FLORIDA DEPARTMENT of STATE

RON DESANTIS
Governor

CORD BYRD
Secretary of State

LEGISLATIVE BUDGET REQUEST

Department of State

Tallahassee

September 15, 2023

Chris Spencer, Director
Office of Policy and Budget
Executive Office of the Governor
1702 Capitol
Tallahassee, Florida 32399-0001

J. Eric Pridgeon, Staff Director
House Appropriations Committee
221 Capitol
Tallahassee, Florida 32399-1300

Tim Sadberry, 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 Florida 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 2024-25 Fiscal Year. This submission has been approved by Cord Byrd, Secretary of State.

Sincerely,

Cord Byrd
Secretary of State

Attachments

FLORIDA DEPARTMENT of STATE

Temporary Special Duty - General Pay Additives Implementation Plan for Fiscal Year 2024-2025

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 utilizing the DOS *Request for Salary Additive or Increase to Base Rate of Pay Form*. 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 Division Director and then to the Chief Operating Officer (COO) who shall verify that the Division has sufficient salary rate and dollars to pay the additive. If approved by the COO, the request shall be submitted to the Assistant Secretary of State/Chief of Staff for review and approval. If approved by the Assistant Secretary of State/Chief of Staff, the request shall be submitted to the Office of Human Resources for submission to the Department of Management Services (DMS) for review and recommendation within 14 days prior to the effective date.

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 90 days unless an extension is granted. If an extension is needed, the Office of Human Resources will get the approval from the Assistant Secretary of State/Chief of Staff and submit the extension request to DMS. If the circumstances under which the additive was granted have changed, the additive shall be removed or adjusted as appropriate.

5. Effective Date of Additive

The effective date of the additive will be the first day the additional duties are assigned, and approval received from DMS, 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 Assistant Secretary of State/Chief of Staff 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 2023-2024 is unknown.

8. Historical Data

The temporary special duty pay additive was first implemented by the Department in or about 1999. Two positions in the class code 2739 were approved by the Department for temporary special duty-general pay additives during FY 2022-2023 in the amount of $1,040.67.

9. Estimated Annual Cost

The Department estimates that the annual cost of the additive will not exceed $15,000.

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 performs a major portion of the duties of the higher level position, irrespective of whether the higher level position is funded, for 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 rules of the State Personnel System, beginning with the 23rd day.
>
> (B) Employees being paid at a higher rate while temporarily acting in a position in a higher broadband level will be returned to their regular rate of pay when the period of temporary specials duty in the higher broadband level is ended.

FLORIDA DEPARTMENT of STATE

Department Level
Exhibits and Schedules

Legislative Budget Request
FY 2024-2025

Schedule VII: Agency Litigation Inventory			
Agency:	**Department of State**		
Contact Person:	Brad McVay	Phone Number:	850-245-6536

Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*League of Women Voters of Florida v. Lee*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	No. 4:21-cv-186; 22-11143	
Summary of the Complaint:	Challenges provisions of SB 90 (Secure Drop Box Restriction, Vote-By-Mail Repeat Request Requirement, Voting Line Relief Restrictions, and Volunteer Assistance/Ballot Collection Restriction, Voter Registration Disclaimer) under various VRA and constitutional provisions.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§§ 97.0575, 101.69, 101.62, 102.031, 104.0616, Fla. Stat.	
Status of the Case:	Remanded post-11th Circuit Opinion.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*NAACP v. Lee*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	No. 4:21-cv-187; 22-11144	
Summary of the Complaint:	Challenges provisions of SB 90 (Secure Drop Box Restriction, Vote-By-Mail Repeat Request Requirement, Voting Line Relief Restrictions, and Volunteer Assistance/Ballot Collection Restriction, Voter Registration Disclaimer) under various VRA and constitutional provisions.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§§ 97.0575, 101.69, 101.62, 102.031, 104.0616, Fla. Stat.	
Status of the Case:	Remanded post-11th Circuit Opinion	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida Rising Together v. Lee*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	No. 4:21-cv-201; 22-11145	
Summary of the Complaint:	Challenges provisions of SB 90 (Secure Drop Box Restriction, Vote-By-Mail Repeat Request Requirement, Voter Registration Delivery Restriction, and Voting Line Relief Restrictions, Voter Registration Disclaimer) under various VRA and constitutional provisions.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§§ 97.0575, 101.69, 101.62, 102.031, Fla. Stat.	
Status of the Case:	Remanded post-11th Circuit Opinion	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Harriet Tubman Freedom Fighters Corp. v. Lee*			
Court with Jurisdiction:	N.D. Fla.			
Case Number:	No. 4:21-cv-242; 22-11133			
Summary of the Complaint:	Challenges provisions of SB 90 (Absence of penalties/amounts for violation of Voter Registration Disclaimer requirement, Voter Registration Disclaimer, Ballot Collection Restriction) under various VRA and constitutional provisions.			
Amount of the Claim:	No monetary damages; possible attorneys fees and costs			
Specific Statutes or Laws (including GAA) Challenged:	§§ 97.0575, 104.0616, Fla. Stat.			
Status of the Case:	Remanded post-11th Circuit Opinion			
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel		
		Office of the Attorney General or Division of Risk Management		
	X	Outside Contract Counsel		
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A			

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida Defenders of the Environment v. Lee* *Florida Wildlife Federation, Inc. v. Simpson* (consolidated)	
Court with Jurisdiction:	2d Jud. Cir.	
Case Number:	2015-ca-2682; 2015-ca-1423	
Summary of the Complaint:	Whether the Florida Legislature made authorizations for transfers and expenditures from the Land Acquisition Trust Fund ("LATF") by DOS and other agencies for purposes not authorized by article X, section 28, of the Florida Constitution.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	Line items 3115 and 3083 of 2015-232 GAA	
Status of the Case:	Plaintiffs have moved to reopen the case.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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	

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Black Voters Matter, et al. v. Lee, et al.*	
Court with Jurisdiction:	1DCA	
Case Number:	2022 CA 666; 1D23-2252	
Summary of the Complaint:	Challenges Florida's current congressional districts in SB 2-C.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 2-C	
Status of the Case:	On appeal	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).	N/A	

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Common Cause Florida, et al. v. Lee, et al.*	
Court with Jurisdiction:	N.D. Fla	
Case Number:	No. 22-109	
Summary of the Complaint:	Challenges Florida's current congressional districts.	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 2-C	
Status of the Case:	Trial beginning September 25, 2023.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida Right to Pray v. Lee*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	No. 4:22-cv-33	
Summary of the Complaint:	Constitutional challenge to initiative petition pay-per-signature ban, and registration and disclosure requirements for paid circulators	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	Fla Stat.104.186, 100.371(3), (4)(b), (6) and (7)(a) (2021)	
Status of the Case:	Dismissed	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Foronda, et al. v. DeSantis, et al.*	
Court with Jurisdiction:	11th Jud. Cir. (Miami-Dade)	
Case Number:	2022-009114-CA-01	
Summary of the Complaint:	Challenges constitutionally of SB 4-C regarding Reedy Creek Improvement District	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 4-C	
Status of the Case:	Motion to Dismiss or Transfer Venue pending.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Benson v. DeSantis, et al.*	
Court with Jurisdiction:	M.D. Fla.	
Case Number:	8:22-cv-1955-WFJ-MRM	
Summary of the Complaint:	Challenges legitimacy of 2022 Elections	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	N/A	
Status of the Case:	Dismissed without prejudice	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida Rights Restoration Coalition, et al., v. DeSantis, et al.*			
Court with Jurisdiction:	S.D. Fla.			
Case Number:	1:23-cv-22688-CMA			
Summary of the Complaint:	Challenges implementation of Amendment 4 and process of determining felon voter eligibility under VRA, 14th and 1st Amendments			
Amount of the Claim:	No monetary damages; possible attorneys fees and costs			
Specific Statutes or Laws (including GAA) Challenged:	N/A			
Status of the Case:	Pleading stage.			
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel		
		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).				

