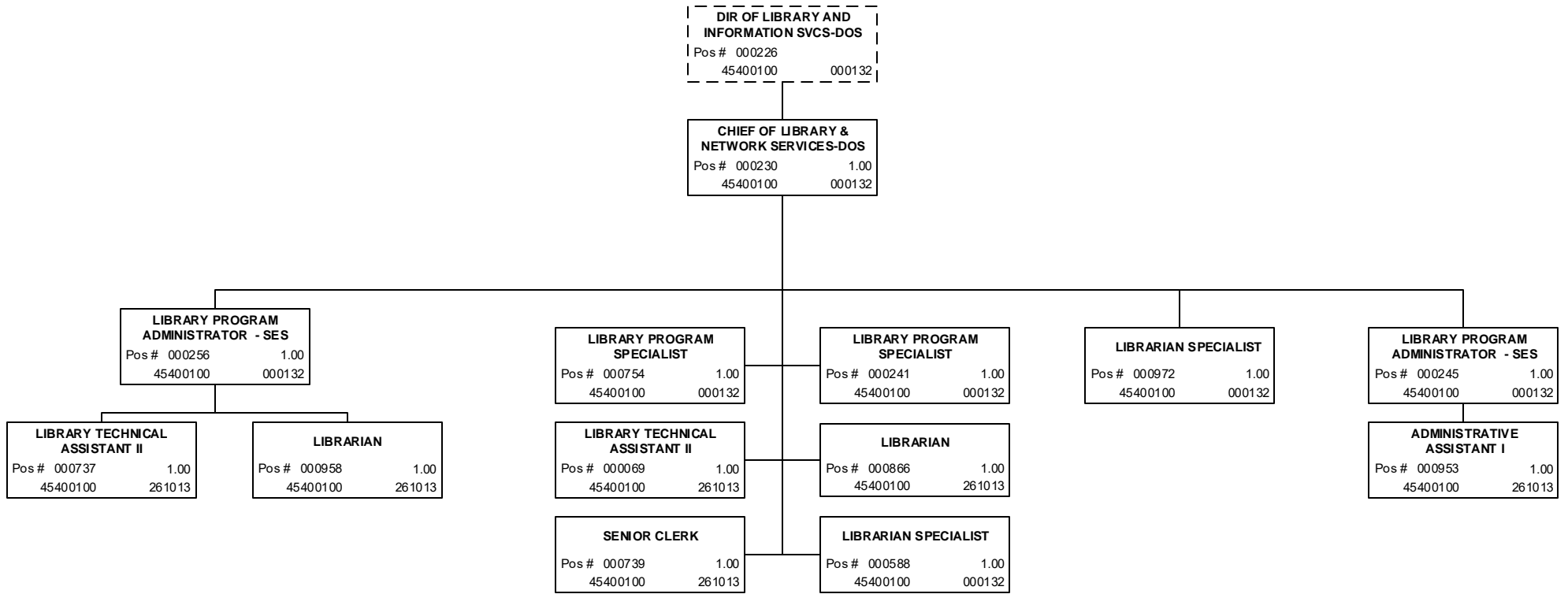
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management
 (Page 1 of 2)



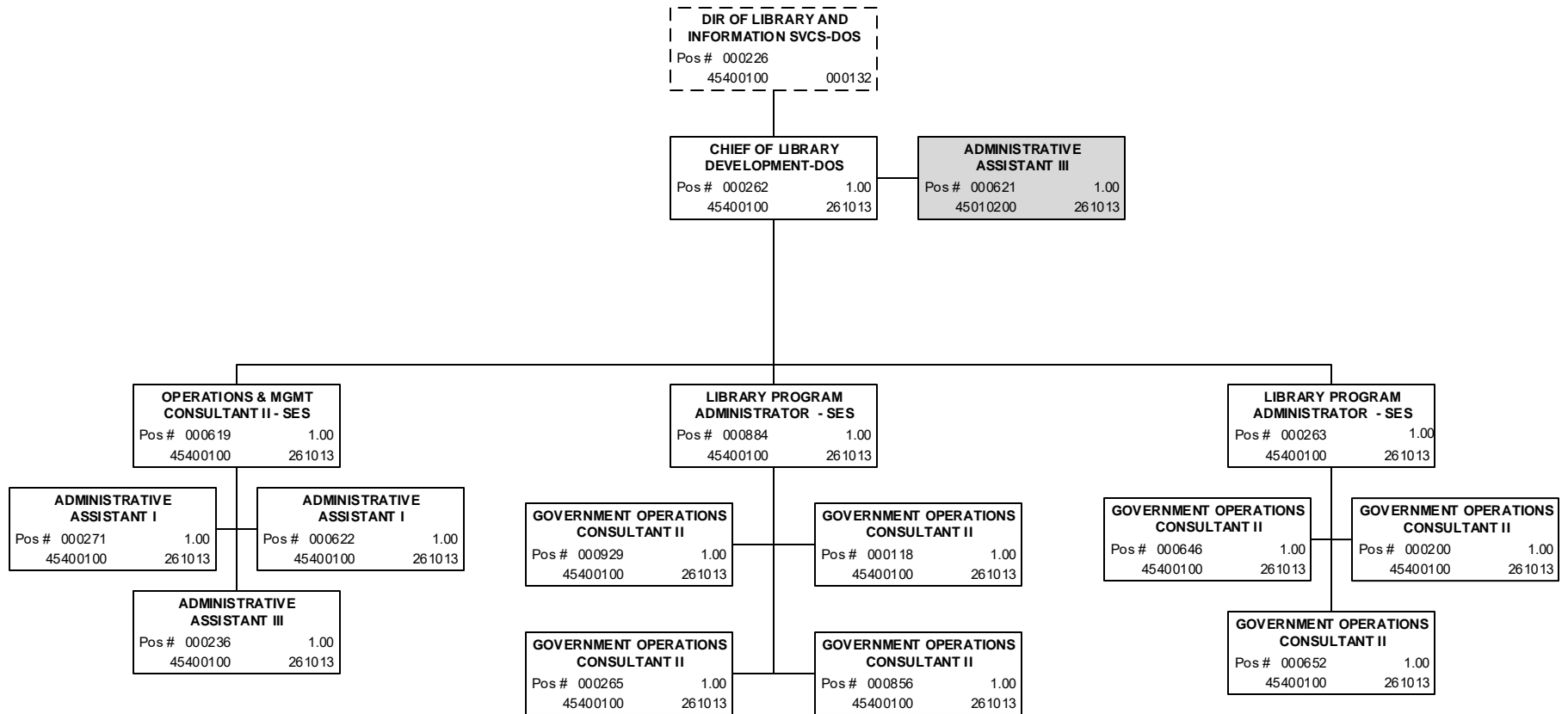
**DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management
(Page 2 of 2)**



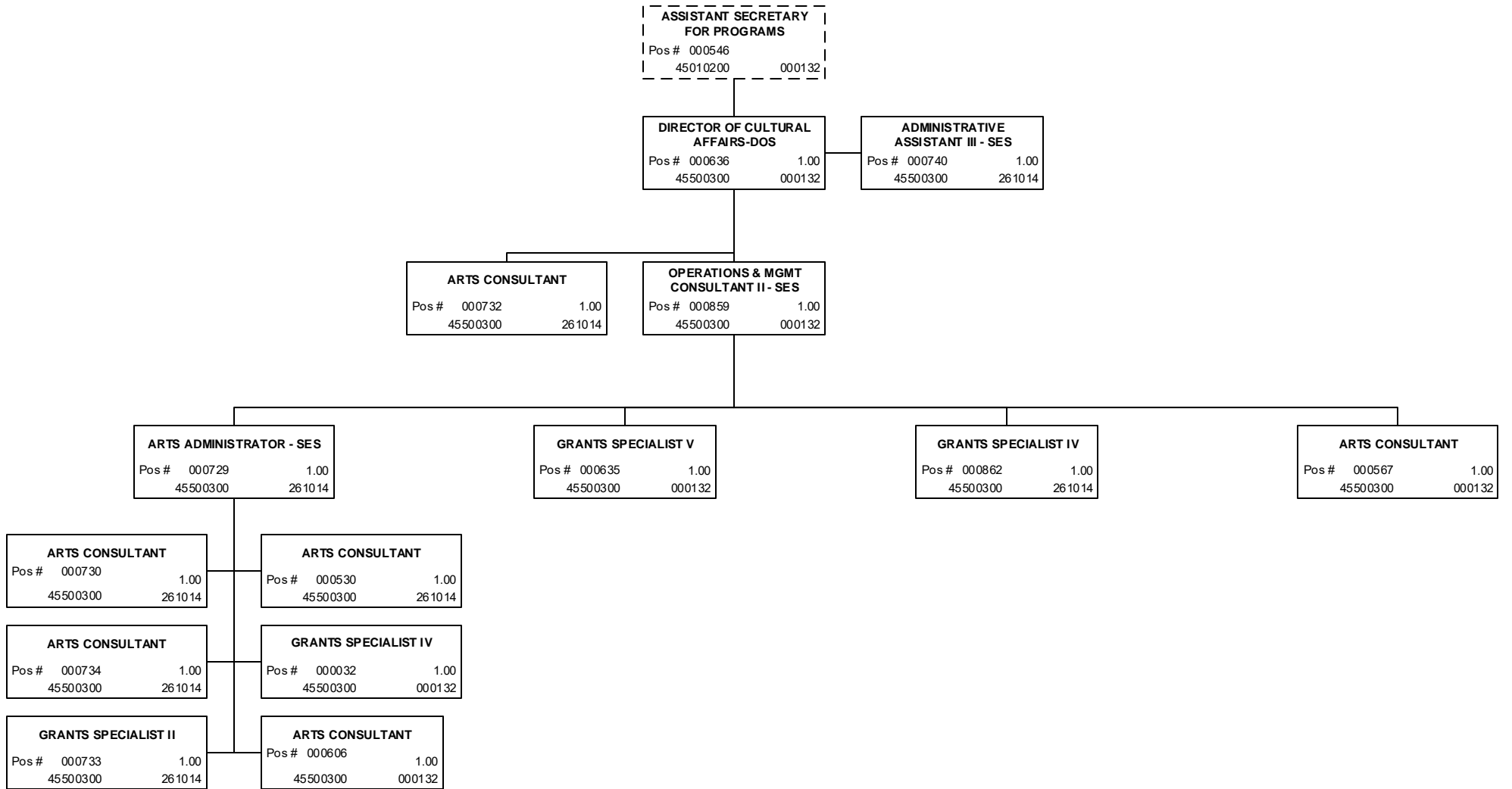
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library & Network Services



DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library Development



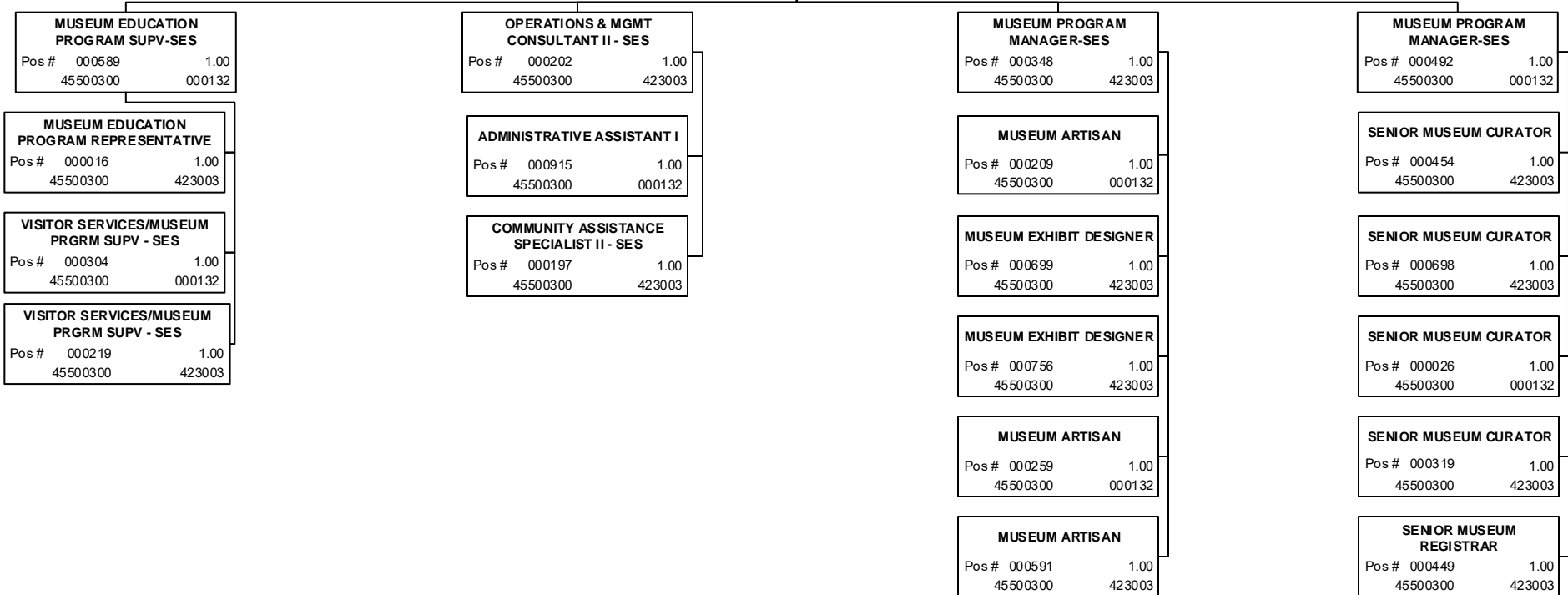
**DIVISION OF CULTURAL AFFAIRS
Office of Division Director**



**DIVISION OF CULTURAL AFFAIRS
Bureau of Historical Museums**

DIRECTOR OF CULTURAL
AFFAIRS-DOS
Pos # 000636
45500300 000132

CHIEF OF HISTORICAL
MUSEUMS-DOS
Pos # 000347 1.00
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SCHEDULE XIV

Variance from Long Range Financial Outlook

The Department will submit the Schedule XIV once the Long Range Financial Outlook Fiscal Years 2016-2017 through 2018-2019 has been approved by the Joint Legislative Budget Commission.

**SCHEDULE XV:
CONTRACT INFORMATION FOR EACH CONTRACT IN WHICH THE
CONSIDERATION TO BE PAID TO THE AGENCY IS A PERCENTAGE OF
THE VENDOR REVENUE AND IN EXCESS OF \$10 MILLION**

Contact Information
Agency: FLORIDA DEPARTMENT OF STATE
Name: BRENDA L. VORISEK, DIRECTOR, DIVISION OF CORPORATIONS
Phone: (850) 245-6911
E-mail address: Brenda.Vorisek@DOS.MyFlorida.com

1. Vendor Name		
Image API, Inc.		
2. Brief description of services provided by the vendor.		
Serves as the Filing Office/Officer for the Florida Secured Transaction Registry. Responsible for all Uniform Commercial Code filing activities. Duties include developing programs, maintaining databases and website, processing filings, depositing fees, and interacting with the public in person and via telephone.		
3. Contract terms and years remaining.		
January 1, 2017 – December 31, 2021		
4. Amount of revenue generated		
Prior Fiscal Year \$6,131,013 16/17	Current Fiscal Year \$6,131,013 17/18	Next Fiscal Year (Request Year) \$6,131,013 18/19
5. Amount of revenue remitted		
Prior Fiscal Year \$4,590,456 16/17	Current Fiscal Year \$4,590,715 17/18	Next Fiscal Year (Request Year) \$4,590,715 18/19
6. Value of capital improvement		
N/A		
7. Remaining amount of capital improvement		
N/A		
8. Amount of state appropriations		
Prior Fiscal Year N/A	Current Fiscal Year N/A	Next Fiscal Year (Request Year) N/A



FLORIDA DEPARTMENT *of* STATE

Budget Entity Level Exhibits and Schedules

Legislative Budget Request

FY 2018-2019



FLORIDA DEPARTMENT *of* STATE

Office of the Secretary & Administrative Services Schedule I Series

	COL A01	COL A02	COL A03	COL A04
	ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
	EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF				
PGM: SECRETARY/ADMIN SVCS	45000000			
EXECUTIVE DIR/SUPPORT SVCS	45010000			
	45010200			

FUND: FEDERAL GRANTS TRUST FUND 2261

SECTION I: DETAIL OF REVENUES

REVENUE CAP SVC	AUTH	MATCHING %	CFDA
CODE	CHG%	ST I/C LOC I/C	NO.

TOTAL TO LINE B IN SECTION IV

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

OBJECT CODE	TRANSFER TO BE	CFDA NO.
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04 BUDGET ENTITY TRANSFER IN 45100200/2261	810000 45010200	496,048- 1,245,366- 1,250,558-
05 BUDGET ENTITY TRANSFER IN 45400100/2261	810000 45010200	152,127- 186,089- 186,865-

TOTAL TO LINE E IN SECTION IV

SECTION III: ADJUSTMENTS

OBJECT CODE

TOTAL TO LINE H IN SECTION IV

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	648,175	1,431,455	1,437,423
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)	648,175-	1,431,455-	1,437,423-
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)			
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)			

				COL A01	COL A02	COL A03	COL A04
				ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
				EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000						
PGM: SECRETARY/ADMIN SVCS	45010000						
EXECUTIVE DIR/SUPPORT SVCS	45010200						
FUND: LAND ACQUISITION TF	2423						
SECTION I: DETAIL OF REVENUES							
	REVENUE	CAP SVC	AUTH	MATCHING %		CFDA	
	CODE	CHG%	ST	I/C	LOC	I/C	NO.
TOTAL TO LINE B IN SECTION IV							
SECTION II: DETAIL OF NONOPERATING EXPENDITURES							
	OBJECT	TRANSFER	CFDA				
	CODE	TO BE	NO.				
01 TRANSFER IN FROM 45200700/2423	810000	45010200	67,733-	67,733-	67,733-		
TOTAL TO LINE E IN SECTION IV							
SECTION III: ADJUSTMENTS							
	OBJECT						
	CODE						
TOTAL TO LINE H IN SECTION IV							
SECTION IV: SUMMARY							
UNRESERVED FUND BALANCE - JULY 1	(A)						
ADD: REVENUES (FROM SECTION I)	(B)						
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)						
LESS: OPERATING EXPENDITURES	(D)	67,733	67,733	67,733			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	67,733-	67,733-	67,733-			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)						
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)						
NET ADJUSTMENTS (FROM SECTION III)	(H)						
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)						

	COL A01 ACT PR YR EXP 2016-17	COL A02 CURR YR EST EXP 2017-18	COL A03 AGY REQUEST FY 2018-19	COL A04 AGY REQ N/R FY 2018-19
STATE, DEPT OF	45000000			
PGM: SECRETARY/ADMIN SVCS	45010000			
EXECUTIVE DIR/SUPPORT SVCS	45010200			

FUND: RECORDS MANAGEMENT TF 2572

SECTION I: DETAIL OF REVENUES

REVENUE CODE	CAP CHG%	SVC	AUTH ST	MATCHING % I/C LOC I/C	CFDA NO.
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TOTAL TO LINE B IN SECTION IV

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

OBJECT CODE	TRANSFER TO BE	CFDA NO.
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02 BUDGET ENTITY TRANSFER IN 45400100/2572

810000	45010200	86,965-	97,980-	98,348-
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TOTAL TO LINE E IN SECTION IV

86,965-	97,980-	98,348-
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SECTION III: ADJUSTMENTS

OBJECT CODE

TOTAL TO LINE H IN SECTION IV

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)			
ADD: REVENUES (FROM SECTION I)	(B)			
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			
LESS: OPERATING EXPENDITURES	(D)	86,965	97,980	98,348
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	86,965-	97,980-	98,348-
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)			
NET ADJUSTMENTS (FROM SECTION III)	(H)			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)			

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	3,181,007	(A)			3,181,007
ADD: Other Cash (See Instructions)	0	(B)			0
ADD: Investments	21,041,077	(C)			21,041,077
ADD: Outstanding Accounts Receivable	1,911	(D)			1,911
ADD: _____	240,950	(E)	(240,950)		0
Total Cash plus Accounts Receivable	24,464,945	(F)	(240,950)		24,223,995
LESS: Allowances for Uncollectibles	20	(G)			20
LESS: Approved "A" Certified Forwards	750,626	(H)			750,626
Approved "B" Certified Forwards	1,689,126	(H)	(72,341)		1,616,785
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Nonoperating)	10,113	(I)			10,113
LESS: _____	10,262	(J)			10,262
Unreserved Fund Balance, 07/01/17	22,004,797	(K)	(168,609)		21,836,188 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	45010200/45100200
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017	SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,771,750 (A)		1,771,750
ADD: Other Cash (See Instructions)			0
ADD: Investments	21,041,077 (C)		21,041,077
ADD: Outstanding Accounts Receivable	1,911 (D)		1,911
ADD: _____			0
Total Cash plus Accounts Receivable	22,814,738 (F)	0	22,814,738
LESS: Allowances for Uncollectibles	20 (G)		20
LESS: Approved "A" Certified Forwards	168,821 (H)		168,821
Approved "B" Certified Forwards	1,074,263 (H)	(49,488)	1,024,775
Approved "FCO" Certified Forwards			0
LESS: Other Accounts Payable (Nonoperating)	10,113 (I)		10,113
LESS: _____	10,262 (J)		10,262
Unreserved Fund Balance, 07/01/17	21,551,259 (K)	49,488	21,600,747 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	45010200/45400100
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,079,121	(A)			1,079,121
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	0	(D)			0
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	1,079,121	(F)	0		1,079,121
LESS: Allowances for Uncollectibles		(G)			0
LESS: Approved "A" Certified Forwards	351,573	(H)			351,573
Approved "B" Certified Forwards	593,861	(H)	(3,167)		590,694
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	0	(I)			0
LESS: _____	0	(J)			0
Unreserved Fund Balance, 07/01/17	133,687	(K)	3,167		136,854 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Grants and Donations
Budget Entity:	Combined
LAS/PBS Fund Number:	2339