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*League of Women Voters of Florida, et al., v. Byrd, et al.*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	4:23-cv-165-AW/MAF	
Summary of the Complaint:	Challenges detail of felon eligibility requirements on the voter registration application under the NVRA	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 97.052; Rule 1S-2.032	
Status of the Case:	Dismissed without prejudice.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Polelle, v. Byrd, et al.*	
Court with Jurisdiction:	11th Circuit Court of Appeals	
Case Number:	8:22-cv-1301-SDM-AAS; 22-14031	
Summary of the Complaint:	Challenges inability of unaffiliated voters to vote in party primaries	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 101.021	
Status of the Case:	Fully briefed on appeal and awaiting decision.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Florida State Conference of Branches and Youth Units of the NAACP, et al., v. Byrd*	
Court with Jurisdiction:	11th Circuit Court of Appeals	
Case Number:	4:23-cv-00215; 13-12308	
Summary of the Complaint:	Challenges various provisions of SB 7050	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 7050	
Status of the Case:	Briefing on appeal.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*League of Women Voters of Florida, et al., v. Moody, et al.*	
Court with Jurisdiction:	11th Circuit Court of Appeals	
Case Number:	4:23-cv-216-MW/MAF; 23-12313	
Summary of the Complaint:	Challenges various provisions of SB 7050	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 7050	
Status of the Case:	Briefing on appeal.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Hispanic Federation, et al., v. Byrd, et al.*	
Court with Jurisdiction:	11th Circuit Court of Appeals	
Case Number:	4:23-cv-218-MW/MAF; 23-12313	
Summary of the Complaint:	Challenges various provisions of SB 7050	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	SB 7050	
Status of the Case:	Briefing on appeal.	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Vote.org, et al., v. Byrd, et al.*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	4:23-cv-111-AW-MAF	
Summary of the Complaint:	Challenges "original signature" requirement for voter registration under materiality provision of VRA	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	§ 98.053(5)(a)(8)	
Status of the Case:	Motion to dismiss pending	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		Office of the Attorney General or Division of Risk Management
	X	Outside Contract Counsel
If the lawsuit is a class action (whether the class is certified or not), provide the name of the firm or firms representing the plaintiff(s).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*City of Gainesville., v. Moody, et al.*	
Court with Jurisdiction:	2nd Jud. Cir. (Leon)	
Case Number:	2023 CA 001928	
Summary of the Complaint:	Challenges Special Law creating Gainesville Regional Utilities	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	Ch. 23-348	
Status of the Case:	Briefing motions for summary judgment	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Gainesville Residents United, et al., v. DeSantis, et al.*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	1:23-cv-176-AW-HTC	
Summary of the Complaint:	Challenges Special Law creating Gainesville Regional Utilities	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	Ch. 23-348	
Status of the Case:	Motion to dismiss pending	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

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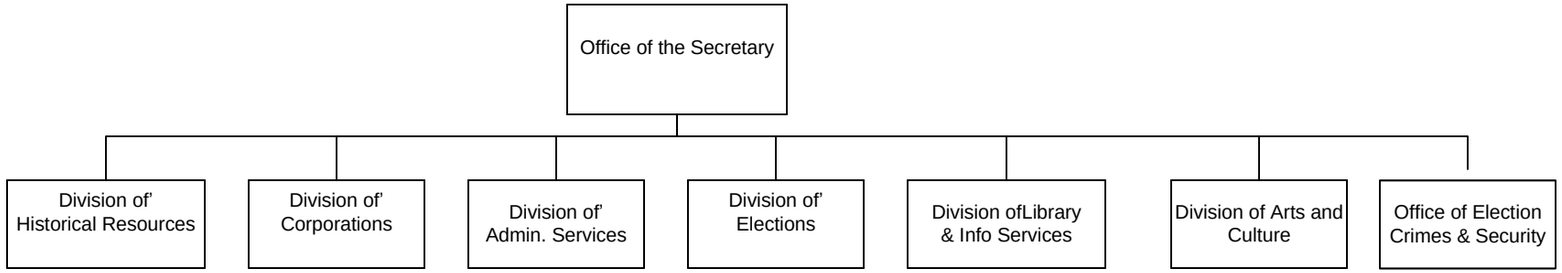
Names of the Case: (If no case name, list the names of the plaintiff and defendant.)	*Doughtie v. DeSantis, et al.*	
Court with Jurisdiction:	N.D. Fla.	
Case Number:	1:23-cv-210-AW-MJF	
Summary of the Complaint:	Challenges Special Law creating Gainesville Regional Utilities	
Amount of the Claim:	No monetary damages; possible attorneys fees and costs	
Specific Statutes or Laws (including GAA) Challenged:	Ch. 23-348	
Status of the Case:	Pleading stage	
Who is representing (of record) the state in this lawsuit? Check all that apply.	X	Agency Counsel
		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).		

Department of State
Organizational Units
(459.00 FTE)



Department of State

28 FTE

OFFICE OF SECRETARY

BYRD, CORD
SECRETARY OF STATE
000001 1.00
(10-1011-03) 000132
CC: 8921 PB: 025

MIGUEL, MELINDA
CHIEF INSPECTOR GENERAL-EOG
31000139 1.00

ULEWICZ, DAVID
INSPECTOR GENERAL-DOS
000850 1.00
(10-1021-02) 000132
CC: 8217 PB:024

CAMPBELL, SUZANNE
MANAGEMENT REVIEW SPECIALIST-SES
000044 1.00
(13-1111-04) 000132
CC: 2239 PB:010

WYCHE, ALEXIS
MANAGEMENT REVIEW SPECIALIST-SES
000760 1.00
(13-1111-04) 000132
CC: 2239 PB:010

REICHMUTH, DAWN
EXECUTIVE ASSISTANT II-SES
000946 1.00
(43-6011-04) 000132
CC:0718 PB:010

KENNEDY, JENNIFER
ASSISTANT SECRETARY OF STATE - DOS
000092 1.00
(10-1021-02) 000132
CC: 9919 PB:024

CLYATT, JORDAN
INFORMATION SECURITY MANAGER (ISM)
001063 1.00
(11-3021-03) 000132
CC: 9983 PB:021

MCVAY, BRADLEY &
DEPUTY SECRETARY LEGAL AFFAIRS & ELECTION INTEGRITY
000002 1.00
(10-9199-02) 000132
CC:8754 PB:024

VAN DE BOGART, JOSEPH
GENERAL COUNSEL-DOS
000003 1.00
(10-9199-02) 000132
CC:8754 PB:024

DARLINGTON, ANDREW
DIRECTOR
001072 1.00
(10-3031-01) 000132
CC: 9973 PB:023

MATTHEWS, MARIA
DIRECTOR OF ELECTIONS-DOS
000083 1.00
(10-1021-01) 000132
CC:9911 PB:023

LOTANE, ALISSA
DIRECTOR OF HISTORICAL RESOURCES-DOS
000360 1.00
(10-9199-01) 423003
CC:9912 PB:023

TONER, SEAN
DIRECTOR OF CORPORATIONS-DOS
000300 1.00
(10-1021-01) 000132
CC:9917 PB:023

JOHNSON, AMY
DIRECTOR OF LIBRARY INFORMATION SVCS-DOS
000226 1.00
(10-1021-01) 000132
CC:9913 PB:023

SHAUGHNESSY, SANDY
DIRECTOR OF ARTS AND CULTURE-DOS
000636 1.00
(10-1021-01) 000132
CC:9915 PB:023

BOYNTON, JOHN
CHIEF OPERATING OFFICER
000546 1.00
(10-1021-02) 000132
CC: 8286 PB:024

MURPHY, ANTONIO
DIRECTOR OF ADMINISTRATION-DOS
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(10-3011-01) 000132
CC: 9914 PB:023

DYKES, DANA
HUMAN RESOURCE OFFICER-SES
000093 1.00
(11-3121-03) 000132
CC: 3671 PB:021

BROWN, GEORGE
SYS PROG ADMIN-SES
000354 1.00
(11-3021-02) 000132
CC:2117 PB:020

VACANT
APP SYS PROG III
000895 1.00
(15-1131-04) 000132
CC:2143 PB:009

PALMER, SUPERIE
EXECUTIVE ASSISTANT I-SES
000213 1.00
(43-6011-04) 000132
CC: 0718 PB:006

WOODBY, KATHERINE
LEGISLATIVE AFFAIRS DIRECTOR
000060 1.00
(10-1021-01) 000132
CC: 9512 PB:023

MEINER, NATALIE
PROGRAM MANAGEMENT DIRECTOR
000299 1.00
(11-1021-03) 000132
CC: 8197 PB:021

ARD, MARK
PUBLIC INFO ADMIN-DOS
000004 1.00
(10-2031-01) 000132
CC:8298 PB:023

ASH, RYAN
SR. MGMT ANALYST II-SES
000222 1.00
(13-1111-04) 000132
CC:2225 PB:010

PAYTON, LEE
GRAPHICS CONSULTANT
000531 1.00
(27-1019-03) 000132
CC: 3718 PB:007

JOHNSON, ELIZABETH
GOVERNMENT ANALYST I
000429 1.00
(13-1111-03) 000132
CC: 2224 PB:007

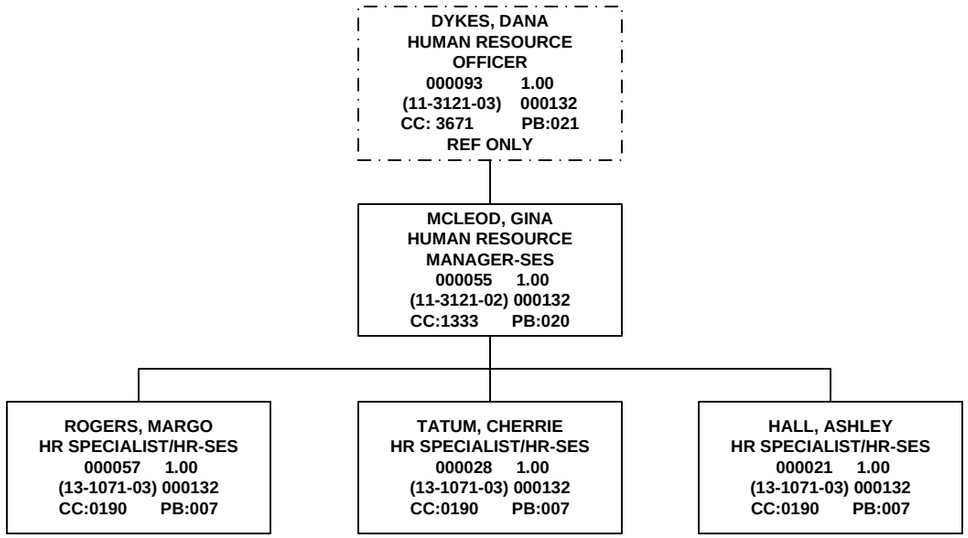
MORRISON, VICTORIA
ADMINISTRATIVE ASSISTANT II-SES
000023 1.00
(43-6011-03) 000132
CC: 0712 PB:005

Department of State

4 FTE

OFFICE OF SECRETARY

(Page 1 of 3)

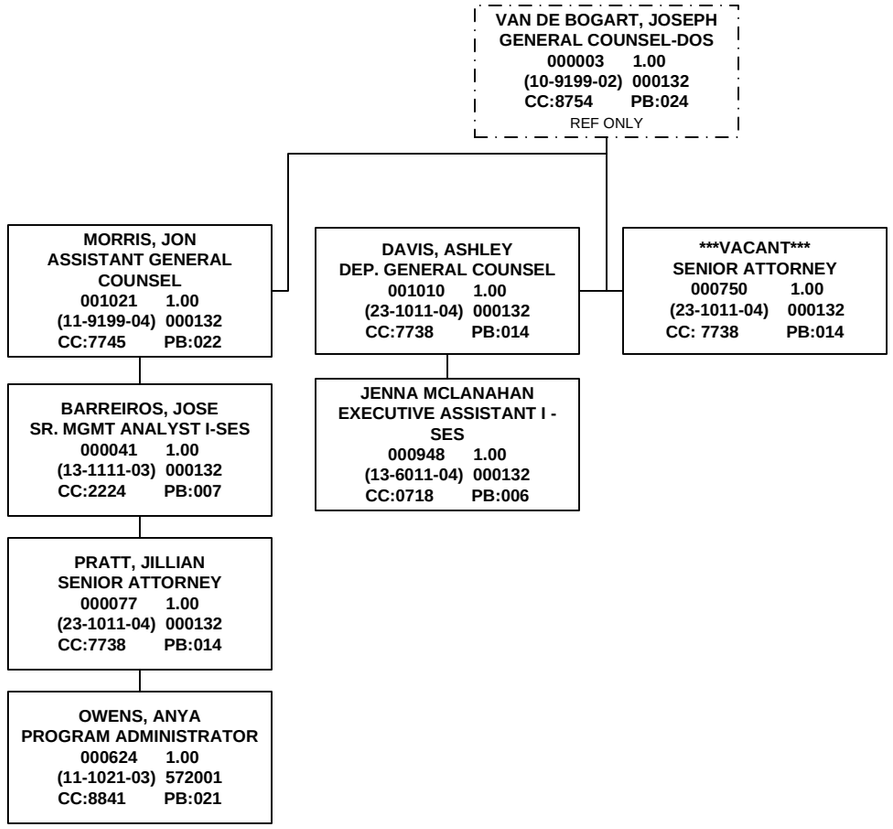


Department of State

7 FTE

OFFICE OF SECRETARY

(Page 2 of 3)



Department of State

OFFICE OF SECRETARY

(Page 3 of 3)