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	482,879	(A)	(19,768)		463,111
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	1,558	(D)			1,558
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	484,437	(F)	(19,768)		464,669
LESS: Allowances for Uncollectibles	5,563	(G)			5,563
LESS: Approved "A" Certified Forwards	0	(H)			0
Approved "B" Certified Forwards	0	(H)			0
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Rounding	1	(J)			1
Unreserved Fund Balance, 07/01/17	478,873	(K)	(19,768)		459,105 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017



FLORIDA DEPARTMENT *of* STATE

Elections Schedule I Series

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: ELECTIONS	45100000				
ELECTIONS	45100200				
FUND: FEDERAL GRANTS TRUST FUND 2261					
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH MATCHING % CFDA				
	CODE CHG% ST I/C LOC I/C NO.				
02 INTEREST-STATE TREASURY					
	000504 NO 0.0 17.61 0.00 0.00	392,808	270,994	136,202	
TOTAL TO LINE B IN SECTION IV		392,808	270,994	136,202	
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
	OBJECT TRANSFER CFDA				
	CODE TO BE NO.				
03 TRANSFER TO FDLE, 2261, HAVA	811000 71700100	124,137	114,000	114,000	
13 BUDGET ENTITY TRANSFER OUT 45010200/2261	810000 45010200	496,048	1,245,366	1,250,558	
14 ASSESSMENT ON INVESTMENTS	840000	18,007	12,650	9,800	
TOTAL TO LINE E IN SECTION IV		638,192	1,372,016	1,374,358	
SECTION III: ADJUSTMENTS					
	OBJECT				
	CODE				
02 PY SWFS ADJUSTMENTS TO AP	991000	34,901-			
06 SEPTEMBER 2016 CF REVERSIONS	991000	134,154			
09 ESTIMATED SEPTEMBER 2017 CF REVERSIONS	991000		1,504,399		
10 ROUNDING	991000	1			
TOTAL TO LINE H IN SECTION IV		99,254	1,504,399		

	COL A01 ACT PR YR EXP 2016-17	COL A02 CURR YR EST EXP 2017-18	COL A03 AGY REQUEST FY 2018-19	COL A04 AGY REQ N/R FY 2018-19
STATE, DEPT OF	45000000			
PGM: ELECTIONS	45100000			
ELECTIONS	45100200			
FUND: FEDERAL GRANTS TRUST FUND	2261			

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)	31,821,266	21,600,747	12,579,729	
ADD: REVENUES (FROM SECTION I)	(B)	392,808	270,994	136,202	
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	32,214,074	21,871,741	12,715,931	
LESS: OPERATING EXPENDITURES	(D)	10,074,389	9,424,395	11,341,573	1,904,140
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	638,192	1,372,016	1,374,358	
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	21,501,493	11,075,330		
NET ADJUSTMENTS (FROM SECTION III)	(H)	99,254	1,504,399		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	21,600,747	12,579,729		

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE(S)	RESTRICTED(R)			
	NONSTATE(N)	UNRESTRICTED(U)			
01 FEDERAL HELP AMERICA VOTE ACT	N	R	21,600,747	12,579,729	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			21,600,747	12,579,729	

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	45010200/45100200
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,771,750	(A)			1,771,750
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	21,041,077	(C)			21,041,077
ADD: Outstanding Accounts Receivable	1,911	(D)			1,911
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	22,814,738	(F)	0		22,814,738
LESS: Allowances for Uncollectibles	20	(G)			20
LESS: Approved "A" Certified Forwards	168,821	(H)			168,821
Approved "B" Certified Forwards	1,074,263	(H)	(49,488)		1,024,775
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	10,113	(I)			10,113
LESS: _____	10,262	(J)			10,262
Unreserved Fund Balance, 07/01/17	21,551,259	(K)	49,488		21,600,747 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018-19
Trust Fund Title:	Department of State
Budget Entity:	Clearing Fund Trust Fund - Elections
LAS/PBS Fund Number:	45100200
	2537

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,773,796	(A)	17,323		2,791,120
ADD: Other Cash (See Instructions)	0	(B)	0		0
ADD: Investments	0	(C)	0		0
ADD: Outstanding Accounts Receivable	2,132	(D)	(2,132)		0
ADD: _____	0	(E)	0		0
Total Cash plus Accounts Receivable	2,775,928	(F)	15,191		2,791,120
LESS: Allowances for Uncollectibles	0	(G)	0		0
LESS: "A" Carry Forwards	0	(H)	0		0
"B" Carry Forwards	0	(H)	0		0
Approved "FCO" Certified Forwards	0	(H)	0		0
LESS: Other Accounts Payable (Non-operating)	0	(I)	218,967		218,967
LESS: _____	0	(J)	0		0
Unreserved Fund Balance, 07/01/2017	2,775,928	(K)	(203,776)		2,572,153 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.



FLORIDA DEPARTMENT *of* STATE

Historical Resources Schedule I Series

										COL A01	COL A02	COL A03	COL A04
										ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
										EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000												
PGM: HISTORICAL RESOURCES	45200000												
HISTORICAL RESOURCES	45200700												
FUND: FEDERAL GRANTS TRUST FUND 2261													
SECTION I: DETAIL OF REVENUES													
	REVENUE	CAP	SVC	AUTH	MATCHING %		CFDA						
	CODE		CHG%	ST	I/C	LOC	I/C	NO.					
05 DOT TRANSFER IN	001510	NO	0.0	267.031	0.00	0.00	20.205		240,950	240,950			
07 NAT'L PARK SERVICE	000700	NO	0.0	267.031	60.00	C	40.00	C 15.904	1,104,282	1,057,254	1,057,254		
10 NAT'L ENDOWMENT F/ARTS	000700	NO	0.0	267.031	0.00	0.00	45.025		49,717	37,500	37,500		
30 NATIONAL MARITIME HERITAGE GRANT	000700	NO	0.0	267.031	0.00	100.00	C 15.925			116,510	116,510		
31 STATE FEES	000100	YES	0.0	267.031	0.00	0.00				10,000	10,000		
TOTAL TO LINE B IN SECTION IV										1,153,999	1,462,214	1,462,214	
SECTION II: DETAIL OF NONOPERATING EXPENDITURES													
	OBJECT	TRANSFER	CFDA										
	CODE	TO BE	NO.										
TOTAL TO LINE E IN SECTION IV													
SECTION III: ADJUSTMENTS													
	OBJECT												
	CODE												
01 ROUNDING	991000										1		
02 SEPTEMBER 2016 CERT FORWARD/REVERSIONS	991000										23,358		
04 ADJ LINE A-PR YR CF "B" ENCUM	991000										1,316-		
06 SWFS ADJUSTMENT #B4500003-ADJ TF FROM DOT	991000										240,950		
TOTAL TO LINE H IN SECTION IV										262,993			

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: HISTORICAL RESOURCES	45200000				
HISTORICAL RESOURCES	45200700				
FUND: FEDERAL GRANTS TRUST FUND	2261				

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)	1,196	47,364	110,294
ADD: REVENUES (FROM SECTION I)	(B)	1,153,999	1,462,214	1,462,214
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	1,155,195	1,509,578	1,572,508
LESS: OPERATING EXPENDITURES	(D)	1,370,824	1,399,284	1,401,507
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	215,629-	110,294	171,001
NET ADJUSTMENTS (FROM SECTION III)	(H)	262,993		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	47,364	110,294	171,001

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE (S)	RESTRICTED (R)			
	NONSTATE (N)	UNRESTRICTED (U)			
02 NATIONAL PARK SERVICE	N	R	47,364	110,294	171,001
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			47,364	110,294	171,001

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: HISTORICAL RESOURCES	45200000				
HISTORICAL RESOURCES	45200700				
FUND: GRANTS AND DONATIONS TF 2339					
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH MATCHING % CFDA				
	CODE CHG% ST I/C LOC I/C NO.				
51 BP VIVA FLORIDA GRANT	001111 NO 0.0 265 0.00 0.00	1,999			
52 BP SHIPWRECK TRAIL GRANT	001111 NO 0.0 267 0.00 0.00		50,000		
TOTAL TO LINE B IN SECTION IV		1,999	50,000		
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
	OBJECT TRANSFER CFDA				
	CODE TO BE NO.				
01 SERVICE CHARGE TO GENERAL REVENUE	880800	922	4,828		
17 BUDGET ENTITY TRANSFER OUT, 2339	810000 45500300	4,090,366	40,895		
TOTAL TO LINE E IN SECTION IV		4,091,288	45,723		
SECTION III: ADJUSTMENTS					
	OBJECT				
	CODE				
02 ROUNDING	991000	1-			
28 SEPTEMBER 2016 CERT FORWARD REVERSIONS	991000	35,756			
TOTAL TO LINE H IN SECTION IV		35,755			
SECTION IV: SUMMARY					
UNRESERVED FUND BALANCE - JULY 1	(A)	4,129,948		4,277	
ADD: REVENUES (FROM SECTION I)	(B)	1,999	50,000		
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	4,131,947	50,000	4,277	
LESS: OPERATING EXPENDITURES	(D)	76,414			
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	4,091,288	45,723		
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	35,755-	4,277	4,277	
NET ADJUSTMENTS (FROM SECTION III)	(H)	35,755			

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: HISTORICAL RESOURCES	45200000				
HISTORICAL RESOURCES	45200700				
FUND: GRANTS AND DONATIONS TF	2339				

SECTION IV: SUMMARY

ADJUSTED UNRESERVED FUND BALANCE - JUNE 30 (I) 4,277 4,277

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE			
	STATE (S)	RESTRICTED (R)		
	NONSTATE (N)	UNRESTRICTED (U)		
01 TRANSFER IN FROM DEP, CARL FUNDS	S	U	4,277	4,277
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			4,277	4,277

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: HISTORICAL RESOURCES	45200000				
HISTORICAL RESOURCES	45200700				
FUND: LAND ACQUISITION TF	2423				
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH MATCHING % CFDA				
	CODE CHG% ST I/C LOC I/C NO.				
01 PRIOR YR REFUNDS	001800 NO 0.0 216 0.00 0.00	8,128			
02 ROYALTIES	000115 NO 8.0 267.031 0.00 0.00	356			
03 RESTITUTION PENALTIES FINES	001200 NO 0.0 216 0.00 0.00	1,000			
04 INTEREST GRANTS REVENUE	000500 NO 0.0 216 0.00 0.00	6,731			
07 LAND ACQUISITION TRUST FUND-DEP	001500 NO 0.0 20.106 0.00 0.00	8,813,906	10,603,284	9,745,118	
TOTAL TO LINE B IN SECTION IV		8,830,121	10,603,284	9,745,118	
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
	OBJECT TRANSFER CFDA				
	CODE TO BE NO.				
08 TRANSFER TO GENERAL REVENUE-SERV CHRG	880800	469			
09 BUDGET ENTITY TRANSFER OUT 45500300/2423	810000 45500300	1,410,614	1,521,054	1,526,108	
10 BUDGET ENTITY TRANSFER OUT 45010200/2423	810000 45010200	67,733	67,733	67,733	
11 5% TRUST FUND RESERVE	999000			487,256	
13 TRANSFER TO DEP FOR REVERSIONS	810000	815,141			
TOTAL TO LINE E IN SECTION IV		2,293,957	1,588,787	2,081,097	
SECTION III: ADJUSTMENTS					
	OBJECT				
	CODE				
01 2016 CF REVERSIONS	991000	210,774			
04 APPROVED FCO ITEMS	991000		1,573,095-		
TOTAL TO LINE H IN SECTION IV		210,774	1,573,095-		

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: HISTORICAL RESOURCES	45200000				
HISTORICAL RESOURCES	45200700				
FUND: LAND ACQUISITION TF	2423				

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)	3,538,550	2,802,174	2,448,423	
ADD: REVENUES (FROM SECTION I)	(B)	8,830,121	10,603,284	9,745,118	
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	12,368,671	13,405,458	12,193,541	
LESS: OPERATING EXPENDITURES	(D)	7,483,314	7,795,153	9,279,931	1,468,330
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	2,293,957	1,588,787	2,081,097	
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	2,591,400	4,021,518	832,513	
NET ADJUSTMENTS (FROM SECTION III)	(H)	210,774	1,573,095-		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	2,802,174	2,448,423	832,513	

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE (S)	RESTRICTED (R)			
	NONSTATE (N)	UNRESTRICTED (U)			
01 TRANSFER IN DEP LAND MANAGEMENT	S	U	2,802,174	2,448,423	832,513
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			2,802,174	2,448,423	832,513

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	45200700
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	222,151	(A)			222,151
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	0	(D)			0
ADD: _____	240,950	(E)	(240,950)		0
Total Cash plus Accounts Receivable	463,101	(F)	(240,950)		222,151
LESS: Allowances for Uncollectibles		(G)			0
LESS: Approved "A" Certified Forwards	173,471	(H)			173,471
Approved "B" Certified Forwards	1,316	(H)			1,316
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)	0	(I)			0
LESS: _____	0	(J)			0
Unreserved Fund Balance, 07/01/17	288,314	(K)	(240,950)		47,364 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Land Acquisition Trust Fund
Budget Entity:	45010200/45200700/45500300
LAS/PBS Fund Number:	2423

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	2,819,122	(A)	1,361,503		4,180,625
ADD: Other Cash (See Instructions)	0	(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	0	(D)			0
ADD: _____	0	(E)			0
Total Cash plus Accounts Receivable	2,819,122	(F)	1,361,503		4,180,625
LESS: Allowances for Uncollectibles	0	(G)			0
LESS: Approved "A" Certified Forwards	894,158	(H)			894,158
Approved "B" Certified Forwards	484,292	(H)			484,292
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: _____	0	(J)			0
Unreserved Fund Balance, 07/01/17	1,440,671	(K)	1,361,503		2,802,174 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Grants and Donations
Budget Entity:	Combined
LAS/PBS Fund Number:	2339

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	482,879	(A)	(19,768)		463,111
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	1,558	(D)			1,558
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	484,437	(F)	(19,768)		464,669
LESS: Allowances for Uncollectibles	5,563	(G)			5,563
LESS: Approved "A" Certified Forwards	0	(H)			0
Approved "B" Certified Forwards	0	(H)			0
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: Rounding	1	(J)			1
Unreserved Fund Balance, 07/01/17	478,873	(K)	(19,768)		459,105 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017



FLORIDA DEPARTMENT *of* STATE

Library & Information Services Schedule I Series

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: LIBRARY/INFO SVCS	45400000				
LIBRARY/ARCHIVES/INFO SVCS	45400100				
FUND: FEDERAL GRANTS TRUST FUND 2261					
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH	MATCHING %		CFDA	
	CODE CHG%	ST	I/C LOC I/C	NO.	
12	PRIOR YEAR ADJUSTING ENTRY				
	000100 YES 0.0	216.177	0.00 0.00	513	
22	INSTITUTE OF MUSEUM & LIBRARY SRV				
	000700 NO 0.0	257.12	0.00 0.00	45.310	
23	INTERST-GRANTS REVENUE-(FEDERAL)				
	000504 NO 0.0	257.12	0.00 0.00		
TOTAL TO LINE B IN SECTION IV					
		8,242,438	8,960,979	8,960,979	
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
	OBJECT TRANSFER CFDA				
	CODE TO BE NO.				
27	BUDGET ENTITY TRANSFER OUT 45010200/2261	810000	45010200		
		152,127	186,089	186,865	
TOTAL TO LINE E IN SECTION IV					
		152,127	186,089	186,865	
SECTION III: ADJUSTMENTS					
	OBJECT				
	CODE				
11	ROUNDING	991000			
28	SEPTEMBER 2016 CF REVERSIONS	991000	3-		
29	ADJ TO LINE A-PY CF ENCUMBRANCES	991000	92,277		
31	ESTIMATED CF REVERSIONS ADJ TO RECONCILE	991000	120,557-		
TOTAL TO LINE H IN SECTION IV					
		28,283-	133,954		

	COL A01 ACT PR YR EXP 2016-17	COL A02 CURR YR EST EXP 2017-18	COL A03 AGY REQUEST FY 2018-19	COL A04 AGY REQ N/R FY 2018-19
STATE, DEPT OF	45000000			
PGM: LIBRARY/INFO SVCS	45400000			
LIBRARY/ARCHIVES/INFO SVCS	45400100			
FUND: FEDERAL GRANTS TRUST FUND	2261			

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)	276,110	136,854	52,164
ADD: REVENUES (FROM SECTION I)	(B)	8,242,438	8,960,979	8,960,979
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	8,518,548	9,097,833	9,013,143
LESS: OPERATING EXPENDITURES	(D)	8,201,284	8,993,534	8,203,067
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	152,127	186,089	186,865
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	165,137	81,790-	623,211
NET ADJUSTMENTS (FROM SECTION III)	(H)	28,283-	133,954	
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	136,854	52,164	623,211

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE (S) NONSTATE (N)	RESTRICTED (R) UNRESTRICTED (U)			
02 LIBRARY SERVICES AND TECHNOLOGY ACT	N	R	136,854	52,164	623,211
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			136,854	52,164	623,211

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: LIBRARY/INFO SVCS	45400000				
LIBRARY/ARCHIVES/INFO SVCS	45400100				

FUND: RECORDS MANAGEMENT TF 2572

SECTION I: DETAIL OF REVENUES

REVENUE CODE	CAP	SVC CHG%	AUTH	MATCHING %	CFDA NO.	COL A01	COL A02	COL A03	COL A04
			ST	I/C LOC I/C					
25 PRIOR YR REFUND/REC MGT									
001800 NO 0.0			216	0.00		163			
28 PENALTIES-NSF									
001202 NO 0.0			257.375	0.00		15			
41 ADV FL ADM REGISTER-STA									
001903 NO 0.0			120.55	0.00		637,896	387,338	387,338	
42 ADV FL ADM REGISTER-NS									
001905 YES 8.0			120.55	0.00		270,038	270,038	270,038	
43 MICRO/ARCHIVAL STOR-STA									
001905 YES 0.0			257.375	0.00		361,280	571,386	571,386	
44 MICRO/ARCHIVAL STOR-NS									
001905 YES 8.0			257.375	0.00		316,168	416,168	416,168	
45 CERT/COPIES/ADM REG-STA									
001903 NO 0.0			120.55	0.00		1,355			
46 CERT/COPIES/AD REG-NS									
001904 NO 8.0			257.375	0.00		2,063	3,633	3,633	
47 RECYCLING/REC MGMT-STA									
001903 NO 0.0			257.375	0.00		75			
49 PRIOR YEAR ADJUSTING ENTRY									
000100 YES 0.0			216.177	0.00		178,962			
50 FEES									
000100 YES 0.0			257	0.00		14			
TOTAL TO LINE B IN SECTION IV						1,768,029	1,648,563	1,648,563	

SECTION II: DETAIL OF NONOPERATING EXPENDITURES

OBJECT CODE	TRANSFER TO BE	CFDA NO.	COL A01	COL A02	COL A03	COL A04
18 SERVICE CHARGE TO GENERAL REVENUE			880800			36,169
19 REFUND OF STATE REVENUES			860000			3,635
20 BUDGET ENTITY TRANSFER OUT 45010200/2572	45010200		810000			86,965
22 REFUND OF NONSTATE REVENUES			860000			450
TOTAL TO LINE E IN SECTION IV						97,980
						98,348

		COL A01 ACT PR YR EXP 2016-17	COL A02 CURR YR EST EXP 2017-18	COL A03 AGY REQUEST FY 2018-19	COL A04 AGY REQ N/R FY 2018-19
STATE, DEPT OF	45000000				
PGM: LIBRARY/INFO SVCS	45400000				
LIBRARY/ARCHIVES/INFO SVCS	45400100				
FUND: RECORDS MANAGEMENT TF	2572				

SECTION III: ADJUSTMENTS

	OBJECT CODE				
10 ADJ LINE A-PRIOR YR CF "B" ENCUM	991000	161,749-			
13 SWFS ADJ TO ADJUST NET ASSET UNRESTRICTED	991000	2,126-			
14 SWFS ADJ TO ADJUST FOR SVC CHG TO GR	991000	9,111-			
TOTAL TO LINE H IN SECTION IV		172,986-			

SECTION IV: SUMMARY

UNRESERVED FUND BALANCE - JULY 1	(A)	1,468,982	1,291,406	1,043,965
ADD: REVENUES (FROM SECTION I)	(B)	1,768,029	1,648,563	1,648,563
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	3,237,011	2,939,969	2,692,528
LESS: OPERATING EXPENDITURES	(D)	1,645,400	1,798,024	1,804,958
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)	127,219	97,980	98,348
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	1,464,392	1,043,965	789,222
NET ADJUSTMENTS (FROM SECTION III)	(H)	172,986-		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	1,291,406	1,043,965	789,222

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE (S)	RESTRICTED (R)			
	NONSTATE (N)	UNRESTRICTED (U)			
58 ADMINISTRATIVE REGISTER/ARCHIVES	S	R	1,291,406	1,043,965	789,222
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			1,291,406	1,043,965	789,222

SCHEDULE 1A: DETAIL OF FEES AND RELATED PROGRAM COSTS

Department: 45 State **Budget Period: 2018-19**
Program: 0309.00.00.00 Educational Support
Fund: 2572 Records Mgmt Trust Fund

Specific Authority: Chapters 120.55 and 257.375, F.S.
Purpose of Fees Collected: Funds deposited in the Records Management Trust Fund shall be used to support programs of State Archives, Records and Info Management and Administrative Code/Register/Laws.

Type of Fee or Program: (Check **ONE** Box and answer questions as indicated.)

<input type="checkbox"/>	Regulatory services or oversight to businesses or professions. (Complete Sections I, II, and III and attach Examination of Regulatory Fees Form - Part I and II.)
<input checked="" type="checkbox"/>	Non-regulatory fees authorized to cover full cost of conducting a specific program or service. (Complete Sections I, II, and III only.)

<u>SECTION I - FEE COLLECTION</u>	<u>ACTUAL</u>	<u>ESTIMATED</u>	<u>REQUEST</u>
	<u>FY 2016 - 17</u>	<u>FY 2017-18</u>	<u>FY 2018-19</u>
<u>Receipts:</u>			
Records/Microfilm/Media Storage	856,410	916,346	916,346
Advertising/Fla Administrative Register	907,934	657,376	657,376
Cert Copies/Royalties/Recycling/Misc	3,522	74,841	74,841
Prior Year Refunds	163		
Total Fee Collection to Line (A) - Section I	1,768,029	1,648,563	1,648,563

<u>SECTION II - FULL COSTS</u>			
<u>Direct Costs:</u>			
Salaries and Benefits	1,074,333	1,071,314	1,071,314
Other Personal Services	132,939	89,284	89,284
Expenses	263,066	206,453	206,453
Operating Capital Outlay	3,036	6,977	6,977
Contracted Services	244,768	277,844	277,844
Lease/Purchase/Equipment	2,715	2,706	2,706
TR/DMS/HR Svcs/ STW Contract	7,850	7,697	7,697
Indirect Costs Charged to Trust Fund	162,585	40,254	40,254
Total Full Costs to Line (B) - Section II	1,891,292	1,702,529	1,702,529

Basis Used: I. Estimated is average of last 3 fiscal year's collected amounts.
II. Estimated is CY Appropriated amounts less est FY16-17 Reversions.

<u>SECTION III - SUMMARY</u>			
TOTAL SECTION I	(A)	1,768,029	1,648,563
TOTAL SECTION II	(B)	1,891,292	1,702,529
TOTAL - Surplus/Deficit	(C)	(123,263)	(53,966)

EXPLANATION of LINE C:

III. Deficit is representative of lag time between collections of billed amounts.

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Records Management
Budget Entity:	45400100
LAS/PBS Fund Number:	2572

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,226,396	(A)			1,226,396
ADD: Other Cash (See Instructions)	0	(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	132,418	(D)			132,418
ADD: Other Current Assets	5,791	(E)			5,791
Total Cash plus Accounts Receivable	1,364,605	(F)	0		1,364,605
LESS: Allowances for Uncollectibles	0	(G)			0
LESS: Approved "A" Certified Forwards	22,022	(H)			22,022
Approved "B" Certified Forwards	39,940	(H)			39,940
Approved "FCO" Certified Forwards	0	(H)			0
LESS: Other Accounts Payable (Nonoperating)	0	(I)	2,126		2,126
LESS: _____	0	(J)	9,111		9,111
Unreserved Fund Balance, 07/01/17	1,302,643	(K)	(11,237)		1,291,406 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Department Title:	Budget Period: 2018 - 2019
Trust Fund Title:	Department of State
Budget Entity:	Federal Grants Trust Fund
LAS/PBS Fund Number:	45010200/45400100
	2261

	Balance as of 6/30/2017		SWFS* Adjustments	Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	1,079,121	(A)		1,079,121
ADD: Other Cash (See Instructions)		(B)		0
ADD: Investments	0	(C)		0
ADD: Outstanding Accounts Receivable	0	(D)		0
ADD: _____		(E)		0
Total Cash plus Accounts Receivable	1,079,121	(F)	0	1,079,121
LESS: Allowances for Uncollectibles		(G)		0
LESS: Approved "A" Certified Forwards	351,573	(H)		351,573
Approved "B" Certified Forwards	593,861	(H)	(3,167)	590,694
Approved "FCO" Certified Forwards		(H)		0
LESS: Other Accounts Payable (Nonoperating)	0	(I)		0
LESS: _____	0	(J)		0
Unreserved Fund Balance, 07/01/17	133,687	(K)	3,167	136,854 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017



FLORIDA DEPARTMENT *of* STATE

Cultural Affairs Schedule I Series

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: CULTURAL AFFAIRS	45500000				
CULTURAL AFFAIRS	45500300				
FUND: FEDERAL GRANTS TRUST FUND 2261					
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH MATCHING % CFDA				
	CODE CHG% ST I/C LOC I/C NO.				
11 NAT'L ENDOWMENT FOR THE ARTS					
	000700 NO 0.0 265.606 25.00 C 25.00 C 45.025	799,760	793,800	793,800	
TOTAL TO LINE B IN SECTION IV		799,760	793,800	793,800	
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
	OBJECT TRANSFER CFDA				
	CODE TO BE NO.				
TOTAL TO LINE E IN SECTION IV					
SECTION III: ADJUSTMENTS					
	OBJECT				
	CODE				
02 SEPTEMBER 2016- CERT FORWARD/ REVERSIONS	991000	15,525			
TOTAL TO LINE H IN SECTION IV		15,525			
SECTION IV: SUMMARY					
UNRESERVED FUND BALANCE - JULY 1	(A)	32,087	51,223	104,350	
ADD: REVENUES (FROM SECTION I)	(B)	799,760	793,800	793,800	
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)	831,847	845,023	898,150	
LESS: OPERATING EXPENDITURES	(D)	796,149	740,673	743,807	
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)				
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)				
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)	35,698	104,350	154,343	
NET ADJUSTMENTS (FROM SECTION III)	(H)	15,525			
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)	51,223	104,350	154,343	

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: CULTURAL AFFAIRS	45500000				
CULTURAL AFFAIRS	45500300				
FUND: FEDERAL GRANTS TRUST FUND	2261				

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE				
	STATE(S)	RESTRICTED(R)			
	NONSTATE(N)	UNRESTRICTED(U)			
01 NATIONAL ENDOWMENT FOR THE ARTS	N	R	51,223	104,350	154,343
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			51,223	104,350	154,343

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: CULTURAL AFFAIRS	45500000				
CULTURAL AFFAIRS	45500300				
FUND: GRANTS AND DONATIONS TF 2339					
SECTION I: DETAIL OF REVENUES					
	REVENUE CAP SVC AUTH		MATCHING %		CFDA
	CODE CHG%	ST	I/C LOC I/C		NO.
TOTAL TO LINE B IN SECTION IV					
SECTION II: DETAIL OF NONOPERATING EXPENDITURES					
		OBJECT	TRANSFER		CFDA
		CODE	TO BE		NO.
01 BUDGET ENTITY TRANSFER IN 45200700/2339		810000	45500300	4,090,366-	40,895-
TOTAL TO LINE E IN SECTION IV					
SECTION III: ADJUSTMENTS					
		OBJECT			
		CODE			
02 FCO PY APPROPRIATION		991000		500,000-	
TOTAL TO LINE H IN SECTION IV					
SECTION IV: SUMMARY					
UNRESERVED FUND BALANCE - JULY 1	(A)			459,105	
ADD: REVENUES (FROM SECTION I)	(B)				
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)			459,105	
LESS: OPERATING EXPENDITURES	(D)				
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)			3,631,261	
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)			4,090,366-	40,895-
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)			459,105	500,000
NET ADJUSTMENTS (FROM SECTION III)	(H)				500,000-
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)			459,105	

		COL A01	COL A02	COL A03	COL A04
		ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
		EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000				
PGM: CULTURAL AFFAIRS	45500000				
CULTURAL AFFAIRS	45500300				
FUND: GRANTS AND DONATIONS TF	2339				

SCHEDULE IB: DETAIL OF UNRESERVED FUND BALANCE

	FUNDING SOURCE		
	STATE (S)	RESTRICTED (R)	
	NONSTATE (N)	UNRESTRICTED (U)	
01 GRANTS- CULTURAL FACILITIES	S	U	459,105
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30			459,105

				COL A01	COL A02	COL A03	COL A04
				ACT PR YR	CURR YR EST	AGY REQUEST	AGY REQ N/R
				EXP 2016-17	EXP 2017-18	FY 2018-19	FY 2018-19
STATE, DEPT OF	45000000						
PGM: CULTURAL AFFAIRS	45500000						
CULTURAL AFFAIRS	45500300						
FUND: LAND ACQUISITION TF	2423						
SECTION I: DETAIL OF REVENUES							
	REVENUE	CAP	SVC	AUTH	MATCHING %	CFDA	
	CODE		CHG%	ST	I/C LOC I/C	NO.	
TOTAL TO LINE B IN SECTION IV							
SECTION II: DETAIL OF NONOPERATING EXPENDITURES							
	OBJECT	TRANSFER	CFDA				
	CODE	TO BE	NO.				
05 BUDGET ENTITY TRANSFER IN 45200700/2423	810000	45500300			1,410,614-	1,521,054-	1,526,108-
TOTAL TO LINE E IN SECTION IV							
SECTION III: ADJUSTMENTS							
	OBJECT						
	CODE						
01 SEPTEMBER 2016 CF REVERSIONS	991000				7,215		
TOTAL TO LINE H IN SECTION IV							
SECTION IV: SUMMARY							
UNRESERVED FUND BALANCE - JULY 1	(A)						
ADD: REVENUES (FROM SECTION I)	(B)						
TOTAL FUNDS AVAILABLE (LINE A + LINE B)	(C)						
LESS: OPERATING EXPENDITURES	(D)				1,417,829	1,521,054	1,526,108
LESS: NONOPERATING EXPENDITURES (SECTION II)	(E)				1,410,614-	1,521,054-	1,526,108-
LESS: FIXED CAPITAL OUTLAY (TOTAL ONLY)	(F)						
UNRESERVED FUND BALANCE - JUNE 30 - BEFORE ADJ	(G)				7,215-		
NET ADJUSTMENTS (FROM SECTION III)	(H)				7,215		
ADJUSTED UNRESERVED FUND BALANCE - JUNE 30	(I)						

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2018 - 2019

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund
Budget Entity:	45500300
LAS/PBS Fund Number:	2261

	Balance as of 6/30/2017		SWFS* Adjustments		Adjusted Balance
Chief Financial Officer's (CFO) Cash Balance	107,985	(A)			107,985
ADD: Other Cash (See Instructions)		(B)			0
ADD: Investments	0	(C)			0
ADD: Outstanding Accounts Receivable	0	(D)			0
ADD: _____		(E)			0
Total Cash plus Accounts Receivable	107,985	(F)	0		107,985
LESS: Allowances for Uncollectibles		(G)			0
LESS: Approved "A" Certified Forwards	56,761	(H)			56,761
Approved "B" Certified Forwards	19,686	(H)	(19,686)		(0)
Approved "FCO" Certified Forwards		(H)			0
LESS: Other Accounts Payable (Nonoperating)		(I)			0
LESS: _____	0	(J)			0
Unreserved Fund Balance, 07/01/17	31,537	(K)	19,686		51,223 **

Notes:

*SWFS = Statewide Financial Statement

** This amount should agree with Line I, Section IV of the Schedule I for the most recent completed fiscal year and Line A for the following year.

Office of Policy and Budget - July 2017

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS

Budget Period: 2018-2019

Department: Department of State

Inspector General: Candie M. Fuller

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
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)	<p>Finding No. 1: Department FVRS IT maintenance controls needed improvement.</p> <p>Recommendation: The Department should improve FVRS IT maintenance controls to include appropriate documentation of maintenance schedules, maintenance records, and routine analyses of maintenance records.</p>	<p>As required by Section 20.055(6)(h), Florida Statutes, a six-month follow-up was performed by the Department of State, Office of Inspector General(OIG) in December 2015. The report gave a status of corrective action taken by the Department concerning the findings and recommendations contained in the Auditor General’s Operational Audit. The results of the follow-up report and status of corrective action gathered by the OIG are included after the agency response.</p> <p>Agency Response: In addition to the processes in current use, the Department implemented a series of additional processes to record maintenance. The process details the extent of the maintenance, the timeframe, and signoff by management.</p> <p>Department’s Response to the Status of Corrective Action for Finding No. 1 in December 2015-status report The Department has created and implemented forms and documents that detail the extent of the maintenance, the timeframe, and signoff by management.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 1 in December 2015-status report The Department has fully implemented the corrective action.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)	<p><u>Finding No. 2:</u> Department FVRS performance and capacity monitoring controls needed improvement.</p> <p><u>Recommendation:</u> The Department should improve FVRS performance and capacity monitoring controls.</p> <p><u>Finding No. 3:</u> Although the Department had a Disaster Recovery Plan (Plan) in place for the FVRS, the Plan had not been tested since April 2011.</p> <p><u>Recommendation:</u> The Department should conduct testing of the FVRS Disaster Recovery Plan at least annually pursuant to Rule and Department Policy.</p>	<p><u>Agency Response:</u> The Department is migrating to a new platform in July 2015. A baseline will be established on the new platform. This baseline will determine metrics that will be monitored and documented on a monthly basis. The Department will compare past, current, and future database performance and capacity data to ensure optimal efficiency of the FVRS database.</p> <p><u>Department's Response to the Status of Corrective Action for Finding No. 2 in December 2015-status report</u> The Department creates a monthly report that represents database performance. These reports allowed the Department to establish a base line for the database and offers the ability to observe trends and usage on a monthly basis.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 2 in December 2015-status report</u> The Department has fully implemented the corrective action.</p> <p><u>Agency Response:</u> The Department has tested every step of the current disaster recovery process except for taking the production database offline. It is imperative that the production system for FVRS is active at all times. The Department is migrating to a new hardware platform in July 2015. The set up for the new platform will not require the production system to be down during disaster testing. Once the new hardware is in place, the Department will annually conduct testing of the Disaster Recovery Plan pursuant to Rule and Department Policy.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)	<p><u>Finding No. 4:</u> Some inappropriate and unnecessary access privileges existed in the Voter Focus application that is used to enter data into the FVRS.</p> <p><u>Recommendation:</u> The Department should take steps to ensure that access privileges of Voter Focus accounts are commensurate with users' assigned job duties and are necessary.</p>	<p><u>Department's Response to the Status of Corrective Action for Finding No. 3 in December 2015-status report</u></p> <p>The Department has placed into production two separate, new and completely redundant systems in two separate data centers. These systems were tested for redundancy during implementation. For Disaster Recovery purposes, the Department will continue to test redundancy annually in accordance with Rule and Department Policy.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 3 in December 2015-status report</u></p> <p>The Department has fully implemented the corrective action.</p> <p><u>Agency Response:</u></p> <p>The Department recognizes the limitations of the current Voter Focus application. The 14 users that are referenced will have the use of the Voter Focus application added to their job duties. For access to data in FVRS, the Department relies upon an annual outside vendor license which serves as the interface application. Only two levels of access currently exist in that program: a) Full administrative and b) Inquiry/update. All assigned users involve staff in confidential or managerial positions and have had a level 1 or level 2-background check as a matter of employment. The Department is currently undergoing a major rewrite of FVRS in which the ability to restrict access privileges to inquiry-only will become a part of a system.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)		<p><u>Department’s Response to the Status of Corrective Action for Finding No. 4 in December 2015-status report</u></p> <p>The positions descriptions for the referenced users have been amended to specify that their duties “may include accessing the Florida Voter Registration System (FVRS) to perform necessary duties to view or enter registration data in FVRS.” As stated in the above agency response, the ability to restrict access privileges to “inquiry-only” is unable to occur until the completion of the FVRS rewrite. The FVRS rewrite is scheduled for completion in October 2017.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 4 in December 2015-status report</u></p> <p>The Department amended the position descriptions for the referenced users to specify that their duties “may include accessing the FVRS to perform necessary duties to view or enter registration data in FVRS.” The Department plans to fully implement the corrective action no later than October 2017.</p> <p><u>Status of Correction Action for Finding No. 4 as of June 2017:</u></p> <p>The recommendation is still open.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)	<p>Finding No. 5: The Department had not established a mechanism to provide reasonable assurance that all changes implemented into the FVRS production database environment were properly authorized, tested, and approved.</p> <p>Recommendation: The Department should ensure that a post implementation mechanism is in place that provides reasonable assurance that all database changes implemented into the FVRS production database environment have gone through the appropriate change control process.</p> <p>Finding No. 6: Security awareness training for members of the Department workforce hired since July 1, 2014, had not been conducted in a timely manner.</p> <p>Recommendation: The Department should strengthen controls to ensure that security awareness training is conducted in a timely manner.</p>	<p>Agency Response: The Department created a change management control document. This document provides reasonable assurance that all database changes implemented into the FVRS production database are properly authorized, tested, and approved. Additionally, the Department will use system logging to ensure that only authorized, tested, and approved changes were made to the database.</p> <p>Department's Response to the Status of Corrective Action for Finding No. 5 in December 2015-status report The Department has created and implemented documents for change control. Additionally, the system monitors and logs any schema addition or alteration of the data base. A report is automatically generated every week that reflects any changes.</p> <p>OIG conclusion to the Status of Corrective Action for Finding No. 5 in December 2015-status report The Department has fully implemented the corrective action.</p> <p>Agency Response: All newly-hired employees are provided with a copy of the Department's IT Security policies and procedures, as well as a copy of the PowerPoint training, so they are aware of IT security protocols at the commencement of their employment with the agency. A written acknowledgement is required and placed in the file. Although employees received the policies, a limited number of employees during the audit period had not received the PowerPoint. This issue was addressed and the Department has strengthened controls.</p> <p>Department's Response to the Status of Corrective Action for Finding No. 6 in December 2015-status report All current employees, including all employees previously missed, have been provided with a copy of the Department's IT Security Awareness Training presentation. In addition, a written acknowledgement of training completion is placed in the employee's personnel file. All new hires are provided IT security policies and procedures and a copy of the Security Awareness Training presentation.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2016-002	7/31/2015	Information Technology (IT) Operational Audit of the Florida Voter Registration System (FVRS)	<p>Finding No. 7: Certain Department security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties needed improvement.</p> <p>Recommendation: The Department should improve security controls related to the protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p>	<p><u>OIG conclusion to the Status of Corrective Action for Finding No. 6 in December 2015-status report</u> The Department has fully implemented the corrective action.</p> <p><u>Agency Response:</u> The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p> <p><u>Department's Response to the Status of Corrective Action for Finding No. 7 in December 2015-status report</u> The Department has implemented improved security controls related to protection of confidential and exempt data, software support, authentication, logging, and separation of duties to ensure the confidentiality, integrity, and availability of FVRS data and IT resources.</p> <p><u>OIG conclusion to the Status of Corrective Action for Finding No. 7 in December 2015-status report</u> The Department has implemented some corrective actions. The Department plans to fully implement the corrective action no later than October 2017 when the FVRS rewrite is complete.</p> <p><u>Status of Correction Action for Finding No. 7 as of June 2017:</u> The recommendation is still open.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2017-195	3/30/2017	Division of Corporations, Museum of Florida History, and Selected Administrative Activities	<p>Finding No. 1: The Division was unable to provide sufficient supplementary metadata necessary for an accurate understanding of the structure of, and relationships among, Corporate Filing System data files. The absence of sufficient supplementary metadata precluded a consistent and reliable analysis of the Corporate Filing System data provided by the Division.</p> <p>Recommendation: We recommend that Division management continue efforts to maintain sufficient supplemental metadata necessary for an accurate understanding of the structure of, and relationships among, the Corporate Filing System data files. Sufficient supplementary metadata should be made available upon audit request to facilitate the analysis of Corporate Filing System data in connection with future audits of the System.</p> <p>Finding No. 2: Corporate Filing System application input edits need improvement to ensure the accuracy and validity of Corporate Filing System data.</p> <p>Recommendation: We recommend that Division management enhance Corporate Filing System input controls to ensure the accuracy and validity of the System data.</p> <p>Finding No. 3: Data processing controls related to the Corporate Filing System need enhancement to ensure that business entity transaction data is complete, accurate, and valid.</p> <p>Recommendation: We recommend that Division management enhance data processing controls to ensure that business entity information is complete, accurate, and valid and that such information is provided to users of the Corporate Filing System and Sunbiz.org.</p>	<p>Agency Response: The Department will work to document any deficient supplemental metadata. With the definition of Metadata being "A set of data that describes and gives information about other data" the department offers that once complete, descriptive data will be available for future audits.</p> <p>Agency Response: The Department will identify ways to improve/restrict data input. Examples of input controls/edits are to restrict special characters (e.g.-!,#,\$,*) being entered into text fields.</p> <p>Agency Response: The Department will review and enhance its data processing controls. Specifically, the sync between two databases will be improved in order to prevent data mismatches on the Corporate Filing System and Sunbiz.org.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2017-195	3/30/17	Division of Corporations, Museum of Florida History, and Selected Administrative Activities	<p>Museum of Florida History</p> <p>Finding No. 4: The Museum did not always obtain proof of insurance for outgoing loans of artifacts as specified by Department rules.</p> <p>Recommendation: We recommend that Museum management strengthen collection policies and procedures to require proof of insurance for all loans of State-owned artifacts in accordance with Department rules.</p> <p>Finding No. 5: The Museum did not always inform lenders of the existence of the provisions of the Florida Arts and Culture Act describing the obligations of the lender and the Museum and specifying the conditions pursuant to which the Museum may gain title to the lender's property.</p> <p>Recommendation: We recommend that Museum management enhance collection policies and procedures to ensure that Museum records document that all lenders are informed of the provisions of the Florida Arts and Culture Act.</p> <p>Finding No. 6: Museum controls were not always sufficient to effectively safeguard moneys collected.</p> <p>Recommendation: We recommend that Museum management enhance policies and procedures to provide for appropriate collection controls. Such policies and procedures should require that checks be restrictively endorsed and logged at the point and time of receipt, all transfers of collections between employees be documented, and all checks be timely deposited in accordance with a specified time frame.</p>	<p>Agency Response: The renewal form that was in place during the audit period stipulated the requirements of the loan which includes insurance. The Museum has updated the loan renewal form to specifically require the borrower to confirm they are still maintaining insurance.</p> <p>Agency Response: The Museum's loan agreement for incoming loans includes the applicable provisions of the Florida Arts and Culture Act (Chapter 265, Florida Statutes). The Museum will make it a part of the initiating procedures to provide a copy of Chapter 265, Florida Statutes to lenders who use their own loan agreement. Documentation confirming notification to the lender will be placed in the loan file.</p> <p>Agency Response: The Museum has updated the policies and procedures for its citizen support organization's (CSO) collection process. Previously, the Museum logged receipt and deposit of money and restrictively endorsed checks prior to deposit. The new procedures require that each step from receipt to deposit is logged and the checks are restrictively endorsed upon receipt. Additionally, the procedures were updated to specify a timeframe for deposit.</p>	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
AG Report No. 2017-195	3/30/17	Division of Corporations, Museum of Florida History, and Selected Administrative Activities	<p>Selected Administrative Activities</p> <p>Finding No. 7: As similarly noted in our report No. 2014-181, the Department did not always timely record property acquisitions to Department property records.</p> <p>Recommendation: We again recommend that Department management enhance procedures to ensure that Department property records are timely updated for property acquisitions.</p> <p>Finding No. 8: Department controls over employee access to the Florida Accounting Information Resource Subsystem need improvement to reduce the risk of unauthorized disclosure, modification, or destruction of Department data.</p> <p>Recommendation: To aid in the identification and resolution of any instances where excess or incompatible privileges have been granted or access privileges are no longer required, we recommend that Department management enhance policies and procedures to require more frequent reviews of the appropriateness of FLAIR access privileges. We also recommend that Department management ensure that FLAIR access privileges are timely deactivated upon an employee's separation from Department employment and that FLAIR user login and password information is not shared with other employees.</p>	<p>Agency Response: The Department will update procedures to ensure property records are recorded timely and accurately. The Department will review the existing policies, and modify as necessary, to more clearly define attractive items. The attractive items were the majority of items noted in the audit and are not technically "property" as defined by Chapter 273, Florida Statute and Rule 69I-72.002, but were included in property records.</p> <p>Agency Response: The Department concurs that FLAIR system privileges must be timely removed upon an employee's separation from a position. Division management will update policies and procedures and continue to reinforce security requirements associated with FLAIR access and work to ensure compliance with same.</p>	