5 FTE

FAR, Laws & Code

MORRIS, JON
GENERAL COUNSEL-DOS
001021 1.00
(11-9199-04) 000132
CC:7745 PB:022
REF ONLY

OWENS, ANYA
PROGRAM ADMINISTRATOR
000624 1.00
(11-1021-03) 572001
CC:8841 PB:021
REF ONLY

BROWN, CARI
ADMINISTRATIVE ASSISTANT III
000888 1.00
(43-6011-04) 572001
CC:0714 PB:006

*****VACANT*****
ADMINISTRATIVE ASSISTANT II
000086 1.00
(43-6011-02) 572001
CC:0709 PB:003

LEIJON, ALEXANDRA
GOV OPERATIONS CONSULTANT III-SES
000611 1.00
(13-1111-04) 572001
CC:2235 PB:010

BOYER, JESSICA
ADMINISTRATIVE ASSISTANT II
000371 1.00
(43-6011-02) 572001
CC:0709 PB:003

HARRIS, WHITLEY
GOVERNMENT OPERATIONS CONSULTANT II
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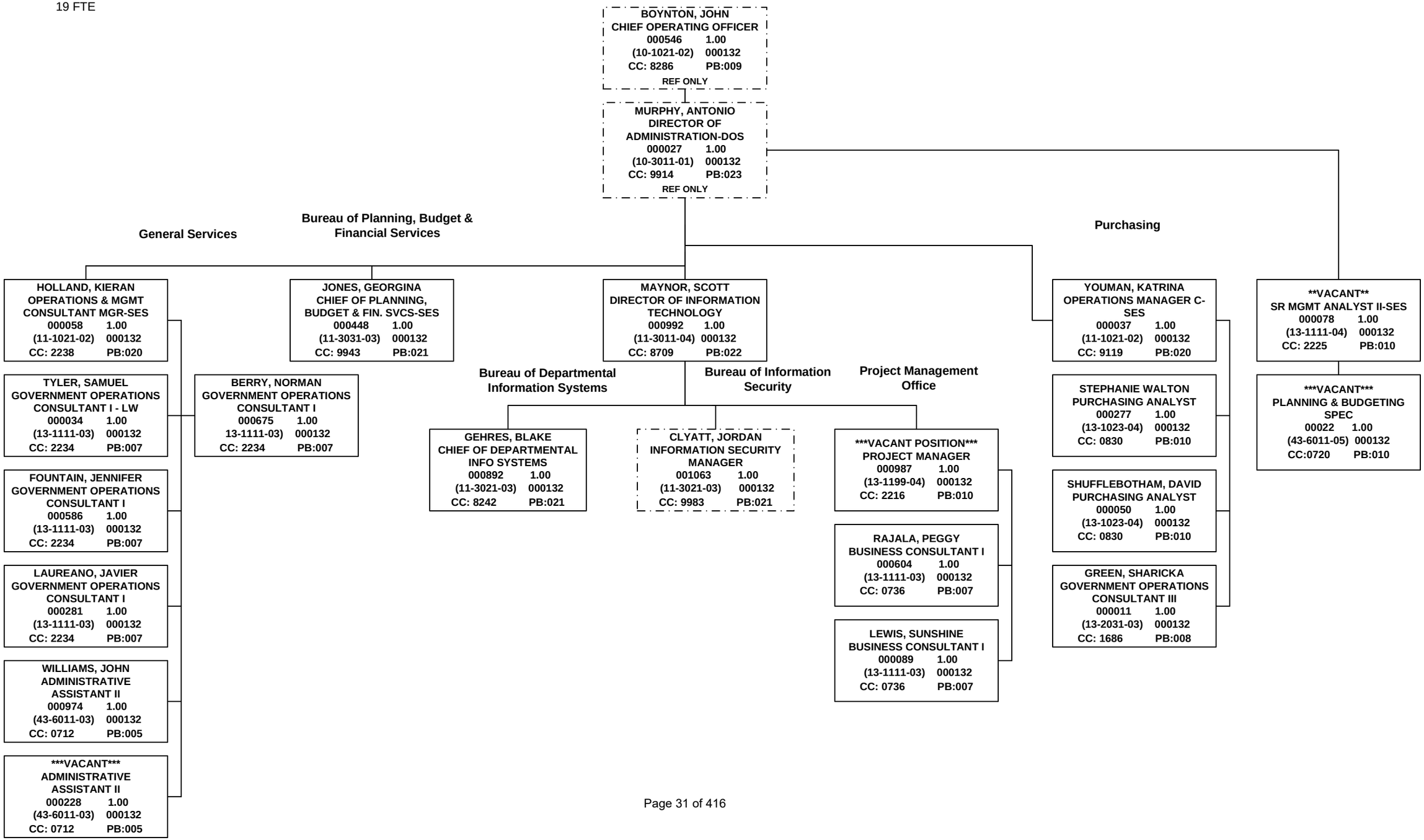
Department of State