SCHEDULE IV-B FOR INFORMATION TECHNOLOGY,
DOS, DIVISION OF CORPORATIONS, COMMERCIAL
REGISTRY MODERNIZATION PROJECT
For Fiscal Year 2018-19



September 18, 2017

DEPARTMENT OF STATE
DIVISION OF CORPORATIONS

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SCHEDULE IV-B FOR INFORMATION TECHNOLOGY, DOS, DIVISION OF CORPORATIONS, COMMERCIAL REGISTRY MODERNIZATION PROJECT

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**SCHEDULE IV-B FOR INFORMATION TECHNOLOGY, DOS, DIVISION OF CORPORATIONS, COMMERCIAL REGISTRY
MODERNIZATION PROJECT**

I. Schedule IV-B Cover Sheet

Schedule IV-B Cover Sheet and Agency Project Approval	
Agency: Department of State	Schedule IV-B Submission Date: September 18, 2017
Project Name: Division of Corporations Modernization Project	Is this project included in the Agency's LRPP? _____ Yes <u> X </u> No
FY 2018-19 LBR Issue Code:	FY 2018-19 LBR Issue Title: Commercial Registry Modernization Project
Agency Contact for Schedule IV-B (Name, Phone #, and E-mail address): Brenda Vorisek, 850-245-6911, Brenda.Vorisek@dos.myflorida.com	
AGENCY APPROVAL SIGNATURES	
I am submitting the attached Schedule IV-B in support of our legislative budget request. I have reviewed the estimated costs and benefits documented in the Schedule IV-B and believe the proposed solution can be delivered within the estimated time for the estimated costs to achieve the described benefits. I agree with the information in the attached Schedule IV-B.	
Agency Head: _____	Date: _____
Printed Name: Ken Detzner	
Agency Chief Information Officer (or equivalent): _____	Date: _____
Printed Name: George Brown	
Budget Officer: _____	Date: _____
Printed Name: Calvin Sloan	
Planning Officer: _____	Date: _____
Printed Name: Calvin Sloan	
Project Sponsor: _____	Date: _____
Printed Name: Brenda Vorisek	
Schedule IV-B Preparers (Name, Phone #, and E-mail address):	
Business Need:	Artesa Anderson, 245-6887, Artesa.Anderson@dos.myflorida.com
Cost Benefit Analysis:	Calvin Sloan, 245-6569, calvin.sloan@dos.myflorida.com
Risk Analysis:	Artesa Anderson, 245-6887, Artesa.Anderson@dos.myflorida.com
Technology Planning:	George Brown, 245-6106, George.Brown@dos.myflorida.com
Project Planning:	Karl Hook, 245-6908, Karl.Hook@dos.myflorida.com

II. Schedule IV-B Business Case – Strategic Needs Assessment

A. Background and Strategic Needs Assessment

1. Business Need

The Florida Department of State, Division of Corporations, strives to improve the quality of life for all Floridians by promoting economic development, creating a competitive business climate, and providing important public access to Florida's business and commercial records. The Division's service deliverables encourage and enhance business and public welfare in the state by providing a service delivery mechanism and an information registry that spans the full range of the state's commercial activities. The Division serves as the state's central depository for a variety of commercial activities, such as profit and not-for-profit corporations, limited liability companies, limited partnerships, trade and service mark registrations, federal lien recordings, judgment lien filings, fictitious name registrations, notary commissions, and cable and video service franchises.

The Division currently maintains more than 8M records and annually performs 5M activities. Sunbiz.org, which serves as the State of Florida's official business entity index and commercial activity website, received more than 294M hits in FY 2016-17. With an operating budget of 7.4M and 102 FTE, the Division also filed more than 2.8M commercial documents and provided over three-quarters of a million certification, authentication and copy services. At the end of the 2016-17 fiscal year, statistics revealed approximately 2.2M active business entities, 650,000 fictitious name registrations, 13,000 trademark/service mark registrations, and 400,000 commissioned notaries on its records. Total filing activities have increased from 1.8 to 2.4 million per year since 2011, a 23% increase in positive business activity. Increased economic activity brings in more than 400,000 new business filings and registrations per year.

The Division's current system is bifurcated and consists of a legacy system, a newer cloud system, and an intermediary system. The legacy system, is over 20 years old and currently performs 70% of the Division's functions; the cloud system, implemented in 2013, performs 20%; and 10% is performed by the intermediary system, which was subsequently developed to bridge the functions between the legacy and cloud system. Synchronization between the databases is currently a challenge. All records filed prior to 2013 remain in the legacy's storage system and 70% of the data since 2013 is now stored in the Microsoft Azure Cloud.

Although robust, the Division's legacy system is no longer able to be supported; local resources are not available; parts are not readily available; expensive and fragile; its software languages and operating systems are obsolete; database administrators are difficult to find; and licenses are expensive. Both its hardware and software are unsustainable. New business rules are difficult to implement and current applications are difficult to maintain.

The Division of Corporations relies on the functions of the legacy system to perform and maintain its mission critical operations. Failure to provide these operations would result in a loss in the State of Florida's revenue stream and could have a negative economic impact on Florida's economy, business community, law enforcement agencies, the general public, and other agencies which depend on the commercial data and business records and indexes. Commercial business filings and activities are filed and maintained on the Division's records in accordance with sections 20.10(2)(c), 55.2, 83.49 376.13, 376.14, 376.3075, 420.101, 604.11, 657.254, 713.9, 865.09, and Chapters 15, 48, 83, 110, 116-119, 215, 216, 289, 425, 471, 495, 506, 540, 605-610, 617-622, 668, 671, 679, 680, 692 and 720, Florida Statutes. The filings and activities are readily relied upon and are used to foster and promote Florida's economy and to improve the business community and general public's welfare. Permanent loss of vital commercial data and records is possible.

2. Business Objectives

The primary objectives of the Commercial Registry Modernization Project are: 1.) risk avoidance; 2.) ensuring the continuation of the State of Florida's revenue stream; and 3.) further fostering and promoting business and public welfare in the state of Florida. The Division has two primary functions: 1.) formalizing the legal standing of a business or activity by accepting or indexing the filing or registration; and 2.) providing certification, authentication, imaging and informational services regarding the filings and activities of record. A new updated technical architecture with modern underlying functionality is necessary for Florida to improve its information availability and service mechanism, and to maintain its proactive business friendly environment.

The Division's current electronic and filing applications now account for most of the agency's filing and certification applications. A modern system with modern architecture and functionality will allow the Division to further improve its electronic information availability, service delivery applications, and help keep pace with the number of commercial documents submitted to the Division for indexing, without additional FTE. During each of the past three (3) years, there has been a 9% annual increase in revenue and filings, and this trend is expected to continue.

The new architecture and functionality will be easily and readily supported, scalable, flexible and adaptable to new and revised statutory mandates. Other objectives and benefits include: 1.) improved efficiency and productivity; 2.) more accurate data processing and retrieval; 3.) consistent process implementation, governance and compliance; and 4.) improved reporting capabilities.

The Department of State recommends modernizing Florida's business registry by purchasing a Commercial Off-the-Shelf system (COTS). A COTS product will provide a solution for the Division, with a vendor supported and maintained system. The selected vendor will configure their system to align with Florida-specific statutory requirements, and only minor modifications will be needed to easily fill the gaps between their system offerings and the State of Florida legislative mandates. In addition, this option offers an expedient timeframe of approximately 15 months, from execution of the contract to deployment. The COTS systems for commercial registry available to Florida have already been successfully implemented in several other states. And many of those successful implementations have been conducted in similar or even less timeframes. The project teams in other states have had success in migrating bifurcated data as well as data to different platforms. The estimated cost to implement this solution in Florida is approximately \$12M. Another major advantage is the vendor, not the State of Florida, will be responsible for continued service, hosting and maintenance. The \$3.6M recurring cost is less than 1% of the revenue generated by the system that will be lost should there be a failure of the system.

B. Baseline Analysis

1. Current Business Process(es)

To foster, promote and support both the business community and the public's general welfare, the Division of Corporations' systems have been updated and enhanced over the past 25 years. These updates and enhancements include the following:

- Ability to Search Existing Business and Commercial Registries
 - Provide for ad hoc public searches and display all matched entities, providing pertinent information including, but not limited to, images of new filings, amendments/edits, and annual report documents in Print Document Format (PDF)
 - Disallow the filing of two entities with the same name matched on any of the matching criteria in accordance with statutory business rules
 - Search for and display filed business entities or registered fictitious names
 - Allow for the search of an entity (singularly or in combination) by name, county, entity type, address, zip code, registered agent, officer, partner, debtor name, trademark name, owner name, FEI/EIN, owner FEI/EIN, document or registration number, date filed, effective date, and/or status

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- Creating New Business Registries
 - Provide for entity registration and modifications
 - Have auditing and journal capturing and recording capabilities
 - Distinguish between different business entity types – limited liability company (LLC), profit corporation, not-for-profit corporation, limited partnership, general partnership, etc.
 - Distinguish between domestic and foreign business entities and registrations
 - Allow for the registration, renewal, cancellation and expiration of fictitious registrations (aka “Doing Business As”)
 - Filing Declarations of Trust
 - Filing domestications (profit and non-profit)
 - The formation and amendment of a profit benefit or social purpose corporation
 - Filing of mergers, conversions and consolidations by the same or varying business entity types
 - Edits/addendums/amendments (changes in name, address, officers, registered agent, FEIN), as well as additional filings, withdrawals, dissolutions, domestications, and reinstatements
 - Registration, assignment, renewal, expiration, and cancellation of Trade & Service Marks
 - Filing, adding a debtor, amending, and correcting judgment liens
- Manage a Business Entity or Registry
 - Allow for modifying, revoking, or dissolving an entity (administratively, involuntarily, voluntarily, etc.) including, but not limited to, the e-filing of articles of amendment, dissolution and foreign entity withdrawals, amendments, and registrations
 - Allow the manual and automatic dissolution of entities, with the date and criteria for automatic dissolutions to be modified by the Division
- Manage Fiscal Transactions and Information
 - Allow for online payments by credit card and *Sunbiz* E-file accounts
 - Print PDF payment vouchers for payment by check with vouchers tying the payment to the filing
- Scan and Manage Documents and Images
 - Allow for PDF uploads by the entity to include articles of incorporation, articles of organization, articles of correction, annual reports, withdrawals, registrations, resignations, articles of dissolution, articles of amendment, etc.
- Create and Manage Communications
 - Create Correspondence templates
 - Generate letters and emails to send to business owners
 - Maintain an audit trail of correspondence sent to customers
- Produce Certified Documentation
 - Downloading, displaying and printing of
 - certificates of status, name change, registration, renewal, conversion, and merger
 - filed business and commercial records (certified and non-certified)
 - detail record screens
- Manage Internal User System Access
 - User groups within the Division with differing levels of permission for
 - read only
 - + new filing
 - + edits
 - + dissolution, withdrawals
 - + deletions
 - + fiscal transactions
 - + user administration
- General Reporting
 - The generation of various reports meeting federal and state requirements

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Florida Department of State analyzed and documented the current business and technology environments' strengths, weaknesses, opportunities and threats (SWOT). The results are captured in this graphic below:

SWOT ANALYSIS

Division of Corporations Commercial Registry Modernization Project

S	<p>Strengths</p> <ul style="list-style-type: none"> • Serves as the State of Florida's central depository for a variety of commercial activities. • Sunbiz.org, the Division's website, serves as the State of Florida's official commercial business entity index and activity website. During FY 2016-17, Sunbiz.org handled in excess of 294M web accesses • The Division filed more than 2.8M commercial documents; provided over 785,000 copy, certification, and authentication services; and collected in excess of \$358M in revenue 	W	<p>Weaknesses</p> <ul style="list-style-type: none"> • Incomplete documentation of business rules and workflow processes • Challenges to maintain synchrony between all systems • Limited reporting capabilities between all systems • Difficulty implementing legislative changes to the systems
O	<p>Opportunities</p> <ul style="list-style-type: none"> • Identify and document all business, technical and function requirements required for the modernized system • Develop a streamlined system to maintain data integrity for clients and customers • Identify and create automated and potential ad-hoc reports needed to support business functionality • Provide the ability to add legislative updates as needed 	T	<p>Threats</p> <ul style="list-style-type: none"> • Although robust, the Division's legacy system is at risk due to the inability to obtain replacement hardware and resources support. • Licenses and maintenance cost will continue to rise • Inability to remain compliant with new legislative rules.

2. Assumptions and Constraints

The need to modernize the State's business registry assumes the legacy system will eventually be unserviceable; the image server (storage) will reach its capacity due to the number of entities doing business in Florida; there will be future changes to Florida's business rules due to legislation; Hewlett Packard Enterprise (HPE) will no longer provide support, and the costs for database licenses will not decrease. The cost and time estimates assume the State of Florida will provide the vendor with a comprehensive and correct Scope of Work (SOW), work may begin on April 1, 2018, and funding will be available on or before July 1, 2018.

The SOW is constrained by and dependent upon all necessary internal subject matter experts (SMEs) being made available to the project and all SMEs making the modernization project their top priority.

The cost estimates are based on the vendor maintaining ownership of the base application and it being held in escrow should the company go out of business; the system being written in .NET against a modern database; internal Department of State staff having access to make configurations within the application (dates, fee schedules, correspondence); the hardware being hosted; and a service contract being maintained with the vendor who has access to the servers.

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C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

1	Perform Inquiry
1.1	Ability to inquire by Business Entities by Business Name, Officer, Registered Agent, FEI/EIN, Document Number, and other details.
1.2	Ability to search Fictitious Name Registrations by Fictitious Name, Owner Name, Owner Charter Number, Registration Number, and other details.
1.3	Ability to search Partnerships by Partnership Name, Agent/Partner Name, Partnership FEI/EIN, Document Number
1.4	Ability to Search Federal and Judgment Liens by FLR Debtor Name, FLR Document Number
1.5	Ability to Search for Cable Franchises by Franchise Name or Franchise Number
1.6	Ability to Search for Notaries Public by Name, Notary ID, and Commission Number
2	Create Business Registries and Entities
2.1	Provide external users with online filing options for various types of Business Entities and Structures (e.g. LLC, Profit Corporations etc.)
2.2	Ability for internal staff to manually create business entities and structures in the system
2.3	Ability for internal staff to reject submitted business entity filings and structures
2.4	Provide external users with the ability to file/process authentications, Notaries and other services
2.5	Ability for external users to submit business entity filings via fax
2.6	Provide external users with the ability to file modifications online, including annual reports
3	Modify Business Registries and Entities
3.1	Ability to manage/change existing business entities and structures (e.g. address updates, annual reports, etc.)
3.2	Ability for external users to submit a request to reinstate, dissolve or withdraw a business
3.3	Ability for external users to submit a request to amend or reinstate a business
3.4	Ability to request a certificate of status or additional copies of a certificate of status
3.5	Ability to request and obtain a certified copy of a filed document
3.6	Ability to administratively dissolve/revoke business entities
3.7	Ability to upload attachments with online filings

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3.8	Ability to modify the registered agent and/or registered office on multiple business entities simultaneously
4	Fiscal Processing
4.1	Ability to accept credit card payments
4.2	Ability to associate a payment to a business entity and structure for online, faxed and manual filings
4.3	Ability to associate a payment for an annual report filing to the historical system data for a business entity or structure
4.4	Ability to create, modify and delete a user payment account to be used for future business filings
4.5	Ability to debit and credit user fiscal accounts
4.6	Provide audit tracking for all financial processing associated to a business entity or structure
4.7	Ability to search, review and modify payment information associated to a business entity or structure
4.8	Ability to process refunds and reconcile payments received
5	Scanning/Imaging paper documents
5.1	Ability to import scanned documents and associate them to a business entity or structure
5.2	Ability to view, alter, move, remove, or void a scanned/imaged document
5.3	Ability to view, retrieve and print checks received and processed
6	Correspondence
6.1	Ability to generate and access specific correspondence templates
6.2	Ability to generate correspondence utilizing approved templates
6.3	Ability to communicate with business owners and/or contacts via email, fax and mail
6.4	Ability to generate and send a single correspondence and generate and send mass correspondence to specific users (both internal and external)
6.5	Ability to log and retrieve all correspondence sent to users regarding their business entity
6.6	Ability to provide filing acknowledgements by email regardless of submission method
7	Reporting
7.1	Ability to design and run ad hoc, batch, monthly and annual reports for all historical and current data held in the system
7.2	Ability to log and retrieve all reports generated in the system
7.3	Create and run specific reports for pertinent staff and functional areas (e.g. fiscal reports, administrative reports etc.)

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7.4	Provide a user dashboard to enable staff to access reports based on user access and permissions
8	Task Management
8.1	Provide a dashboard for Division of Corporations Administrators to organize and assign work assignments for division staff
8.2	Ability to create a workflow queue with work assignments based on current functional areas
8.3	Ability to assign work assignments to specific staff
8.4	Ability for staff to manage, sort and route tasks
8.5	Ability for staff and administrators to modify work assignments during any phase of the workflow lifecycle
9	User Accounts and Permissions
9.1	Ability to create, update and manage user roles and associated permissions for both internal and external users
9.2	Ability to control access to sections of the system according to defined permissions and roles
9.3	Ability to differentiate between internal and external users
9.4	Ability to display access to specific pages and information about business entities and structures to public without a user login
10	System Processing
10.1	Ability to integrate and migrate data from existing systems
10.2	Ability to import data from other data sources (e.g. FTP; code tables etc.)
10.3	Ability to download data files from the system
10.4	Ability to update system pages and functionality when federal or legislative changes are received (e.g. Biennial report filing)

2. Business Solution Alternatives

The Department of State has investigated multiple alternative solutions. These options included moving the entire application to a cloud-based system; refreshing the database servers and moving from the image server to a newer storage area network (SAN); rewriting the current application; custom writing a new application; and purchasing an easily configurable and vendor-supported Commercial Off-the-Shelf (COTS) system.

3. Rationale for Selection

The Department recommends the purchase of a COTS system.

Cloud-Based System: In 2013, 20% of the Legacy system’s applications (Annual Reports, Dissolutions, Withdrawals, and Reinstatements) were moved to the Microsoft Azure Cloud. Data, which is stored as Binary Large Objects (BLOB) is stored offsite. Therefore, the data is difficult to manage, retrieve and manipulate, and less cost effective. Large peaks in Annual Reports, Dissolutions, Withdrawals, and Reinstatements alone resulted in an increase in billing charges in FY 2016-17. To convert the remaining 80% of the legacy system’s applications would: 1.) require custom coding of legacy software to .NET; and 2.) further increase the State of

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Florida's dependence on outside resources with additional unknown cost increases.

Virtualization: The Department of State along with the Agency for State Technology (AST) is currently conducting a proof-of-concept for virtualizing legacy servers. The co-effort is currently in the proof-of-concept phase. The concept has been demonstrated to work; however, not at the capacity needed for the registry. If successful, the first-year cost would be greater than \$634,465 for the virtual solution. This cost includes licensing, installation, first year support, three new servers, managed server fees, and additional database licensing, with hosting and maintenance being maintained at the Southwood Data Center. The recurring hosting and maintenance costs are expected to be \$352,785.00 the first year, with an up to 10% annual increase for licensing and support. The virtualization project has not made it past the proof-of-concept stage due to the system's inability to support the load of filing approximately 1.9M annual reports per year. Further, the virtualization project does not address the operating system issues or the inability to modify and/or maintain the actual applications.

Application Rewrite: Two (2) different project managers have determined a rewrite of the legacy application will require nine months to document the current state; nine months for requirements gathering and documentation of the future state; and at least two years to program and test the application in .NET against a newly designed database, for a project life-time of three and one-half years at a cost of \$1.75-2.5M per year. The biggest risk with this solution is migrating the data from the bifurcated system. The cost and time for the data migration is not included in this estimate due to the lack of documentation (data dictionary or entity relationship diagram [ERD]) for either the legacy system or the Azure BLOB stored data, which must be unified to a single data storage type. Not included in the \$6.125 to \$8.75M project cost estimate are liens, notaries and apostilles, liens, cable franchise, trade and service marks, substitute services of process, and public records exception requests.

Customized System: Writing a customized system has the same costs as an application rewrite. Time savings is realized with the documentation of the database (data dictionary and entity relationship diagram [ERD]) occurring in parallel with the writing of the future state documentation and a delay in the data migration, with the added risk of the data not migrating properly.

4. Recommended Business Solution

For over one year, the Department of State (DOS) has been working with the Agency for State Technology (AST) to move away from the legacy servers, due to the risk of staying on the outdated architecture currently hosted by AST. Two recent events emphasized the need to modernize the infrastructure. In early 2017, a short in the hardware servicing the legacy servers caused a fire threatening the irreplaceable servers. Then in July and August of 2017, a series of outages caused one of the nodes (the one serving as the controller) to fail, and prevented access to the database. Software fixes allowed the node to be bypassed, until a failure during the week of August 7. With the hardware under a HPE service contract, the server was back online within 24 hours, with the cause of the outage identified by AST and the updated hardware installed over the weekend.

The above vignettes are provided to: 1.) illustrate the impending failure of the hardware housing an application essential to the State of Florida; and 2.) to demonstrate DOS and AST have been working together to resolve the issue.

A Request for Information (RFI) (DOS RFI 07/17-06) was posted on July 21, 2017, requesting information from vendors of Commercial Off-the-Shelf (COTS) business registry systems successfully deployed at the state level. Seven (7) vendors responded and three (3) were selected to present to the Division of Corporations staff and administration. The Division's goal was to determine information needed for inclusion in a solicitation to properly secure a successful COTS solution to economically meet its needs, in a reasonable timeline. In addition, the Division contacted the Department of State of several states who recently completed, or are in the process of, modernizing their business registries. Conversations have been held internally with DOS's procurement, information technology, administrative, and executive staff, as well as conversations with Department of State staff from Connecticut, Colorado, Georgia, Idaho, Louisiana, Montana, North Dakota, Ohio, and Tennessee; and the Division has received the procurement documents from Idaho and North Dakota as examples. Conversations are scheduled with Indiana, Pennsylvania, South Dakota, and Wyoming. Cost and time estimates, as well as actual costs and timelines, were acquired and can be applied to Florida's request for a

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COTS system. Through this research, it has also been determined that although universal, a COTS business registry is configurable, allowing each state to configure the system to meet its specific statutory mandates and business rules.

Last year, DOS engaged a Project Manager/Business Analyst to become familiar with the business of the Division of Corporations and to begin documentation. On May 25, 2017, DOS also on-boarded a Project Manager to manage the virtualization of the Alpha servers and to conduct the feasibility of implementing a COTS solution.

The deployment of a configurable, vendor-supported COTS solution will drastically change and improve the business practices of the Division. The processes will be simplified by aligning, combining, optimizing, and streamlining the processes throughout the Division; it will remove the need to synchronize databases and reconcile differences in data, by automating processes and data mining (queries); paper will be reduced; and improvements to the system validity and reliability will be made. A modernized system will provide the Department with: 1.) greater security; 2.) more enhanced and predictable service availability; and 3.) more cost-effective workload flexibility.

D. Functional and Technical Requirements

Functional and technical requirements will be developed to provide a solution that satisfies the following criteria:

- Intuitive and easy to use system
- Flexible and adaptive
- Process driven
- Flexible reporting and open query
- Complete audit trail
- Well documented
- Enforces transparent and collaborative business practices

The initial functional and technical requirements for the new system are in section C: Proposed Process Requirements. Within the next fiscal year, DOS will refine the requirements for the entire modernization project lifecycle.

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III. Success Criteria

SUCCESS CRITERIA TABLE I-NEW SYSTEM				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Avoiding the risk of losing \$358M annual revenue stream	Monitoring revenue streams	State of Florida	At System Implementation
2	Ability to generate timely, valid and reliable reports on request	Measured during UAT testing and implementation	Internal Users/DOS Management	At System Implementation
3	Ability to acknowledge and certify commercial filings electronically resulting in timely, economical correspondence	Measured during UAT testing and implementation	Internal Users	At System Implementation
4	Reduction in number of fraudulent filings	Measured during UAT testing and implementation	State of Florida	At System Implementation
5	Efficiency in payments by the public to include service companies (e.g. shopping cart)	Measured during UAT testing and implementation	Internal Users/Business Entities	At System Implementation
6	Increase the electronic filing availability and reduce wait time for document accessibility	Measured during UAT testing and implementation	State of Florida	At System Implementation
7	Expand the methods of payment	Measured during UAT testing and implementation	State of Florida	At System Implementation
8	Ability to implement legislative changes	Measured during UAT testing and implementation	State of Florida	At System Implementation
9	Increase efficiency in law enforcement investigations and bank loan processing	Measured during UAT testing and implementation	Florida Law Enforcement Agencies	At System Implementation
10	Facilitate mass email communications	Measured during UAT testing and implementation	Internal Users/Business Entities	At System Implementation
11	Improved fiscal processing and reporting	Measured during UAT testing and implementation	Internal Users	At System Implementation
12	Improve scanning and imaging capabilities	Measured during UAT testing and implementation	Internal Users	At System Implementation
13	Enhanced search capabilities	Measured during UAT testing and implementation	Internal Users/Business	At System Implementation

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SUCCESS CRITERIA TABLE I-NEW SYSTEM				
			Entities	
14	Increase the depth and breadth of data collection	Measured during UAT testing and implementation	Internal Users/Business Entities	At System Implementation
15	Improved workflow efficiency	Measured during UAT testing and implementation	Internal Users/Business Entities	At System Implementation

SUCCESS CRITERIA TABLE II-PROJECT MANAGEMENT				
#	Description of Criteria	How will the Criteria be measured/assessed?	Who benefits?	Realization Date (MM/YY)
1	Establish a comprehensive governance model for the Commercial Registry Modernization Project	Variance analysis of project progress points and schedule due dates vs actual results	Department of State	From Project Initiation
2	Review of the To-Be (i.e. future state) analysis of relevant business processes and the high-level requirements	<ul style="list-style-type: none"> • Verification of in-scope processes • Verification of high level requirements included in the Requirements Traceability Matrix • Deliverables met the criteria established 	Department of State	From Project Initiation
3	Maintenance of a Project Management Plan detailing a consistent and disciplined approach for managing the project	<ul style="list-style-type: none"> • Details communication of project status and progress reporting • Defines how issues and risks will be documented and managed • Incorporates feedback received during the Kickoff Meeting 	Department of State	From Project Initiation
4	Maintenance of a high-level schedule; including milestones and deliverables	<ul style="list-style-type: none"> • Modified to reflect actual project funding and DOS directives • Includes resource-loaded activities • Predecessor and successor dependencies are identified with critical path established • Projected DOS resource 	Department of State	From Project Initiation

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SUCCESS CRITERIA TABLE II-PROJECT MANAGEMENT				
		allocation <ul style="list-style-type: none"> Includes DOS review time periods 		
5	Submission of the documented expected deliverables outlining the acceptance criteria for each deliverable	<ul style="list-style-type: none"> Common, well-aligned expectations are set Basis is established against which to consider deliverable feedback 	Department of State	From Project Initiation
6	Confirmation of project scope	<ul style="list-style-type: none"> Documentation of processes identified during To-Be phase is complete Justification for out-of-scope processes is provided High-level requirement deliverable adheres to approved documented deliverables Recommendations for managing anticipated changes to internal and external stakeholders are documented 	Department of State	From Project Initiation
7	Development of requirements sufficient for procurement	<ul style="list-style-type: none"> Assessment of high-level technical requirements is completed Updated Requirements Traceability Matrix Confirmation to the overall DOS business and IT strategy, platforms, and standards Ground rules provided for technical selection criteria during vendor procurement process Validation completed by process owners and subject matter experts 	Department of State	During Project Planning
8	Identification of risks throughout project	<ul style="list-style-type: none"> Probability measures have been established Mitigation strategies are detailed 	Department of State	From Project Initiation
9	Completion of Requirements Traceability Matrix	<ul style="list-style-type: none"> Document includes requirement number, core and sub process 	Department of State	During Project Planning

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SUCCESS CRITERIA TABLE II-PROJECT MANAGEMENT				
		<p>definitions, process descriptions, prioritization measure, Division of Corporations Stakeholders</p> <ul style="list-style-type: none"> • Detailed requirements are associated with the in-scope To-Be processes • Detailed requirements include identification of application interfaces, data and information management needs, and required computing infrastructure needs 		
10	Formalized ROI based on completed detailed requirements	<ul style="list-style-type: none"> • Sufficient detail must be available from the Detailed Requirements to identify potential benefits of the project, which are inputs in the calculations for the ROI. 	Department of State	During Project Planning & Execution
11	Develop implementation strategy	<ul style="list-style-type: none"> • Final specifications needed to assess the capability of vendor solutions • Evaluation criteria established to meet the objectives of the To-Be processes and satisfy functional and technical requirements 	Department of State	03/2018
12	Development of Solicitation	<ul style="list-style-type: none"> • Vendor response process has been detailed • Scope of work is defined • Acceptance and grading criteria has been established • Adherence to state of Florida procurement statues and DOS policies and procedures 	Department of State	Fall 2017

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IV. Schedule IV-B Benefits Realization and Cost Benefit Analysis

A. Benefits Realization Table

For each tangible benefit, identify the recipient of the benefit, how and when it is realized, how the realization will be measured, and how the benefit will be measured to include estimates of tangible benefit amounts.

BENEFITS REALIZATION TABLE					
#	Description of Benefit	Who receives the benefit?	How is benefit realized?	How is the realization of the benefit measured?	Realization Date (MM/YY)
1	Ability to maintain \$358M annual revenue stream post implementation	State of Florida	Cost Benefit Analysis	Comparison of Fiscal Year 19/20 revenue to Fiscal Year 17/18 revenue	End of FY 6/20
2	Reduced call volume	Public & Internal Staff	Call Volume	Comparison of 3 rd and 4 th quarter	06/20
3	Increase of public confidence because the increase in availability and reliability of data	Public	Less calls to staff to validate data	Comparison of 3 rd and 4 th quarter	At System Implementation
4	Reduction of time in creating ad-hoc reports	Internal Staff	Consistent availability of ad-hoc reports	Comparison of 3 rd and 4 th quarter	At System Implementation
5	Prevention of fraudulent Filings	Public	Reduction of calls and inquiries of fraudulent filings	Comparison of 3 rd and 4 th quarter	At System Implementation
6	Improved mass email communications to business community	Public and Internal Staff	Verification of email communications sent via audit records	Comparison of Fiscal Year 19/20 revenue to Fiscal Year 17/18 revenue	End of FY 6/20
7	Improved methods of payment efficiency with the addition of the shopping cart option	Public and Internal Staff	Increased use of the shopping cart option	Comparison of Fiscal Year 19/20 revenue to Fiscal Year 17/18 revenue	End of FY 6/20
8	Approved process and procedure to	Public and	Ability and accuracy of	Identify last legislative	At System Implementation

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BENEFITS REALIZATION TABLE					
	implement legislative changes in the system	Internal Staff	legislative changes added to the system	change implemented and compare ability and accuracy to new legislative changes added to system	
9	Ability to provide front end scanning for improved workflow processing	Public and Internal Staff	Ability to process filing requests quicker	Comparison of 3 rd and 4 th quarter	At System Implementation

B. Cost Benefit Analysis (CBA)

The chart below summarizes the required CBA Forms which are included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Cost Benefit Analysis	
Form	Description of Data Captured
CBA Form 1 - Net Tangible Benefits	<p>Agency Program Cost Elements: Existing program operational costs versus the expected program operational costs resulting from this project. The agency needs to identify the expected changes in operational costs for the program(s) that will be impacted by the proposed project.</p> <p>Tangible Benefits: Estimates for tangible benefits resulting from implementation of the proposed IT project, which correspond to the benefits identified in the Benefits Realization Table. These estimates appear in the year the benefits will be realized.</p>
CBA Form 2 - Project Cost Analysis	<p>Baseline Project Budget: Estimated project costs.</p> <p>Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants.</p> <p>Characterization of Project Cost Estimate.</p>
CBA Form 3 - Project Investment Summary	<p>Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates:</p> <ul style="list-style-type: none"> • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B.

VI. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The Division of Corporations' (Corporations) current production system is composed of a bifurcated platform utilizing Microsoft's Azure Cloud and a clustered legacy Server. The web site utilizes six web servers.

Ancillary systems running on separate servers and databases are Notaries and Apostilles.

Development mirrors the production environment.

a. Description of Current System

The current corporate registry (Corporations, Limited Liability Companies, Fictitious Name Registrations, Limited and General Partnerships, Trademarks and Service Marks, Judgment Liens, Federal Tax Liens, Fiscal, Correspondence and Images) is approximately 100 million records (including entities and associated records). The application supports both internal and external users.

b. Current System Resource Requirements

- Corporations currently uses the following hardware:
 - Production Legacy system:
 - Clustered database servers
 - Web servers
 - SAN
 - Includes storage for database
 - Serves as image server
 - Development Legacy system:
 - Database server
 - Web server
 - SAN
 - Production Azure:
 - Application in Microsoft's Azure Cloud
 - Development Azure:
 - Same constraints and specifications as production
 - Test Azure:
 - Same constraints and specifications as production and development.
 - Production Notaries:
 - Database Server
 - Web Server
 - Development Notaries
 - Database server
 - Production Apostilles
 - Database server

c. Current System Performance

Corporations' current legacy system is running at about 50% capacity. Users are satisfied with the current functionality but alterations are complex and man-hour intensive. The primary issue is the age of the hardware and obsolescence of the operating system and supporting software.

The Azure portion has scalability to handle any foreseeable load. At issue is the complexity of the application and its environment which requires programming skills that are not readily available.

2. Information Technology Standards

Corporations' projects are managed by the Department of State's (DOS) Bureau of Departmental Information Systems (BDIS). BDIS is the Department's application development section. All projects are developed following the Agency for State Technology's (AST) guidelines including compliance with 74-2 FAC Florida Security Rule and Florida Project Management Rule 74-1 FAC. These guidelines are based on the Project Management Institute's methodology, which includes standard phases, tools, steps and sign-off processes. To ensure consistent steps are followed when developing a system application, DOS makes this methodology available to all project management and project staff working within DOS.

B. Current Hardware and/or Software Inventory

DOS will not be replacing any hardware. Corporations currently uses the following hardware and software:

- Corporations currently uses the following hardware:
 - Production Legacy system:
 - Clustered database servers
 - Web servers
 - SAN
 - Includes storage for database
 - Serves as image server
 - Development Legacy system:
 - Database server
 - Web server
 - SAN
 - Production Azure:
 - Application in Microsoft's Azure Cloud
 - Development Azure:
 - Same constraints and specifications as production
 - Test Azure:
 - Same constraints and specifications as production and development.
 - Production Notaries:
 - Database Server
 - Web Server
 - Development Notaries
 - Database server
 - Production Apostilles
 - Database server

C. Proposed Technical Solution

1. Technical Solution Alternatives

- Upgrade the current client-server based application to the current vendor's solution.
- Purchase a new off-the-shelf application that utilizes configuration changes to meet DOS business requirements.

2. Rationale for Selection

- System complexity and lack of FTE resources for continued operations and management are driving forces in the Corporations' need to transition to a COTS vendor based solution. In addition to providing a seamless transition from the current architecture to a COTS vendor based solution, the selected provider will be able to meet the DOS's specifications and requirements with standard configuration changes or minor modifications to fill the gap between vendor offerings and legislative mandates. These modifications can easily be integrated into the recommended vendor solution.
- The proposed vendor solution effectively manages the volume of information involved in a commercial business registry.
- The proposed solution will contain a financial management system that will be compatible with the FLAIR application and the Florida PALM System.
- The proposed solution is able to generate a variety of reports required for departmental operations. Examples of such reports include: entity status, daily work report histories, fiscal reports and various statistical information.

3. Recommended Technical Solution

The Department of State recommends the purchase and implementation of a Commercial Off-the-Shelf (COTS) system.

D. Proposed Solution Description

1. Summary Description of Proposed System

The Department of State recommends modernizing Florida's business registry by purchasing a Commercial Off-the-Shelf (COTS) system. A COTS product will provide a solution for the Division, with a vendor supported and maintained system. The selected vendor can configure their system to align with Florida-specific statutory requirements, and only minor modifications will be needed to easily fill the gaps between their system offerings and the State of Florida legislative mandates. In addition, this option offers an expedient timeframe of approximately 15 months, from execution of the contract to deployment. The COTS systems for commercial registry available to Florida, have already been successfully implemented in several other states. And many of those successful implementations have been conducted in similar or even less timeframes. The project teams in other states have also had success in migrating bifurcated data as well as data from different platforms. The estimated cost to implement this solution in Florida is approximately \$12M. Another major advantage is the vendor, not the State of Florida, will be responsible for continued service and maintenance.

2. Resource and Summary Level Funding Requirements for Proposed Solution (if known)

Vendors offer multiple procurement options. Options include: 1.) fixed-priced contract with all funds paid after successful project completion; 2.) term payments; 3.) no payment upfront with a fee for each transaction;

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and 4.) a percentage of annual fee collections.

Operational costs are estimated at \$3.6M (only 1% of the \$358M in general revenue funds) collected by the Division in FY 2016-17. This includes licensing, maintenance, hardware, storage and bandwidth fees. The vendor will support and maintain the software which will provide the Department of State with more cost effective workload flexibility.

E. Capacity Planning

The solicitation will require the vendor to analyze the current database, both size and metadata and provide a data map to the proposed solution along with a 5-year growth plan.

Include through file insertion or attachment the agency’s project management plan and any associated planning tools/documents.

VII. Project Management Plan

Project History

The Division of Corporations launched its current digital business registry in 1996. As noted, this data management system has served Florida well for 21 years. It is robust. However, it was developed using technologies that are now obsolete. The hardware is at end of life and is about to be out of support. The programming languages utilized are now considered obsolete, the database system is out-of-date, and the storage is near capacity. Recent events (a hardware failure and a fire) have demonstrated the vulnerability of the system. The system went offline and all transactions stopped. Although patches were put into place, the Division’s mission critical activities were brought to a crawl until the vendor could arrive and repair the system.