19 FTE

DIVISION OF ADMINISTRATIVE SERVICES

Office of Division Director

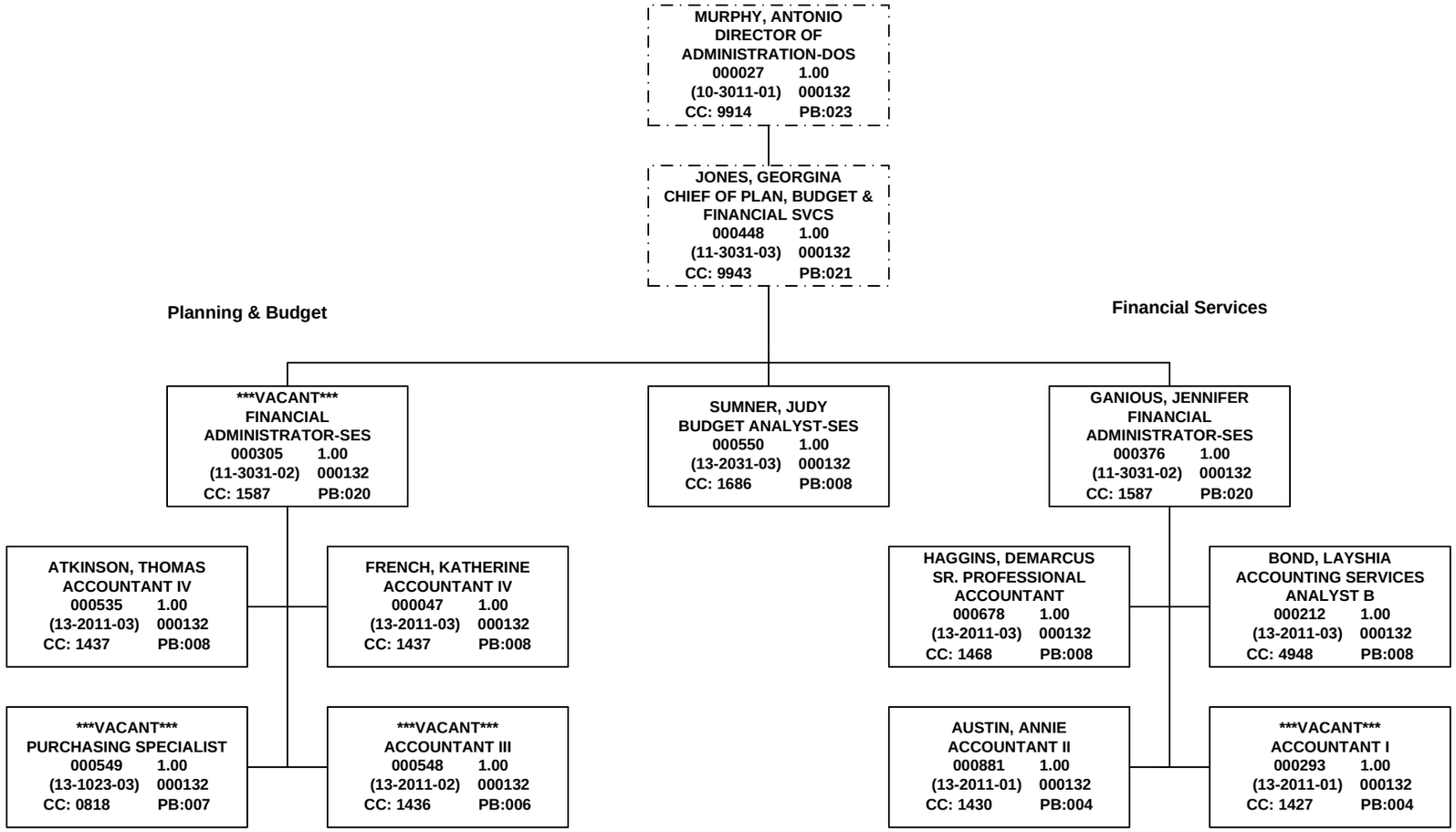


Department of State

11 FTE

DIVISION OF ADMINISTRATIVE SERVICES

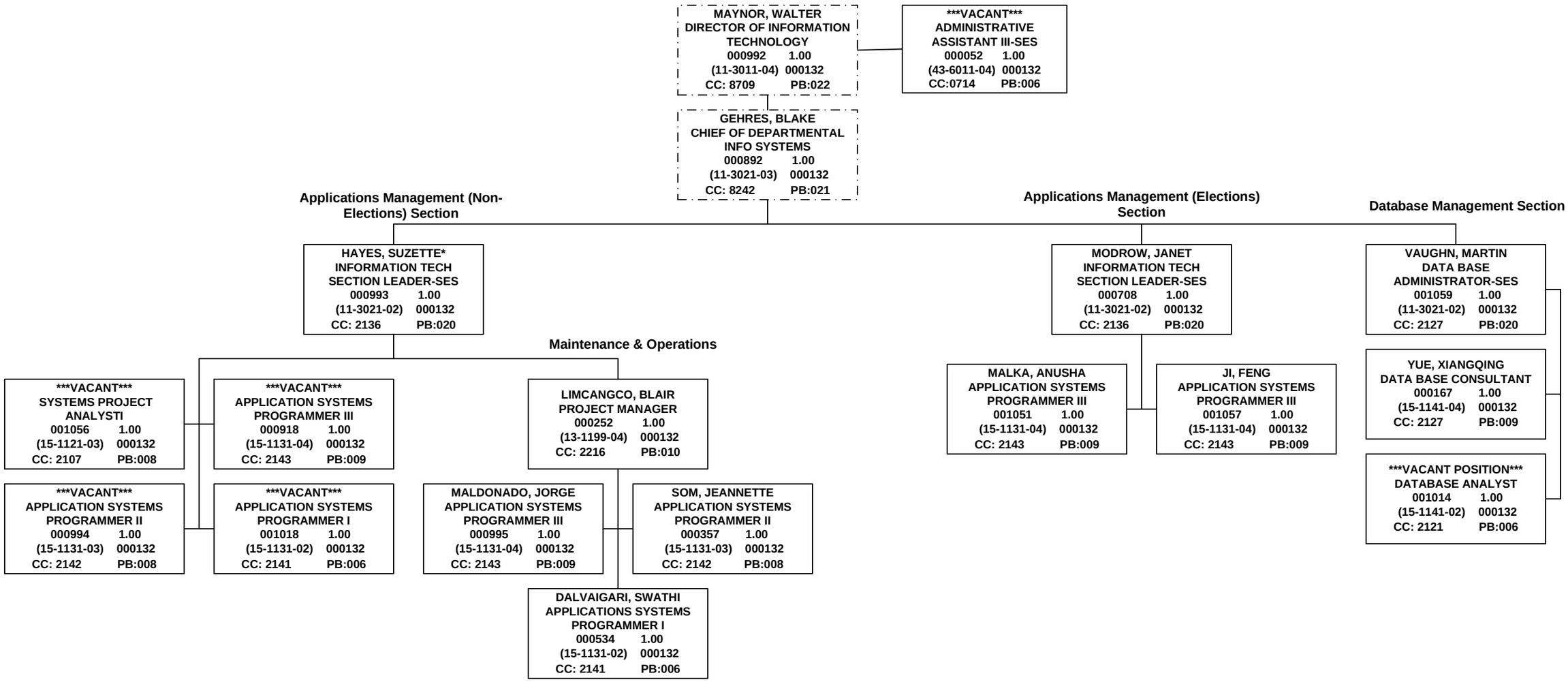
Bureau of Planning, Budget & Financial Services



Department of State

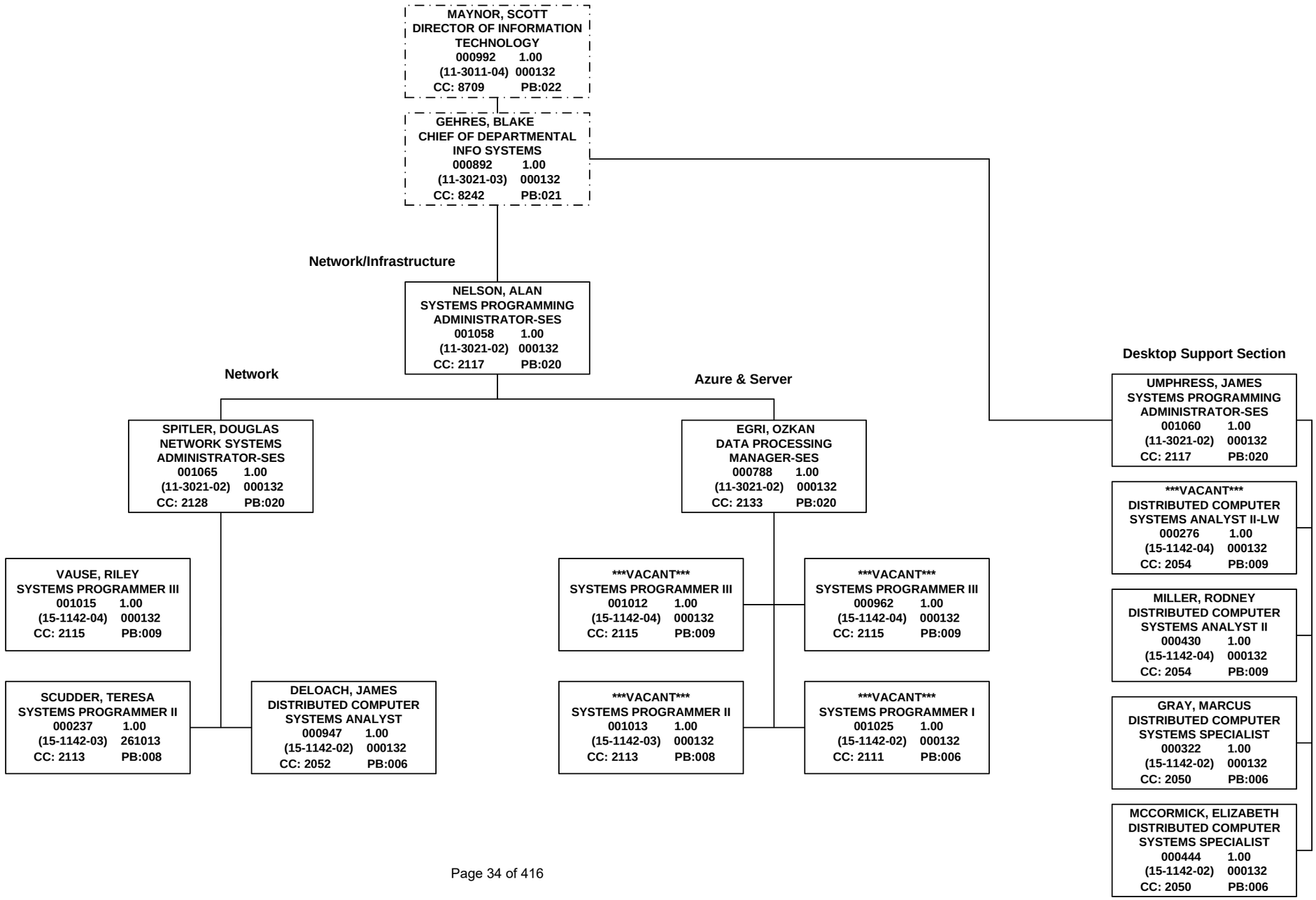
16 FTE

DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
(Page 1 of 2)