The Division, previously recognizing the system was nearing end of life, attempted to mitigate. On January 1, 2013, twenty-percent (20%) of the Division’s external core activities were placed on a cloud-based system. This resulted in 70% of the files by volume being moved to a newer, but more expensive technology. While it helped to alleviate the Division’s concern for database space, the new technology proved unmaintainable by the Department of State’s Bureau of Departmental Information Systems (BDIS). This resulted in a bifurcated system, as historical data, financial and correspondence activities, and previous filing images could not be moved and remained in the legacy system. The Division was legislatively assigned additional tasks. With programmers for the legacy system not readily available and the database reaching capacity, placing the new activities on the legacy system was not a viable option. Constraints of the new cloud-based system made it a less than satisfactory option. The newly acquired jobs were placed on a third solution; resulting in a bifurcated system. The bifurcated system has led to inefficiencies at the business level, increased costs, and frustration on both internal and external users, the public and Florida’s business community. Workarounds to synchronize data between the two systems has not been totally effective and the process for resolving differences is cumbersome, creating a risk in discrepancies between the legacy and cloud-based system.

The breakdown by activity and volume for the three systems is estimated to be:

	Activity	File Size
Legacy	70%	20%
Cloud	20%	70%
Other	10%	10%

Early in 2016, Hewlett Packard Enterprise (HPE) notified all users that it would no longer support the antiquated hardware in the near future. Shortly thereafter, Florida’s Agency for State Technology (AST), the

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host of the system, also notified the Department the hardware and database currently backing *Sunbiz.org* would also no longer be supported. Therefore, HPE, AST, and BDIS began looking at various options to move the Division off the bifurcated system. Modernizing the hardware and the unification of the bifurcated system are the priorities of the Department.

In March 2016, BDIS contracted a project manager/business analyst (PM/BA) and began documenting the current state system and developing a mitigation plan. The two priorities were:

- 1) Identify the scope required to move the remaining functional areas on the legacy system to the cloud-based system; and
- 2) Identify the scope required to migrate the remaining data from the legacy database to the existing database or cloud system

The analysis resulted in a draft project cost and timeline, which were submitted to the Department.

HPE also proposed virtualizing the legacy servers during this time and discussions regarding the virtualization of the legacy system began in mid-2016.

Virtualization

In May of this year, AST and BDIS determined it was in the best interest of the State to attempt to virtualize the legacy system to mitigate risk. A Senior Project Manager was engaged to manage the virtualization project, to determine possible solutions for modernizing Florida's Business Registry, and to evaluate the solution proposed by the current PM/BA. The existing PM/BA continued to document the current state of the bifurcated system.

On June 27, 2017, using DOS base funds, a Purchase Order (PO) was executed between the State and HPE. The PO was for a proof-of-concept of a virtual solution. Although the legacy system would be allowed to continue to operate, the solution did not address the Division's inability to easily update code, the database storage issue, the bifurcated workflow and syncing issues.

The proposed solution for the virtualization project has demonstrated the software does emulate the legacy processors and applications. Running a limited number of activities at a time, transactions are successfully completed. However, the speed of completion is approximately 80% as fast as the current system and the virtualized processors are not handling the load (number of concurrent sessions) conducted in the physical development environment as efficiently. The vendor's engineers estimate the processors in the virtualized environment are working at 65% capacity of the processors in the physical environment. The AST and BDIS team continued to work with the vendor's team to attempt to improve the performance.

At the time of the Legislative Budget Request submission, the Department is uncertain if the proof-of-concept will be successful. Even if successful, there are significant unresolvable concerns, including a first-year cost of over \$575,000 and an annual *additional* recurring cost of almost \$310,000 to the existing recurring costs, with an expected annual increase of up to ten-percent.

Other Solutions

Multiple solutions to the current situation have been investigated. These include moving the entire application to a cloud-based system, rewriting the current application, custom writing a new program, purchasing a turnkey Commercial Off-the-Shelf (COTS) solution, as well as licensing or leasing a business registry from another state. The following solutions that have been vetted over the course of the past year:

Cloud-based: As stated, in 2013, twenty-percent (20%) of the applications were moved to a cloud-based system. However, the available applications were not "cloud native" and were not architected for the cloud environment. To provide valid and reliable data timely, accurately and efficiently, the bifurcated system needs to be unified. Unfortunately, there are no cloud native solutions available that meet the functional requirements without extensive customization. Applications that are not purpose built for the cloud are cost prohibitive in the cloud

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due to ingress and egress charges. Based on the following the Department has determined that a cloud-based system is not the preferred option:

The Department has determined documents in BLOB storage are difficult to retrieve and edit, and the overall process is more time and labor intensive at the business level. Trying to convert over 20 years of processes, data, and images from the legacy system to the cloud, the Department has concluded this not an optimal or viable solution, and it would be more cost and time effective to move the five years of cloud data to a database and out of BLOB storage. The amount of data and the large peaks in submissions for Annual Reports and Dissolutions also resulted in an additional “overage” of over \$400,000 in supplemental billing for FY 2016-17. Therefore, the Department also recommends the portion currently stored in the cloud be returned to onsite storage.

Application Rewrite: Two (2) different project managers have determined a rewrite for the application running against a newly designed database will require nine months to document the current state; nine months for requirements gathering and documentation of the future state; and at least two years to program and test the application in .NET against the new database, for a project life-time of three and one-half years at a cost of \$1.75-2.5M per year. The biggest risk with this solution is migrating the data from the bifurcated system. The cost and time for the data migration is not included in this estimate due to the lack of documentation (data dictionary or entity relationship diagram [ERD]) for either the legacy system or the Azure BLOB stored data, which must be unified to a single data storage type. Not included in the \$6.125 to \$8.75M project cost estimate are liens, notaries and apostilles, liens, cable franchise, trade and service marks, substitute services of process, and public records exception requests.

Customized System: Writing a customized system has the same costs as an application rewrite. Time savings is realized with the documentation of the database (data dictionary and entity relationship diagram [ERD]) occurring in parallel with the writing of the future state documentation and a delay in the data migration, with the added risk of the data not migrating properly.

Licensing/Leasing: Two states (Pennsylvania and Utah), through third parties, offer leasing options for their core registries. There is little advantage to this option, as configuration and data migration will still be required. The risks to Florida with this option are: 1.) Florida would be required to hire developers to make the required configurations and program the incomplete solution; 2.) the State would be responsible for maintenance.; and 3.) the supplying state would not provide training or a warranty.

Commercial Off-the-Shelf (COTS): The Department of State recommends modernizing Florida’s business registry by purchasing a Commercial Off-the-Shelf (COTS) system. As noted in Section II.A.2: A COTS product will provide a turnkey solution for the Division, with a vendor supported and maintained system. The selected vendor can configure their system to align with Florida-specific statutory requirements, and only minor modifications will be needed to easily fill the gaps between their system offerings and the State of Florida legislative mandates. In addition, this option offers an expedient timeframe of approximately 15 months, from execution of the contract to deployment. The COTS systems for commercial registry that are available to Florida, have already been successfully implemented in several other states. And many of those successful implementations have been conducted in similar or even less timeframes. The project teams in other states have also had success in migrating bifurcated data as well as data from different platforms. The estimated cost to implement this solution in Florida is approximately \$12M. Another major advantage is the vendor, not the State of Florida, will be responsible for continued service, hosting and maintenance.

Request for Information

On July 21, 2017, the Department posted a Request for Information (RFI) for vendors who have successfully deployed a Commercial Off-The-Self (COTS) Business Registry solution for at least one of the 50 states or three territories. There were seven respondents. Of those, four were found to meet the criteria. Of these four vendors who responded by the deadline date, three were asked to present their products to the Requirements Committee and their management team. Presentations took place the week of August 14, 2017.

The following is a summary of the 21 states who have engaged with at least one of the four qualified

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respondents and subsequently incorporated at least one module in one of the seven areas the Division intends to include in the State’s Commercial Registry Modernization Project. A vendor may have other modules (e.g. Elections, Unemployment Insurance, Workman’s Compensation) the Division does not intend to include in this project.

State	Core	Liens	Authentications	Cable	Trademarks	Service of Process	Exemptions
Arizona	In Progress						
Arkansas			Complete		Complete		
Connecticut	Complete	Complete	Complete	Complete	Complete		
Georgia	Complete						
Idaho	Complete						
Indiana	Complete						
Louisiana	Complete						
Michigan		Complete					
Montana	Complete	In Progress			Complete		
Nebraska	In Progress						
Nevada	In Progress	In Progress	In Progress		In Progress		
New Hampshire	Complete	Complete			Complete		
New Mexico	Complete	Complete	Complete				
North Dakota	Complete ^A	Complete ^B	Complete ^A				
Ohio		Complete					
South Dakota	Complete	Complete	Complete				
Tennessee	Complete	Complete				Complete	Complete
Vermont	Complete	Complete	Complete		Complete		
Virginia	In Progress	In Progress	In Progress				
Washington	Complete						
Wyoming	Complete						

Note: While the existing vendors researched by the Department of State have most all modules ready for a “plug and play” concept, there was not a vendor who had *everything* for *all* modules. Therefore, we recognize there will be necessary configuration for Florida-specific requirements. Each of the system’s seven modules may need some level of modification or configuration to meet legislative mandates unique to Florida. Additionally, these vendors have distributed their solutions in the United States as well as other governmental units across the world who have functions like the US Divisions of Corporations, including Canada, England, Jersey, Ireland, and New Zealand.

An example of a Florida-specific configuration required by Florida is post-filing a registration. While existing code in the vendor’s solutions allow an entity to pre-file a registration, none of them had the option for post-filing a registration. In Florida, this statutory mandate allows entities to officially form five (5) state work days after the business has begun. The selected vendor would need to configure their registration filing functionality to allow for this requirement, including identifying leap years, weekends, and state holidays to determine five (5) business days prior to the actual filing and recognize the entity is valid. In addition, because non-scheduled events may close state offices (natural disaster, ect.), the system must have the functionality to allow a Division administrator to add days for which the state is closed so the system recognizes compliance in these circumstances. Vendors have indicated these types of modifications are simple and easily achievable.

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Before and after the vendor presentations, representatives of various states are being contacted to share information about their solution, best practices and lessons learned. This will assist Florida with cost, time, and risk analyses. To date, the project management team has spoken a minimum of twice each with executives, purchasing or IT managers, or division directors from eight (8) states and continue to have conversations. The representatives have provided documentation, including their formal solicitation documents utilized to acquire the vendors.

Estimates below are based on information found in the documents provided by the seven (7) vendor submissions, three (3) vendor presentations, discussions with representatives from the eight (8) states, discussions with representatives from the Florida Agency for State Technology (AST), and the project team's experience with projects of equal and greater magnitude.

Requirements Gathering

Requirements gathering for the Commercial Registry Modernization Project has been ongoing since March 2016. In late August 2017, the focus has shifted to developing the Statement of Work (SOW) to be included in a procurement solicitation to be conducted in the fall of 2017.

Summarized History

1996	Florida Business Registry digitized (historical filings remain on microfilm)
2012	Internal analysis identified annual report filing as a candidate for cloud based deployment
2013	Florida Business Registry bifurcated – new annual report filings become cloud-based
2015	HPE AST/DOS hardware of current registry will no longer be supported
March 2016	PM/BA begins documenting system and investigating solutions
May 2016	HPE proposes virtualizing system
June 2017	Virtualization Project initiated
July 2017	Modernization Alternatives Investigated
August 2017	COTS determined to be most viable method of modernization Decision to move procure a COTS solution Decision to proceed with a LBR for funding

Scope

The full Scope of Work (SOW) will be substantially completed in early October. The first deliverable will be for the selected vendor to participate in the development and approval of key project documents, which will include the Communications Plan, Human Resource Plan, Team Roster, Change Management Plan, Decision Escalation Plan, and Status Report. Project work with the vendor will began after a contract is executed and after these documents are memorialized. Drafts of these documents, along with the completed Project Charter, will be completed by the project's management team in February 2018, and submitted for approval to the Executive Committee.

In Scope

Key areas of the SOW include:

- Moving to a maintainable and sustainable architecture
- Unifying the bifurcated system
- Migrating bifurcated data in a manner that synchronizes and reconciles the information so it is both valid and replicable
- Maintaining current historical data and document sequencing
- Changing to a single image structure that is easily editable
- Streamlining the business processes in the seven (7) functional areas of the Division
- Unifying how business is completed throughout the Division
- Implementing an improved search function

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- Developing a secure system, which includes fraud prevention
- Improving the speed and accuracy of correspondence
- Maintaining accountability while decreasing the reliance on paper

A more complete list of objectives can be found in Sections IIB and IIC of this document.

Out of Scope

Although the project does contain judgment and federal tax liens, the project will not include a Uniform Commercial Code (UCC) application. This activity is currently under contract with a vendor through 2021. However, it is important to note the judgment and federal tax lien applications will be configured based on the vendor's UCC application.

Enhancements for non-essential items are not included in this project. The business portion of this project will focus on those activities resulting in maintainable, sustainable, streamlined, and economical processes that improve the speed and ease of filing valid and reliable data and the complying with public searches/receives queries of that data.

Objectives

The primary objectives of the Commercial Registry Modernization Project are: 1.) risk avoidance; 2.) ensuring the State of Florida's revenue stream; and 3.) further fostering and promoting business and public welfare in the state of Florida.

The Division has two primary functions: 1.) formalizing the legal standing of a business or activity by accepting or indexing the filing or registration; and 2.) supplying information and certificating regarding the filings and activities of record. The end of FY 2016-17 fiscal year statistics revealed approximately 2.2M active business entities, 650,000 fictitious name registrations, 13,000 trademark/service mark registrations, and 400,000 commissioned notaries. A new modern technical architecture with modern underlying functionality is necessary if Florida is to improve its information availability and service mechanism and maintain its business friendly, pro-business environment.

The Division's current electronic and filing applications now account for most of the agency's filing and certification applications. A modern system with new technical architecture and underlying functionality will allow the Division to further improve its electronic information availability and service delivery applications and help keep pace with the number of commercial documents submitted to the Division for indexing without additional FTE. During each of the past three (3) years, there has been a 9% annual increase in revenue and filings and this trend is expected to continue.

The new architecture and underlying functionality will be easily and readily supported, scalable, flexible and adaptable to new and revised statutory mandates. Other objectives and benefits include: 1.) improved efficiency and productivity; 2.) more accurate data processing and retrieval; 3.) consistent process implementation, governance and compliance; and 4.) improved reporting capabilities.

The Department of State recommends modernizing Florida's business registry by purchasing a Commercial Off-the-Shelf (COTS) system. With minor configurations, these vendor-supported, turnkey systems can easily fill in the gaps between the vendor's offerings and each state's legislative mandates. In addition, this option offers a shortened time-frame of approximately 18 months from the execution of the contract to deployment. The systems being considered have been successful in other states. The project teams have also had success in migrating bifurcated data and data from of different data types. The estimated cost is \$12M. Another major advantage is the vendor, not the State of Florida, will be responsible for continued service, hosting and maintenance.

Criteria for meeting these objectives is described in section III of this schedule.

Timeline

An aggressive timeline has been proposed. This timeline will also enable the 2018 Legislature to review and approve funding for the Division of Corporations Commercial Registry Modernization Project through a Commercial Off-the-Shelf Solution

- Pre-Project Milestones
 - November 2017
 - Conduct formal solicitation (i.e., Request for Proposal)
 - Project Charter
 - December 2017
 - Bidders Conference (3 days)
 - Proposal Scoring
 - Vendor Presentations (3 days)
 - Schedule IV-B revision
 - Vendor Selection
 - January 2018
 - Intent to Contract
 - February 2018
 - Project Documents Drafted
(Communications Plan, Human Resource Plan, Team Roster, Change Management Plan, Decision Escalation Plan, and Status Report)
 - March 2018
 - Legislation Passed
 - Governor Signs Bill
 - Contract Executed
- Project Milestones
 - April 2018
 - Approved Project Documents
 - First Conversion of BLOB Images Complete
 - June 2018
 - Approved Architecture Design
 - (front facing webservers, firewalls/DMZ, processors, databases, switches, load balancers)
 - Approved Data Security Plan
 - Approved Backup and Disaster Recovery Plans
 - Approved Migration Plan
 - Approved Business Rules for Corporations
 - Development System Standing
 - July 2018
 - “Sandbox” Stood up
 - Testing and Staging Systems Stood Up
 - August 2018
 - First Data Migration Complete
 - Data Synchronization Complete
 - September 2018
 - Second Data Migration Complete
 - First Round of Data Reconciliation Complete
 - Training Documents Approved (Core Functionality)
 - Second Conversion of BLOB Images Complete
 - User Notification Plan Complete (Core Functionality)
 - Approved Business Rules (Ancillary Functionality)
(Liens, Authentications, Cable, Trademarks, Subpoenas, Exemptions)
 - October 2018
 - First Round of Unit Testing Complete (Core Functionality)
 - Production System Stood Up

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- Second Data Migration Complete
- November 2018
 - Integration Testing Complete (Core Functionality)
 - Second Data Reconciliation Complete
 - User Acceptance Testing (UAT) Complete (Core Functionality)
- December 2018
 - Training Complete
 - Date Migration Complete (Core Functionality)
 - **“Go Live” (Core Functionality)**
- February 2019
 - First Round of Unit Testing Complete (Ancillary Functionality)
 - Training Documents Approved (Ancillary Functionality)
- April 2019
 - Integration Testing Complete (Ancillary Functionality)
 - Final Reconciliation Complete
- May 2019
 - User Acceptance Testing (UAT) Complete (Ancillary Functionality)
 - Training Complete (Ancillary Functionality)
- June 2019
 - Date Migration Complete (Ancillary Functionality)
 - **“Go Live” (Ancillary Functionality)**

Project Schedule

The list of milestones is considered the draft project schedule. Working with the selected vendor, the Project Management Team will develop Work Breakdown Structures (WBS) for each of the sub-projects. Each WBS will be more granular and have their own waypoints. The final project schedule must result in two key events: 1.) the release of the accepted Core functions by December 31, 2018; and 2.) the release of the accepted Ancillary functions by June 30, 2019. Status reports will include an evaluation of the project schedule. Any anticipated deviation from the schedule, as soon as it is recognized, will result in a re-baselining of the schedule and a completed risk assessment to determine the impacts on quality, time and cost. Any potential change to any leg of the triad (quality, time and cost) will result in a management team meeting to determine acceptable options, which will be presented to the advisory board and executive management for review and approval. All proposed changes will include at least three options: one that saves costs and quality, but changes time; one that saves time and quality, but changes cost; and one that saves time and cost, but changes quality.

Deliverables

Each milestone represents a deliverable, which can be invoiced by the vendor. In addition to the milestones, each vendor team (system, migration, core activities, ancillary activities, testing, and training) will be required to submit status reports. During the first half of each project period (defined by the milestone), reports will be bi-weekly and during the second half, status reports will be due weekly.

All deliverables will be reviewed by the Management Team, with approvals being signed off by the Senior Project Manager and payments approved by the appropriate Department of State staff from the Division of Administrative Services.

The full Scope of Work will be included in the procurement documents to be released in fall 2017. The procurement documents will be included in any future revised versions of this Schedule IV-B. Deliverables performance will be compared against the Requirements Traceability Matrix (RTM), which will be developed after the release of the procurement and included as part of the Bidders' Conference.

Assumptions and Constraints

The need to modernize the State's business registry assumes the 20 year-old legacy system will eventually be

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unserviceable; the SAN (storage unit) will reach its capacity due to the number of entities doing business in Florida; there will be future changes to Florida's business rules due to legislation; and Hewlett Packard Enterprise (HPE) will not reverse its course to cancel its support contracts for the legacy system and the costs for database licenses will increase. The cost and time estimates assume the State of Florida will provide the vendor with a comprehensive and correct Scope of Work (SOW) and funding will be available on or before July 1, 2018.

The SOW is constrained by, and dependent upon, all necessary internal subject matter experts (SMEs) being made available to the project and all SMEs making the modernization project their top priority.

The cost estimates are based on the vendor maintaining ownership of the base application and it being held in escrow should the company go out of business; the system being written in .NET against a modern database; internal developers having access to change configurations within the application; the hardware being hosted; and a service contract being maintained with the vendor who has access to the servers.

It should be noted that the certain elements of the project schedule are dependent upon variables outside the departments control. Examples include gubernatorial and legislative approval for project initiation and funding appropriation commensurate with expected needs. Additionally, this project is sensitive and subject to when project initiation is realized and any delays may require modifications to the timeline. The department anticipates utilizing a progress payment methodology which will result in payments being made based on a percentage or stage of completion as delineated in the contract.

Driving the December 31, 2018, release date of the core functionality is the statutory requirement for business entities to file their annual reports between January 1 and May 1 each year. A successful migration of the correct data is dependent on the fact no new annual reports will be added or filed on the cloud after the last data migration. Annual report filings will be closed during December 2018 to allow for the final migration and the required testing. The first of November through the end of December 2018, is the window of opportunity for the release of the modernized commercial business registry.

Other constraints and an interdependency are complete data dictionaries for all databases, Entity Relationship Diagrams (ERDs), and binary to image conversion (BLOB to TIF). The data dictionaries and ERDs are dependent on the hiring of a Business Analyst familiar with the legacy system. The Division will be utilizing fiscal year 2017-2018 funds to complete the documentation of the bifurcated databases and the drafting of the project documents. The Bureau of Division Information Systems (BDIS) will utilize in-house staff for documenting the cloud-based and legacy databases. A solution for the conversion of the images stored in BLOB to compressed Tagged Image Format (.tif) images that can be converted into editable Print Document Format (.pdf) documents has been developed and proof-of-concept has been successfully completed.

Within the overall project, which will result in a complete modernization of the State's commercial business registry, will be several subprojects. They include Architecture, Migration, Business, Testing, and Training. Each subproject may be further broken down into smaller projects. Migration includes image transformation, compression (database, legacy and Cloud to the final form) and unification. Various databases have been proposed, but the vendor may have a preferred solution resulting in time and/or cost savings. Business includes functional and technical specifications for each of the seven functional areas. Each area will have its own set of Joint Application Development (JAD) sessions. Some (Architecture, Migration, and Core Business) will run in parallel during the first three months of the project and others (Core Business followed by each of the six ancillary business areas) will run in series.

A traditional approach will be used for project planning with separate plans for architecture, data migration, core system, ancillary system, testing, and training. The data migration plan will be determined in conjunction with the selected vendor. The Department of State plans to store the data in a relational database with images indexed in the database and stored as compressed .tif and .pdf files, with the SAN system being housed at the data center in Southwood. Specific detail will be coordinated with the vendor on the method of data storage, form, and location.

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Management

A project of this complexity requires proper management and advisory boards. With a budget of \$12 million, it is recognized the Agency for State Technology (AST) will be required to provide oversight. The project will follow the Florida Administrative Code (74-1 FAC) for Project Management and Oversight. The project will also require Independent Validation and Verification (IV&V). The funding request includes monies for IV&V.

Executive Management Team

The Executive Management Team (EMT) will include Ken Detzner, Secretary of State; Jennifer Kennedy, Assistant Secretary of State, and be headed by Deputy Secretary Wes Underwood, M.P.A., PMP®, CISA®. The EMT will also include the project sponsor Brenda Vorisek, Director, Division of Corporations; George Brown, Chief Information Officer; and Traci Jones, PMP®, FCCM, Director, Division of Administrative Services. After receiving a recommendation by the Advisory Board, the Executive Management Team will make final approvals to changes in scope, quality, time, or cost. The EMT will advise the Project Management Team of the approved changes and the team will initiate the changes. The EMT will also serve as the top rung of the issue management process.

Advisory Board

The advisory board will consist of the Strategic Planning Coordinators (SPC) from the Florida Agency for State Technology (AST); the project sponsor, Brenda Vorisek; and CIO George Brown. Serving as ad hoc members will be project managers Karl Hook and Artesa Anderson. The SPCs are preferred. These individuals are intimate with project management best practices and can represent and serve as liaisons to other agency stakeholders, keeping the committee from becoming too large. The project management team will take all change management issues to the advisory board with three recommendations – one for quality, time, and cost.

Project Management Team

The project's management team will consist of seven Project Management Professionals from the Department, in addition to the vendor partner's project managers. The team will consist of the following:

- Executive Governance
 - o Wes Underwood, M.P.A., PMP®, CISA®; Deputy Secretary, Florida Department of State
- Project Governance
 - o Karl Hook, PMP®, Senior Project Manager, Consultant
- Technology and Migration
 - o Scott Maynor, PMP®, FCCM; Deputy Chief Information Officer, Florida Department of State
- Core and Ancillary Systems
 - o Artesa Anderson, PMP®; Project Manager/Business Analyst, Consultant
- Procurement/Payments
 - o Vonda Murray, PMP®, FCCM; Purchasing Director, Florida Department of State
- Cost/Benefit Analysis
 - o Christina Harrell, PMP®, FCCM; Contract Administrator, Florida Department of State
- Compliance/Documentation
 - o Leila Thompson, PMP®, FCCM, CPM; Web Services Manager, Florida Department of State
- Communications
 - o Traci Jones, PMP®; Director, Division of Administrative Services, Florida Department of State

Business Team

The business team is led by Traci Jones, Director of the Division of Administrative Services for the Florida Department of State. The team consists of representatives from finance, purchasing, human resources, and information technology (Calvin Sloan [finance], Vonda Murray [purchasing], Christina Harrell [purchasing], and Audrey Mathews [human resources]).

Project Teams

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There will be project teams for Architecture, Migration, Core Functions, Ancillary Functions, Testing, and Training. Each area will include members from the Department and from the vendor. A DOS Project Manager will lead the team and be assisted by a counterpart from the vendor's team. DOS Project Managers will be:

- Scott Maynor – Architecture and Migration
- Artesa Anderson – Core and Ancillary Functions
- Leila Thompson – Testing and Training

From the DOS, Project Teams will include:

- Architecture
 - AST Open Systems Team (Kevin Convery, Jake McWilliams, Travis Casey) (proposed)
- Migration
 - Kevin Farkas, Debbie Page
- Functions
 - Margaret Freeman: Certification (all corporate documents filed and requested by public; Service of Process, Apostilles, Notary, Bond)
 - RoseAnn Varnadore: Fictitious Names; Notaries
 - Diane Cushing: Cable Franchises, Corporate Dissolutions and Withdrawals, Revocation of Dissolutions, Registered Agent Changes and Resignations (Corporate), Officer and Director Resignations (Corporate), Corporate Amendments (all), Amended and Restated Articles, Mergers, Conversions – Florida Profit Corporations converting to a non-Florida business entity, reinstatements
 - Michelle Milligan, Justin Shivers, Nanette Causseaux: Trademark/Service Mark Registrations, Trademark Renewals, Trademark Assignments, Trademark Cancellations, Trademark Owner Name Changes, Pesticide (Like a Designation of Agent) gets Q #'s, Collective/Certification Marks (Assigned same #, different form), Foreign Corporations, Limited Liability Companies and Limited Partnerships, LLC Amendments, LP Amendments, LLC Dissolutions and Withdrawals, LP Cancellations
 - Melanie Solomon: Judgment Liens, General Liens, Federal Liens, Fraud
 - Gary Smith & Kim Walker: Fiscal validation and association to filings
 - Kenny Manning: Reconciliation, Fiscal Reporting
 - Sammy Caldwell: Credit card payments, drawdown accounts
 - Gina McLeod, Lee Yarbrough, and Terri Schroeder: Online Filings, Paper Filings
- Testing
 - Justin Shiver, Michele Milligan, Lyn Shoffstall, Sean Toner
- Training
 - Lyn Shoffstall, Sean Toner

Note: Except for project managers Artesa Anderson and Karl Hook, all staff listed in this plan are full time, State of Florida employees and will retain their position on the completion of the project. The listed project managers are contracted consultants who, at the completion of the project, will be released. Current funds for the planning phase of the project are being paid through funds in the Division's FY 2017-18 base budget. The Human Resource Plan requires the hiring of DOS temporary employees to backfill for the listed DOS staff that will be utilized during the project and to assist in data reconciliation. The selected vendor is responsible for the Human Resource Plan for its staffing. The vendor's Project Staffing Plan is to be reviewed and approved by the DOS Project Management Team.

Planning

Change Management and Escalation Plan

Considerations for changes may begin at the individual level. Change discussions will happen during a routine, scheduled meeting, such as twice daily team standup meetings (15 minute meetings each morning and afternoon to share successes, challenges and ideas). The team is to consider constraints, costs, benefits, and options.

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Viable options are taken by the team lead to the Project Management Team for review and consideration on the impacts on resource allocation and the quality, cost, and time of the project. Options for consideration are taken by the project manager to the Business Unit for confirmation and verification. The project manager takes the request to the Advisory Board for endorsement. The project manager determines whether to continue and present the request to the Executive Management Team for approval. Approved changes are implemented by the appropriate parties. Using an approved Decision Escalation Matrix, the project manager at each level may decide to escalate the issue to the next level or not pursue the change.

Bi-weekly, the project team will utilize Earned Value Management (EVM) to evaluate cost and time evaluation. A negative result will result in a Change Management Review to determine how to make up the schedule or reduce cost.

Communication Plan

The Communication Plan follows the same path as the Change Management Plan. The Subject Matter Experts (SMEs) are at Level 1, under the direction of the team leads (Level 2). The team leads report to the Senior Project Manager who, in turn, reports to the Sponsor, Management Team, Advisory Board (Stakeholder Representatives), Business Team, and Executive Committee. Communications include a scheduled status report from the project teams and the members of the Project Management Team to the senior project manager; and from the project manager to the project sponsor, Advisory Board, Management Team, and Executive Management Team.

The vendor will be required to submit status reports to the Senior Project Manager on a bi-weekly schedule. Individual status reports and a concatenated report will be posted in individual folders on the project SharePoint site. Minutes of project team and management team meetings are the responsibility of the Business Analysts (BA) contracted by the vendor as part of the project. Advisory and Executive Management meetings are to be documented by the DOS business analyst.

Issue Resolution Plan

Issues are to be resolved at the lowest level (staff/level) first. If the issue cannot be resolved or addressed at the staff level, it moves to the team leads from the vendor and the Department (level 2) for resolution. Level 3 consists of project managers (Project Governance for DOS and the senior project manager for the vendor). Level 4 consists of the Executive Governor and the designated person for the vendor. Issues at level 2 and above are to be documented. An issue not resolved within two (2) business days is escalated to the next level.

Cost Management

The Department is currently working with AST on a procurement plan, with the proposed option being a formal solicitation following the dates previously listed as pre-project milestones.

Equipment/Materials Resources

The system will utilize a series of web servers, data servers, data bases, two fire walls, two load balancers, and switches. AST reports these, in conjunction with the Oracle licenses, which are needed for the project are already on site and will not result in any additional cost outside the budgeted managed server fees and license reimbursements.

Hardware used in the current architecture will be decommissioned and designated as surplus.

Budget

The project budget is calculated on the information found in the seven responses to the agency's Request for Information (RFI), the presentations from three respondents, and the information received from several states who have utilized a COTS solution. In addition, AST and BDIS, as well as the consulting project managers, have successfully lead from inception to completion other IT projects with similar scope for other state

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agencies.

The Department of State, Division of Corporations is requesting \$12M in Nonrecurring General Revenue and \$3.6M in Recurring General Revenue for its Commercial Registry Modernization Project. The \$12M in Nonrecurring General Revenue will enable the Division of Corporations to contract with a vendor to modernize its computer applications, storage solutions, and service deliverables utilizing a turnkey, configurable COTS solution.

Operational/recurring costs are estimated at \$3.6M (only 1% of the \$358M in general revenue funds) collected by the Division in FY 2016-17. This includes licensing, hosting, maintenance, hardware, storage and bandwidth fees. The vendor will support and maintain the software which will also provide the Department of State with more cost-effective workload flexibility.

The detailed budget for this project will be available upon final vendor selection. The vendors from the DOS previous RFI have similar total dollar figures, each with a different focus for their solution. The budget includes planning and development, testing, training, deployment, licensing, and six months of hosting, maintenance, and support, as well as hardware costs. The budget also includes funds for Independent Verification and Validation (IV & V), project management, and OPS salaries for backfilling for DOC staff serving as SMEs and for data reconciliation, as well as covering the Help Desk during training.

Risk Management

Risk Management Plan

A key focus of risk management is to anticipate, identify and address events or occurrences that left unabated could negatively impact a project's success. Risk Management Plans define work products and processes for assessing and controlling risks. The process of Risk Management has two parts: risk assessment, which involves identifying, classifying, analyzing and prioritizing risk; and risk monitoring and control, which involves planning, tracking and reporting, reducing and resolving risk. This project will follow DOS's standard process for Risk Management. This includes:

- Identification of potential risks early in the planning phases. Potential Project Risks are provided in the risk mitigation table below.
- Establishment of a formal Project Risk Review Team to evaluate risks on a scheduled basis.
- Establishment of a method for analyzing and prioritizing risk.
- Review new or changing Risks at Weekly Project Status Meetings.
- Ensure all Project Team Members are aware of the Risk Management process and their involvement in the process.

Risk Mitigation

Inventory of Potential Risks and Response Strategies		
Risk Type	Risk Description	Risk Response Strategy and Notes
Project Organization	Inconsistent processes and standards across DOS business units could impact drive to standardize business processes	<ul style="list-style-type: none"> • Establish organizational change management program • Engage stakeholders from various agencies in defining process changes
Change Management, Technology	Perception by various DOS	<ul style="list-style-type: none"> • Encourage early involvement

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	business units about apparent loss of tailored functionality	<p>by key business units</p> <ul style="list-style-type: none"> • Ensure Change Management and Communication Plan emphasizes benefits of enterprise solution • Ensure consistent and ongoing executive management support
Project Organization	Changes in DOS executive management can impact program execution	<ul style="list-style-type: none"> • Immediately brief new management on program objectives and status • Implement Steering Committee to manage program with a mix of executive-level policymakers and senior-level career staff • Engage continuing Steering Committee members to assist in presenting program benefits to new management team members • Include career staff in key roles responsible for managing program execution for continuity
Fiscal	Delay in obtaining funding for all or part of proposed program effort from the legislature	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval for change in scope based on funding • Revisit budgets regularly; economic factors should be on agenda for discussion at Steering Committee meetings and other executive management briefings where appropriate • Adjust program schedule as necessary based on timing of funding • Identify activities that could continue in the interim (process analysis, etc.) to maintain momentum
Fiscal	Less funding than requested is approved for the program effort	<ul style="list-style-type: none"> • Actively engage with stakeholders and policymakers to obtain approval • Revisit budgets regularly; economic factors should be on agenda at Steering Committee meetings or executive briefings as appropriate • Adjust scope and/or program schedule as necessary based on

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		timing of funding
Project Complexity	Challenges in aligning project schedule with current hosting services or the vendor's hosting solution	<ul style="list-style-type: none"> Initiate early discussions with the current hosting provider and/or the vendor hosting team and continue dialogue throughout planning process
Communication	Project delays not resolved in a timely manner	<ul style="list-style-type: none"> Initiate early discussions Monitor and track resolution Ensure management understands required timeline for resolution and cost/schedule impact of not resolving
Strategic	Desired business benefits not achieved	<ul style="list-style-type: none"> Adhere to requirements, involve stakeholders and tie scope decisions to performance measures and anticipated benefits to ensure success Incorporate business process training and mentoring into the work plan
Project Organization	Staff not being able to participate when needed or review deliverables within schedule	<ul style="list-style-type: none"> Utilize a project approach that leverages best practices as a starting point for discussions to better leverage staff time Proactively identify resource constraints and escalate in a timely manor Re-assign some responsibilities of key extended team members Reprioritize some activities assigned to extended team members
Project Complexity	Project scope too large or complex and/or implementation strategy attempts to implement too much at one time	<ul style="list-style-type: none"> Establish implementation plan, carefully develop the plan and link it to expected business benefits Link project scope to business benefits Careful review by DOS Steering Committee of requirements and implementation plan before approving implementation go-ahead Develop scope change process that requires demonstrated link to targeted business benefits and program steering

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		committee approval of any proposed scope changes
Project Organization, Project Management	Availability of DOS resources (business and technical) to support implementation	<ul style="list-style-type: none"> • Develop detailed estimates of resource requirements as early as possible as part of planning • Develop an implementation strategy and work plan that is in sync with availability of DOS resources • Obtain specific commitment of resources from DOS management prior to start of implementation
Project Complexity, Project Management	Need to provide moderate number of employees with training on various new application functions	<ul style="list-style-type: none"> • Initiate organizational change management program from start of program • Develop training strategy for each project component early and monitor status of training effort closely

System Security Plan

Florida’s Business Registry is an enterprise system. The Department of State (DOS) will follow all state and federal laws and regulations, as well as industry standards related to security and data protection. This begins with the system architecture which will follow (FAC)-74-5 rule for Information Technology Architecture Standards. The hardware will be housed in the secure State Data Center (SDC), which is certified as a Tier III on the Uptime Institute’s four (4) tier classification system and adheres to (FAC)-74-3 related to data center operations. The SDC is a shared use, state-of-the-art data center that is staffed 24x365 and provides safe and secure housing for data processing equipment and applications for 34 agencies boards, commission, and municipalities.

As a Tier III center, the SDC:

- Provides a dedicated site infrastructure to support information technology beyond an office setting.
- includes a dedicated space for IT systems; an uninterruptible power supply (UPS) to filter power spikes, sags, and momentary outages; dedicated cooling equipment that won’t get shut down at the end of normal office hours; and an engine generator to protect IT functions from extended power outages.
- Provides redundant critical power and cooling components to provide select maintenance opportunities and an increased margin of safety against IT process disruptions that would result from site infrastructure equipment failures. The redundant components include power and cooling equipment such as UPS modules, chillers or pumps, and engine generators.
- Requires no shutdowns for equipment replacement and maintenance.
- A redundant delivery path for power and cooling is added to the redundant critical components of Tier II so that each and every component needed to support the IT processing environment can be shut down and maintained without impact on the IT operation.

Should the project be moved from the SDC, the contracted data center must meet the minimum requirements of a Tier III data center and (FAC) 74-3. The architecture of all systems (Test, Stage, and Production) will utilize a DMZ with a firewall between the forward facing webservers and the system servers and a second between the servers and the database.

The project will meet or exceed the National Institute of Standards and Technology (NIST) special publication 800-53 for security controls and Florida Admin Code (FAC) 74-2 on Information Technology Security.

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Organizational standard policies, processes, and procedures include those for confidentiality to and access of information; security and data protection, record retention, destruction of classified information, registry data and metadata, and authorized technology.

As part of the data recovery plan, the system requires offsite data backups. Original data nor backups may be on a non-private cloud system and data centers and backups must be within the continental United States and owned and maintained by an American owned company.

Access to the system will be through a Secure Socket Layer (SSL) certificate utilizing the latest encryption.

All persons working on the project (vendors, contractors, state employees) must be successfully vetted with a Florida Department of Law Enforcement (FDLE) Level II background check and complete a tutorial in data security and sign a non-disclosure agreement.

Public searches will not require credentials. Any action that modifies data requires credentials issued by the system. All persons accessing data and/or with the ability to change information must have credentials that both authenticate their identification and authorize access to different security levels (view only public information through the changing of financial data and the “Super User” who can generate credentials and allow access).

It is recognized that the first challenge in credentialing will be authenticating users of the system who are associated with formed entities. The second challenge will be stakeholders from state agencies outside of the DOS. Authentication and authorization for DOS employees will be based on information in the Department’s Active Directory.

VIII. Appendices

- A. Schedule IV-B Cost Benefit Analysis FY 18_19
- B. Project Risk Assessment FY 18_19
- C. ROI Calculations FY 18_19



**State of Florida, Agency for State Technology
IT LBR Review Assessment**

Form Title: IT LBR Review Assessment Form Number: AST-SPC-F-0001 Effective Date: 07/13/15 Revision: 2.1, 10/18/16
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Issue Code-Title:	Amount Requested:
Agency/Program:	Reviewer:
Determination: <small>(Complete / Incomplete)</small>	Date of Review:

Notes:

1. PROBLEM STATEMENT:

The Florida Department of State, Division of Corporations (the Division), is currently operating on a bifurcated system, which consists of a legacy system, a cloud system, and an intermediary system. The legacy system is over 20 years old, and currently performs 70% of the Division’s functions; the cloud system, implemented in 2013, performs 20%; and 10% is performed by the intermediary system, which was subsequently developed to bridge the functions between the legacy and the cloud system. Synchronization between the databases is currently a challenge. All records filed prior to 2013 remain in the legacy’s storage system and 70% of the data since 2013 is now stored in the Microsoft Azure Cloud.

The Florida Department of State, Division of Corporations, serves as the state’s central depository for a variety of commercial activities, such as profit and not-for-profit corporations, limited liability companies, limited partnerships, trade and service mark registrations, federal lien recordings, judgment lien filings, fictitious name registrations, notary commissions, and cable and video service franchises. Sunbiz.org, the Division’s website, serves as the State of Florida’s official commercial business entity index and activity website.

Although robust, the Division’s legacy system is no longer able to be supported; local resources are no longer available; parts are not readily available, expensive and fragile; its software languages and operating systems are obsolete; database administrators are difficult to find; and licenses are expensive. Both its hardware and software are unsustainable and the hardware will soon be at end of life and no longer supported. New business rules are difficult to implement and current applications are difficult to maintain.

The Division of Corporations relies on the functions of the legacy system in order to perform and maintain its mission critical operations. Failure to provide these operations would result in a loss in the State of Florida’s revenue stream and could have a negative economic impact on Florida’s economy, business community, law enforcement agencies, the general public, and other agencies which depend on our commercial data and business activities.

Increased economic activity brings in more than 400,000 new business filings and registrations per year. During FY 2016-17, Sunbiz.org handled in excess of 294M web accesses. With an operating

budget of 7.4M and 102 FTE, the Division filed more than 2.8M commercial documents; provided over 785,000 copy, certification, and authentication services; and collected in excess of \$358M in revenue.