15 FTE

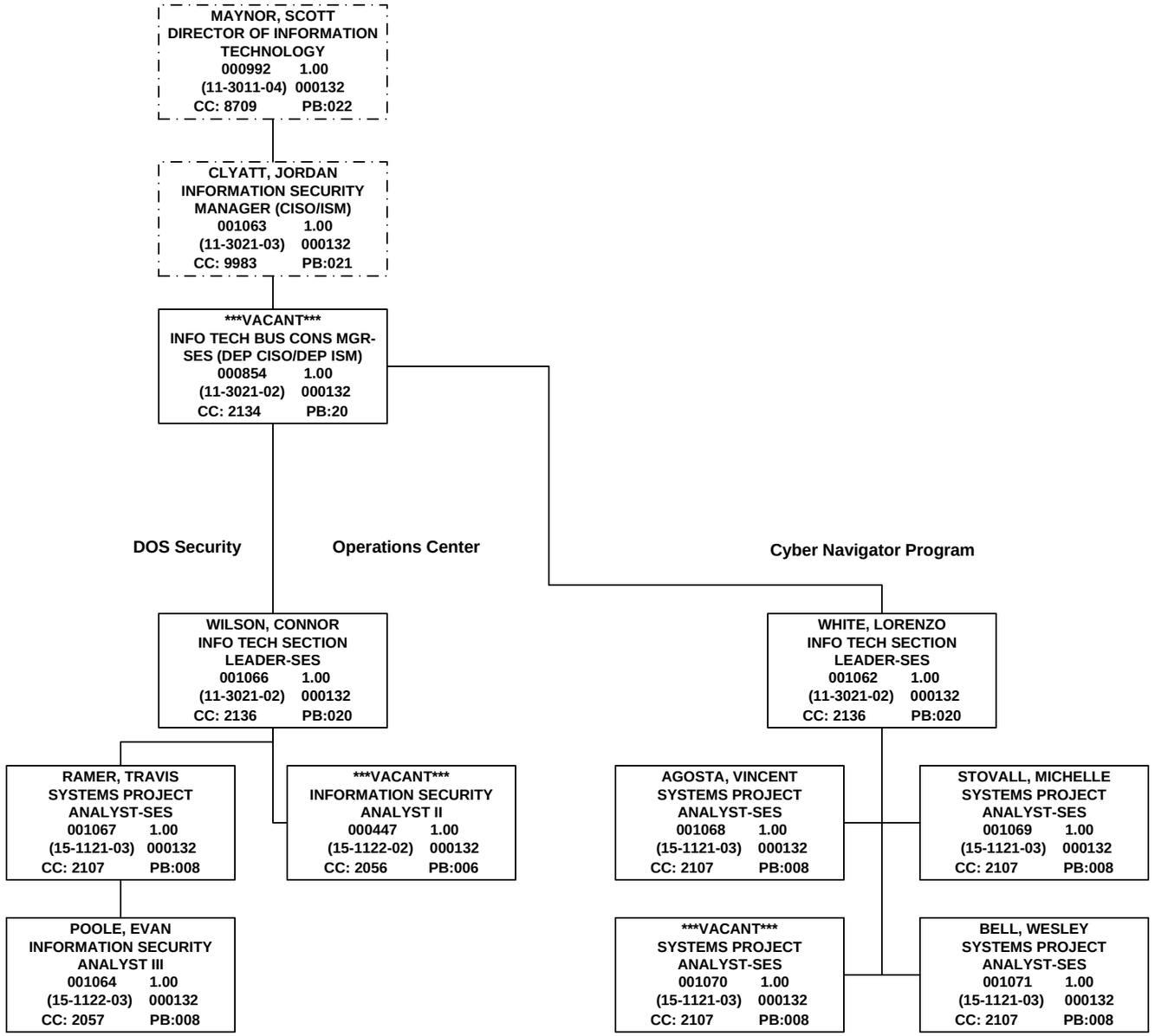
DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Departmental Information Systems
(Page 2 of 2)



Department of State

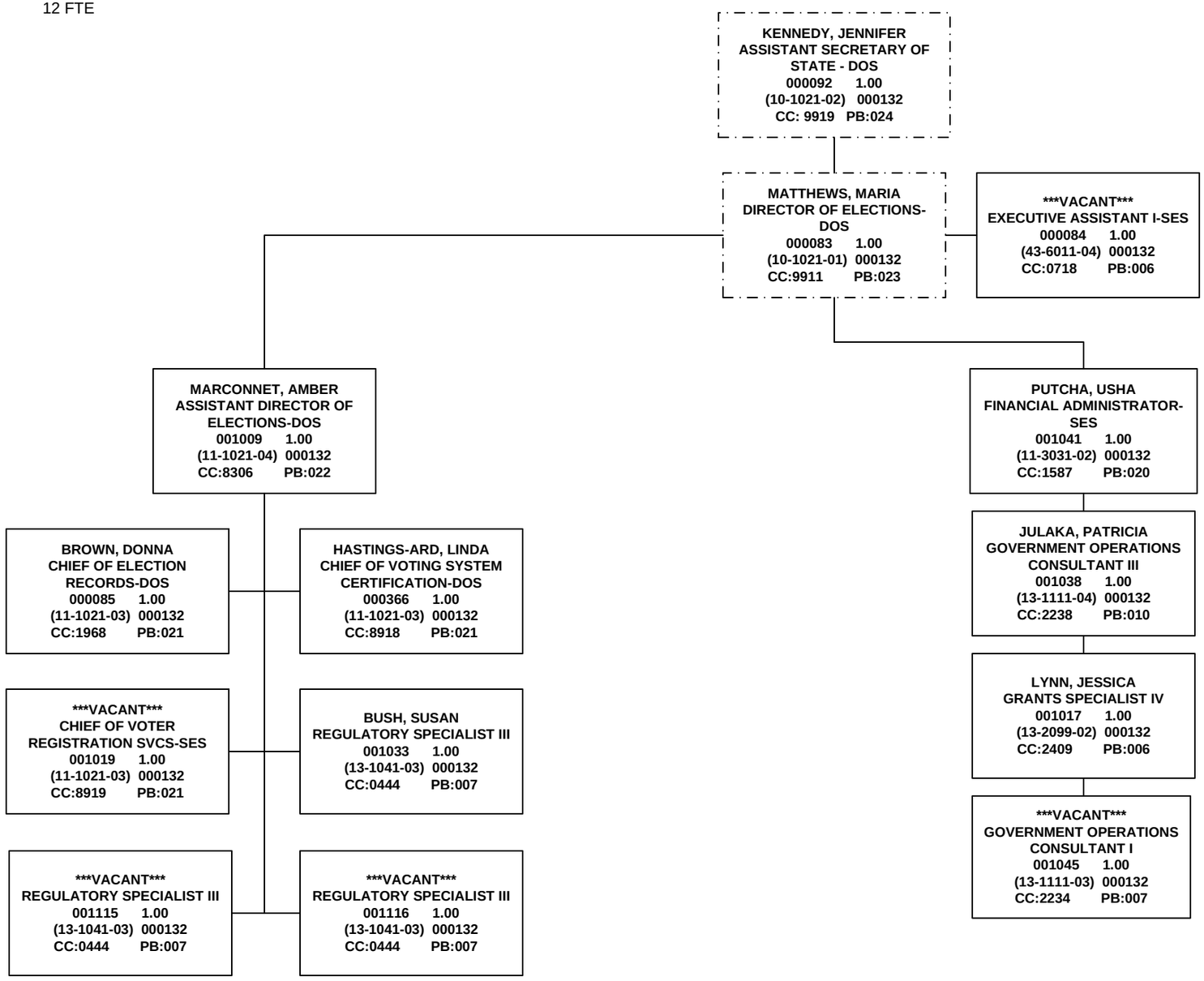
10 FTE

DIVISION OF ADMINISTRATIVE SERVICES
Bureau of Information Security



DIVISION OF ELECTIONS
Office of Division Director

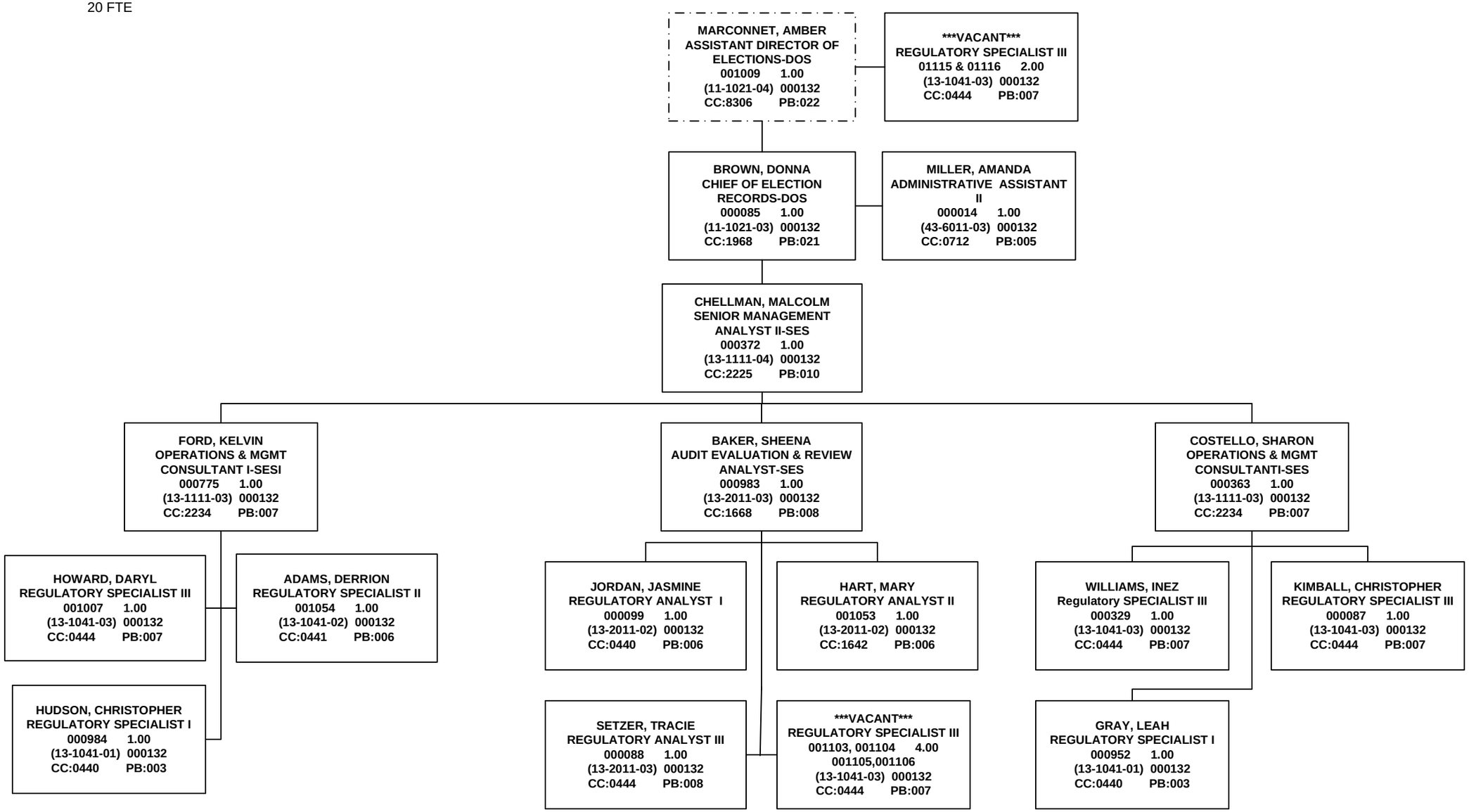
12 FTE



Department of State

20 FTE

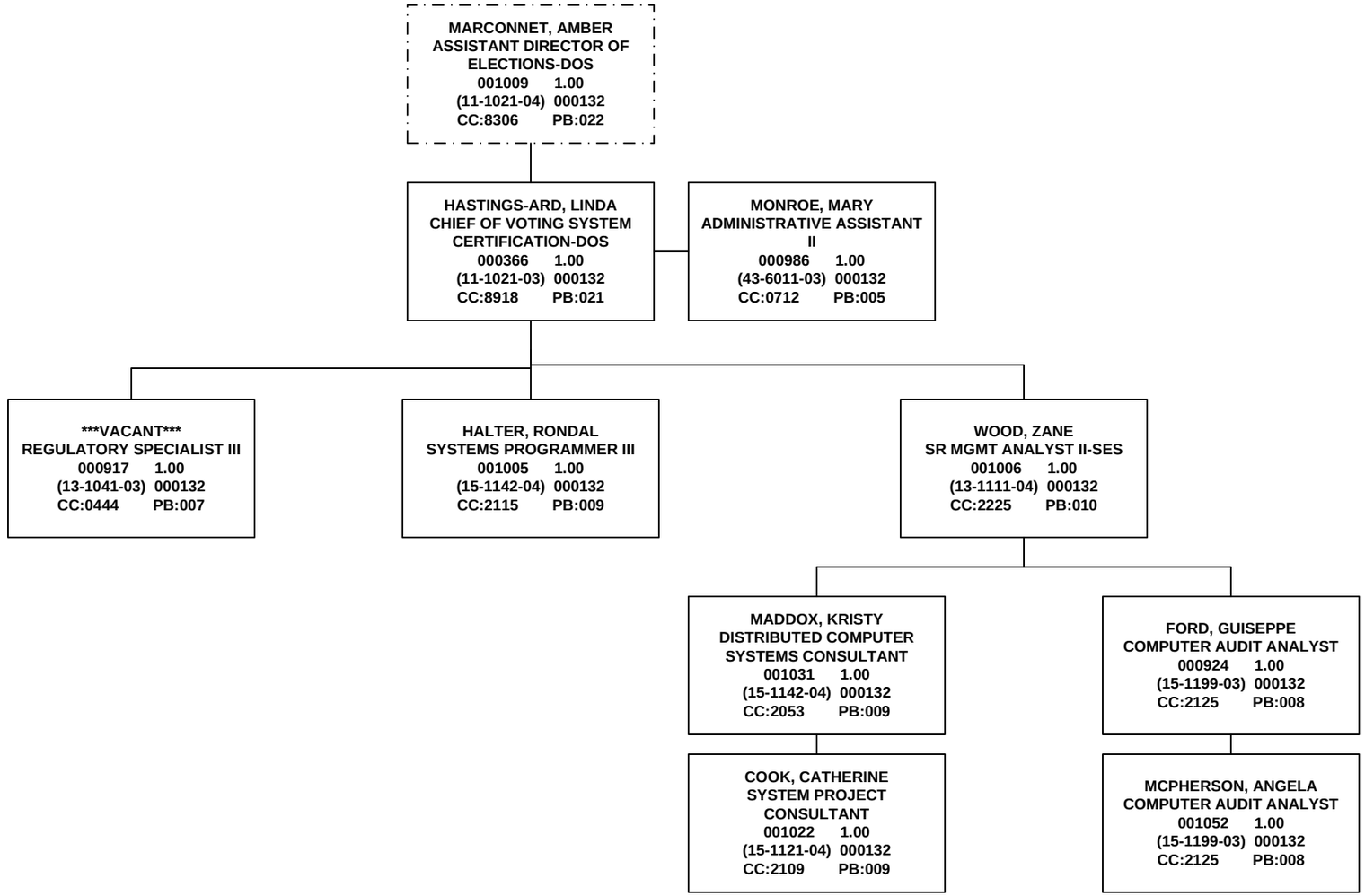
DIVISION OF ELECTIONS
Bureau of Election Records