The Division currently maintains more than 8 million records and annually performs 5 million activities. Commercial business filings and activities are filed with the Division in accordance with sections 20.10(2)(c), 55.2, 83.49 376.13, 376.14, 376.3075, 420.101, 604.11, 657.254, 713.9, 865.09, and Chapters 15, 48, 83, 110, 116-119, 215, 216, 289, 425, 471, 495, 506, 540, 605-610, 617-622, 668, 671, 679, 680, 692 and 720, Florida Statutes. Permanent loss of vital commercial data and records is possible.

2. BUSINESS OBJECTIVES AND BENEFITS:

The primary objectives of the Commercial Registry Modernization Project are: 1.) risk avoidance; 2.) ensuring the State of Florida's revenue stream; and 3.) further fostering and promoting business and public welfare in the State of Florida.

The Division has two primary functions: 1.) formalizing the legal standing of a business or activity by accepting or indexing the filing or registration; and 2.) providing certification, authentication, imaging and informational services regarding the filings and activities of record. The end of FY 2016-17 statistics revealed approximately 2.2M active business entities, 650,000 fictitious name registrations, 13,000 trademark/service mark registrations, and 400,000 commissioned notaries. A new, updated technical architecture with modern underlying functionality is necessary for Florida to improve its information availability and service mechanism, and to maintain its proactive business friendly environment.

The Division's current electronic and filing applications now account for the majority of the agency's filing and certification applications. A modern system with new technical architecture and underlying functionality will allow the Division to further improve its electronic information availability and service delivery applications and help keep pace with the number of commercial documents submitted to the Division for indexing without additional FTE. During each of the past three (3) years, there has been a 9% annual increase in revenue and filings, and this trend is expected to continue.

The new architecture and underlying functionality will be easily and readily supported, scalable, flexible and adaptable to new and revised statutory mandates. Other objectives and benefits include: 1.) improved efficiency and productivity; 2.) more accurate data processing and retrieval; 3.) consistent process implementation, governance and compliance; and 4.) improved reporting capabilities.

The Department of State recommends modernizing Florida's business registry by purchasing a Commercial Off-the-Shelf (COTS) system. A COTS product will provide a turnkey solution for the Division, with a vendor supported and maintained system. The selected vendor can configure their system to align with Florida-specific statutory requirements, and only minor modifications will be needed to easily fill the gaps between their system offerings and the State of Florida legislative mandates. In addition, this option offers an expedient timeframe of approximately 15 months, from execution of the contract to deployment. The COTS systems for commercial registry available to Florida, have already been successfully implemented in several other states. And many of those

successful implementations have been conducted in similar or even less timeframes. The project teams in other states have also had success in migrating bifurcated data as well as data from different platforms. The estimated cost to implement this solution in Florida is approximately \$12M. Another major advantage is the vendor, not the State of Florida, will be responsible for continued service, hosting and maintenance.

3. SOLUTION ALTERNATIVES:

The Department of State has investigated multiple alternative solutions. These options included moving the entire application to a cloud-based system; virtualizing the legacy servers and moving the image server (storage) to a new storage area network (SAN); rewriting the current application; custom writing a new application; and purchasing a turnkey, vendor-supported, and easily configurable Commercial Off-the-Shelf system (COTS). The Department recommends the purchase of a COTS system.

4. ASSUMPTIONS, CONSTRAINTS AND DEPENDENCIES:

The need to modernize the State's business registry assumes the 20-year-old legacy processors will eventually be unserviceable; the current SAN will reach its capacity due to the number of entities doing business in Florida; there will be future changes to Florida's business rules due to legislation; and Hewlett Packard Enterprise (HPE) will not reverse its course to cancel its support contracts for the legacy processors or the costs for database licenses will not increase. The cost and time estimates assume the State of Florida will provide the vendor with a comprehensive and correct Scope of Work (SOW), and funding will be available on or before July 1, 2018.

The SOW is constrained by, and dependent upon, all necessary internal subject matter experts (SMEs) being made available to the project and all SMEs making the modernization project their top priority.

The cost estimates are based on the vendor maintaining ownership of the base application and it being held in escrow should the company go out of business; the system being written in .NET against a modern database; internal Department of State staff having access to make configurations within the application (dates, fee schedules, correspondence); the hardware being hosted; and a service contract being maintained with the vendor who has access to the servers.

5. IMPLEMENTATION APPROACH

For over one year, the Department of State (DOS) has been working with the Agency for State Technology (AST) to move away from the legacy servers, due to the risk of staying on the outdated architecture currently hosted by AST. Two recent events emphasized the need to modernize the infrastructure. In early 2017, a short in the hardware servicing the legacy server caused a fire, threatening the irreplaceable servers. Then in July and August of 2017, a series of outages caused one of the nodes (the one serving as the controller) to fail, and prevented access to the database. Software fixes allowed the node to be bypassed, until a failure during the week of August 7. With the hardware under a HPE service contract, the server was back online within 24 hours, with the cause of the outage identified by AST and updated hardware installed over the weekend.

The above vignettes are provided to: 1.) illustrate the impending failure of the hardware housing an application essential to the State of Florida; and 2.) to demonstrate DOS and AST have been working together to resolve the issue.

A Request for Information (RFI) (DOS RFI 07/17-06) was posted on July 21, 2017, requesting information from vendors of Commercial Off-the-Shelf (COTS) business registry systems successfully deployed at state level Corporations divisions. Seven (7) vendors responded and three (3) were selected to present to the Division of Corporations staff and administration. The Division's goal was to determine information needed for inclusion in a solicitation in order to properly secure a successful COTS solution to economically meet its needs, in a reasonable timeline. In addition, the Division contacted the Department of State of several states who recently completed, or are in the process of, modernizing their business registries. Conversations have been held internally with DOS's procurement, information technology, administrative, and executive staff, as well as conversations with Department of State staff from Connecticut, Colorado, Georgia, Idaho, Louisiana, Montana, North Dakota, Ohio, and Tennessee; and the Division has received the procurement documents from Idaho and North Dakota as examples. Conversations are scheduled with Indiana, Pennsylvania, South Dakota, and Wyoming. Cost and time estimates, as well as actual costs and timelines, were acquired and can be applied to Florida's request for a COTS system. Through this research, it has also been determined that although universal, a COTS business registry is configurable (up to 80%), which allows each state to configure the system to meet its specific statutory mandates and business rules.

Last year, DOS engaged a Project Manager/Business Analyst to become familiar with the business of the Division of Corporations and to begin documentation. On May 25, 2017, DOS also on-boarded a Project Manager to manage the virtualization of the legacy servers and to conduct the feasibility of implementing a COTS solution.

The deployment of a configurable, vendor-supported COTS solution will drastically change and improve the business practices of the Division. The processes will be simplified by aligning, combining, optimizing, and streamlining the processes throughout the Division; it will remove the need to synchronize databases and reconcile differences in data, by automating processes and data mining (queries); paper will be reduced; and improvements to the system validity and reliability will be made. A private, local, dedicated Cloud infrastructure will provide the Department with: 1.) greater security; 2.) more enhanced and predictable service availability; and 3.) more cost effective workload flexibility.

6. TIMELINE:

Due to the age of the existing system, an aggressive timeline has been proposed. This timeline will also enable the 2018 Legislature to review and approve funding for the Division of Corporations Commercial Registry Modernization Project through a Commercial Off-the-Shelf Solution.

- Pre-Project Milestones
 - November 2017
 - Conduct formal solicitation (i.e., Request for Proposal)
 - Project Charter

- December 2017
 - Bidders Conference (3 days)
 - Proposal Scoring
 - Vendor Presentations (3 days)
 - Schedule IV-B revision
 - Vendor Selection
- January 2018
 - Intent to Contract
- February 2018
 - Project Documents Drafted
 - Communications Plan, Human Resource Plan, Team Roster, Change Management Plan, Decision Escalation Plan, and Status Report
- March 2018
 - Legislation Passed
 - Governor Signs Bill
 - Contract Executed
- Project Milestones
 - April 2018
 - Approved Project Documents
 - First Conversion of BLOB Images Complete
 - June 2018
 - Approved Architecture Design
 - (front facing webservers, firewalls/DMZ, processors, databases, switches, load balancers)
 - Approved Data Security Plan
 - Approved Backup and Disaster Recovery Plans
 - Approved Migration Plan
 - Approved Business Rules for Corporations
 - Development System Standing
 - July 2018
 - “Sandbox” Stood up
 - Testing and Staging Systems Stood Up
 - August 2018
 - First Data Migration Complete
 - Data Synchronization Complete
 - September 2018
 - Second Data Migration Complete
 - First Round of Data Reconciliation Complete
 - Training Documents Approved (Core)
 - Second Conversion of BLOB Images Complete
 - User Notification Plan Complete (Core)
 - Approved Business Rules (Ancillary)
 - (Liens, Authentications, Cable, Trademarks, Subpoenas, Exemptions)
 - October 2018
 - First Round of Unit Testing Complete (Core)
 - Production System Stood Up
 - Second Data Migration Complete

- November 2018
 - Integration Testing Complete (Core)
 - Second Data Reconciliation Complete
 - User Acceptance Testing (UAT) Complete (Core)
- December 2018
 - Training Complete
 - Date Migration Complete (Core)
 - **“Go Live” (Core)**
- February 2019
 - First Round of Unit Testing Complete (Ancillary)
 - Training Documents Approved (Ancillary)
- April 2019
 - Integration Testing Complete (Ancillary)
 - Final Reconciliation Complete
- May 2019
 - User Acceptance Testing (UAT) Complete (Ancillary)
 - Training Complete (Ancillary)
- June 2019
 - Date Migration Complete (Ancillary)
 - **“Go Live” (Ancillary)**

7. COST SUMMARY:

The Department of State, Division of Corporations is requesting \$12M in Nonrecurring General Revenue and \$3.6M in Recurring General Revenue for its Commercial Registry Modernization Project. The \$12M in Nonrecurring General Revenue will enable the Division of Corporations to contract with a vendor to modernize its computer applications, storage solutions, and service deliverables utilizing a turnkey, configurable COTS solution.

Vendors offer multiple procurement options. Options include: 1.) fixed-priced contract with all funds paid after successful project completion; 2.) term payments; 3.) no payment upfront with a fee for each transaction; and 4.) a percentage of annual fee collections.

8. OPERATIONAL FISCAL IMPACT:

Operational costs are estimated at \$3.6M (only 1% of the \$358M in general revenue funds) collected by the Division in FY 2016-17. This includes licensing, hosting, maintenance, hardware, storage and bandwidth fees. The vendor will create a private, local, dedicated cloud infrastructure which will also provide the Department of State with more cost effective workload flexibility.

Fiscal Year 2018-19 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of State 45000000

Agency Budget Officer/OPB Analyst Name: Angela Bonds / Sherie Carrington

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

I. GENERAL

1.1 Are Columns A01, A04, A05, A23, A24, A25, A36, A93, IA1, IA5, IA6, IP1, IV1, IV3 and NV1 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for both the Budget and Trust Fund columns (no trust fund files for narrative columns)? Is Column A02 set to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for the Trust Fund Files (the Budget Files should already be on TRANSFER CONTROL for DISPLAY and MANAGEMENT CONTROL for UPDATE)? Are Columns A06, A07, A08 and A09 for Fixed Capital Outlay (FCO) set to TRANSFER CONTROL for DISPLAY status only (UPDATE status remains on OWNER)? (CSDI)	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 Column A12 security been set correctly to TRANSFER CONTROL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status? (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 after all audits have been corrected, reports are complete, and data verified for final submission; 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. A security control feature has been added to the LAS/PBS Web upload process that will require columns to be in the proper status before uploading.						

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 59 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 29)? Do they clearly describe the issue?	Y	Y	Y	Y	Y	Y

3. EXHIBIT B (EXBR, EXB)

3.1 Is it apparent that there is a fund shift where an appropriation category's funding source is different between A02 and A03? 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.	N/A	N/A	N/A	N/A	N/A	N/A
AUDITS:						
3.2 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
3.3 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
TIP Generally look for and be able to fully explain significant differences between A02 and A03.						

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
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, a 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 62 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 [with a \$5,000 allowance] 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 [with a \$5,000 allowance at the department level] 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 2016-17 approved budget. Amounts should be positive. The \$5,000 allowance is necessary for rounding.						
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
TIP	Exhibit D-3 is not 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) (Required to be posted to the Florida Fiscal Portal)							
7.1	Are the issue titles correct and do they clearly identify the issue? (See pages 15 through 29 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 pages 67 through 69 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 69 through 72 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

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
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 through E.6 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
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. (See pages 95 and 96 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A	N/A
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 #18-005?	N/A	N/A	N/A	N/A	N/A	N/A
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
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	Y	Y	Y	Y	Y	Y
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15	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.	N/A	N/A	N/A	N/A	N/A	N/A
7.16	Do the issue codes relating to special <i>salary and benefits</i> issues (e.g., position reclassification, pay grade adjustment, overtime/on-call pay, etc.) have an "A" in the fifth position of the issue code (XXXXAXX) and are they self-contained (not combined with other issues)? (See pages 28 and 90 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
7.17	Do the issues relating to <i>Information Technology (IT)</i> have a "C" in the sixth position of the issue code (36XXXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 17C01C0, 17C02C0, 17C03C0, 24010C0, 33001C0, 30010C0, 33011C0, 160E470, 160E480 or 55C01C0)?	Y	N/A	N/A	Y	N/A	N/A
7.18	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
7.19	Does the issue narrative identify the strategy or strategies in the Five Year Statewide Strategic Plan for Economic Development?	Y	Y	Y	Y	Y	Y
AUDIT:							
7.20	Does the General Revenue for 160XXXX (Adjustments to Current Year Expenditures) issues net to zero? (GENR, LBR1)	Y	Y	Y	Y	Y	Y
7.21	Does the General Revenue for 180XXXX (Intra-Agency Reorganizations) issues net to zero? (GENR, LBR2)	N/A	N/A	N/A	N/A	N/A	N/A
7.22	Does the General Revenue for 200XXXX (Estimated Expenditures Realignment) issues net to zero? (GENR, LBR3)	Y	Y	Y	Y	Y	Y
7.23	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

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
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 67 through 72 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 2017-18 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.						
8. SCHEDULE I & RELATED DOCUMENTS (SC1R, SC1 - Budget Entity Level or SC1R, SC1D - Department Level) (Required to be posted to the Florida Fiscal Portal)							
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 and Schedule IB 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 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; fixed capital outlay adjustment 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 section 215.32(2)(b), Florida Statutes - 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)? For non-grant federal revenues, is the correct revenue code identified (codes 000504, 000119, 001270, 001870, 001970)?	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 section 215.20, Florida Statutes, for appropriate General Revenue Service Charge percentage rates.)	N/A	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

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
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?	N/A	N/A	Y	N/A	N/A	N/A
8.20	Are appropriate General Revenue 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, Section III?	Y	Y	Y	Y	Y	Y
8.25	Are current year September operating reversions (if available) appropriately shown in column A02, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
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	Has the agency properly accounted for continuing appropriations (category 13XXXX) in column A01, Section III?	N/A	N/A	N/A	N/A	N/A	N/A
8.28	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
8.29	Does Line I of Column A01 (Schedule I) equal Line K of the Schedule IC?	Y	Y	Y	Y	Y	Y
AUDITS:							
8.30	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
8.31	Is the June 30 Adjusted Unreserved Fund Balance (Line I) equal to the July 1 Unreserved Fund Balance (Line A) of the following year? If a Schedule IB was prepared, do the totals agree with the Schedule I, Line I? (SC1R, SC1A - Report should print "No Discrepancies Exist For This Report")	Y	Y	Y	Y	Y	Y
8.32	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
8.33	Has a Schedule IB been provided for ALL trust funds having an unreserved fund balance in columns A01, A02 and/or A03, and if so, does each column's total agree with line I of the Schedule I?	Y	Y	Y	Y	Y	Y
8.34	Have A/R been properly analyzed and any allowances for doubtful accounts been properly recorded on the Schedule IC?	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!						

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
TIP	Determine if the agency is scheduled for trust fund review. (See page 128 of the LBR Instructions.) Transaction DFTR in LAS/PBS is also available and provides an LBR review date for each trust fund.						
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 158 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
10. SCHEDULE III (PSCR, SC3)							
10.1	Is the appropriate lapse amount applied? (See page 93 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
10.2	Are amounts in <i>Other Salary Amount</i> appropriate and fully justified? (See page 96 of the LBR Instructions for appropriate use of the OAD transaction.) Use OADI or OADR to identify agency other salary amounts requested.	N/A	N/A	N/A	N/A	N/A	N/A
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 (with "C" in 6th position or within a program component of 1603000000), 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? Note: FCO issues can be included in the priority listing.	Y	Y	Y	Y	Y	Y
13. SCHEDULE VIIIB-1 (EADR, S8B1)							
13.1	NOT REQUIRED FOR THIS YEAR						
14. SCHEDULE VIIIB-2 (EADR, S8B2) (Required to be posted to the Florida Fiscal Portal)							
14.1	Do the reductions comply with the instructions provided on pages 102 through 104 of the LBR Instructions regarding a 10% reduction in recurring General Revenue and Trust Funds, including the verification that the 33BXXX0 issue has NOT been used? Verify that excluded appropriation categories and funds were not used (e.g. funds with FSI 3 and 9, etc.)	Y	Y	Y	Y	Y	Y
15. SCHEDULE VIIIC (EADR, S8C) (This Schedule is optional, but if included it is required to be posted to the Florida Fiscal Portal)							
15.1	Does the schedule display reprioritization issues that are each comprised of two unique issues - a deduct component and an add-back component which net to zero at the department level?	N/A	N/A	N/A	N/A	N/A	N/A
15.2	Are the priority narrative explanations adequate and do they follow the guidelines on pages 105-107 of the LBR instructions?	N/A	N/A	N/A	N/A	N/A	N/A
15.3	Does the issue narrative in A6 address the following: Does the state have the authority to implement the reprioritization issues independent of other entities (federal and local governments, private donors, etc.)? Are the reprioritization issues an allowable use of the recommended funding source?	N/A	N/A	N/A	N/A	N/A	N/A
AUDIT:							
15.6	Do the issues net to zero at the department level? (GENR, LBR5)	N/A	N/A	N/A	N/A	N/A	N/A
16. SCHEDULE XI (USCR, SCXI) (LAS/PBS Web - see pages 108-112 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)							

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
16.1	Agencies are required to generate this spreadsheet via the LAS/PBS Web. The Final Excel version no longer has to be submitted to OPB for inclusion on the Governor's Florida Performs Website. (Note: Pursuant to section 216.023(4) (b), Florida Statutes, the Legislature can reduce the funding level for any agency that does not provide this information.)						
16.2	Do the PDF files uploaded to the Florida Fiscal Portal for the LRPP and LBR match?	Y	Y	Y	Y	Y	Y
AUDITS INCLUDED IN THE SCHEDULE XI REPORT:							
16.3	Does the FY 2016-17 Actual (prior year) Expenditures in Column A36 reconcile to Column A01? (GENR, ACT1)	Y	Y	Y	Y	Y	Y
16.4	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
16.5	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
16.6	Has the agency provided the necessary standard (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
16.7	Does Section I (Final Budget for Agency) and Section III (Total Budget for Agency) equal? (Audit #4 should print "No Discrepancies Found")	N	N	N	N	N	N
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
17. MANUALLY PREPARED EXHIBITS & SCHEDULES (Required to be posted to the Florida Fiscal Portal)							
17.1	Do exhibits and schedules comply with LBR Instructions (pages 113 through 155 of the LBR Instructions), and are they accurate and complete?	Y	Y	Y	Y	Y	Y
17.2	Does manual exhibits tie to LAS/PBS where applicable?	Y	Y	Y	Y	Y	Y
17.3	Are agency organization charts (Schedule X) provided and at the appropriate level of	Y	Y	Y	Y	Y	Y
17.4	Does the LBR include a separate Schedule IV-B for each IT project over \$1 million (see page 131 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: IT@LASPBS.STATE.FL.US?	N/A	N/A	N/A	Y	N/A	N/A
17.5	Are all forms relating to Fixed Capital Outlay (FCO) funding requests submitted in the proper form, including a Truth in Bonding statement (if applicable) ?	N/A	N/A	N/A	N/A	N/A	N/A
AUDITS - GENERAL INFORMATION							
TIP	Review <i>Section 6: Audits</i> of the LBR Instructions (pages 157-159) 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.						
18. CAPITAL IMPROVEMENTS PROGRAM (CIP) (Required to be posted to the Florida Fiscal Portal)							
18.1	Are the CIP-2, CIP-3, CIP-A and CIP-B forms included?	Y	Y	Y	Y	Y	Y
18.2	Are the CIP-4 and CIP-5 forms submitted when applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
18.3	Do all CIP forms comply with CIP Instructions where applicable (see CIP Instructions)?	Y	Y	Y	Y	Y	Y
18.4	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
18.5	Are the appropriate counties identified in the narrative?	N/A	N/A	N/A	N/A	N/A	N/A
18.6	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

		Program or Service (Budget Entity Codes)					
Action		4501	4510	4520	4530	4540	4550
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.						
19. FLORIDA FISCAL PORTAL							
19.1	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