Department of State

9 FTE

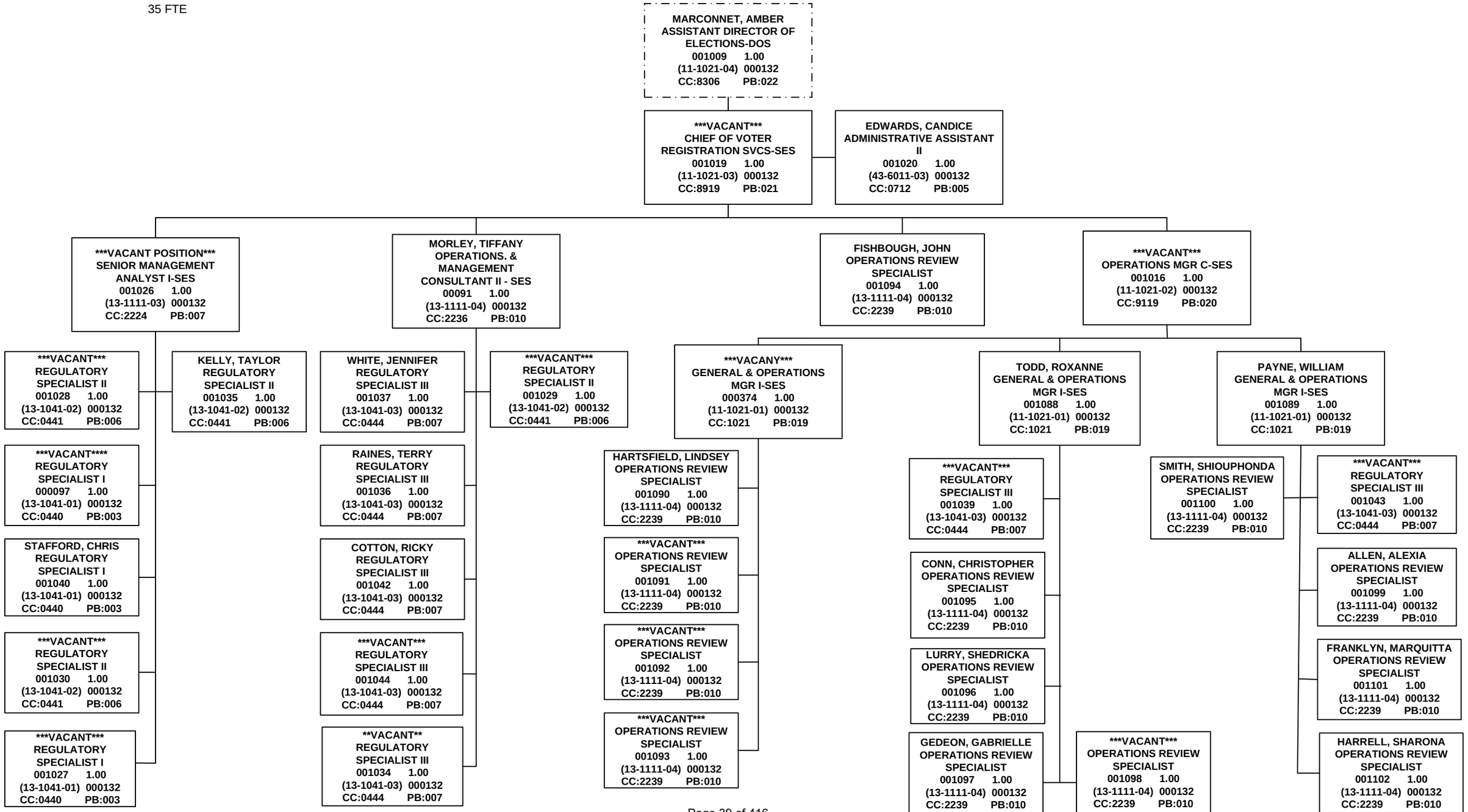
DIVISION OF ELECTIONS
Bureau of Voting Systems Certification



Department of State

35 FTE

DIVISION OF ELECTIONS
Bureau of Voter Registration Services



DIVISION OF HISTORICAL RESOURCES
Office of Division Director

Department of State

21 FTE

KENNEDY, JENNIFER
ASSISTANT SECRETARY OF STATE - DOS
000092 1.00
(10-1021-02) 000132
CC: 9919 PB:024

LOTANE, ALISSA
DIRECTOR OF HISTORICAL RESOURCES-DOS
000360 1.00
(10-9199-01) 423003
CC:9912 PB:023

ALEXANDRE JOHNSON
EXECUTIVE ASSISTANT I-SES
000340 1.00
(43-6011-04) 423003
CC:0718 PB:006

Statewide Education & Folklife Programs

TOMILINSON, ANGELA
ASSISTANT DIRECTOR OF HISTORICAL RESOURCES
000694 1.00
(11-1021-04) 423003
CC:8307 PB:022

BRYANT, CAROL
COMMUNITY ASSISTANCE CONSULTANT-SES
001048 1.00
(13-2099-03) 423003
CC:2515 PB:008

BARTON, LISA
CHIEF OF HISTORICAL MUSEUMS-DOS
000347 1.00
(11-9199-03) 423003
CC:1973 PB:021

*****VACANT POSITION*****
SR ARCHITECT
001112 1.00
(17-1011-04) 423003
CC:4519 PB:011

GRANDAGE, JOHNATHAN
PROGRAM ADMINISTRATOR-SES
000225 1.00
(11-9151-02) 423003
CC:5916 PB:020

CASE, ERIC
GRANTS SPECIALIST SUPERVISOR II-SES
000218 1.00
(13-2099-04) 423003
CC:2417 PB:008

LIKO, SARAH
OPERATIONS & MGMT CONSULTANT MGR-SES
000007 1.00
(11-1021-02) 423003
CC:2238 PB:020

OSBORNE, JOVAN
SENIOR MUSEUM CURATOR
000319 1.00
(25-4012-03) 423003
CC:2775 PB:008

HAMON, AMANDA
SENIOR MANAGEMENT ANALYST II-SES
000554 1.00
(13-1111-04) 423003
CC:2225 PB:010

HEIKER, JEREMY
HISTORIC PRESERVATIONIST
000291 1.00
(19-3093-02) 423003
CC:2729 PB:007

KIRK, APRIL
SENIOR MANAGEMENT ANALYST II-SES
001049 1.00
(13-1111-04) 423003
CC:2225 PB:010

BEGLEY, GEORGE
HISTORIC PRESERVATION GRANTS SPECIALIST
000543 1.00
(13-2099-02) 423003
CC:2416 PB:006

YOUNG, SCOTT
BUILDING CONSTRUCTION SPECIALIST
000350 1.00
(47-4099-02) 423003
CC:6484 PB:004

*****VACANT*****
VISITOR SERVICES/MUSEUM PROGRAM SUPV-SES
000208 1.00
(25-3099-03) 423003
CC:2766 PB:007

BABSKI, JOHN
MAINTENANCE SUPERINTENDENT I
000916 1.00
(49-1011-03) 423003
CC:6381 PB:006

HU, NICOLE
HISTORIC PRESERVATION GRANTS SPECIALIST
000618 1.00
(13-2099-02) 423003
CC:2416 PB:006

KHARA FLEMING
ADMINISTRATIVE ASSISTANT II
000331 1.00
(43-6011-03) 423003
CC:0712 PB:005

DAVIDSON, PAMELA
GOVERNMENT OPERATIONS CONSULTANT I
000579 1.00
(13-1111-03) 423003
CC:2234 PB:007

*****VACANT*****
FACILITIES SERVICES CONSULTANT
000443 1.00
(13-1199-03) 423003
CC:0836 PB:007

****VACANT****
PLANNER IV (RENTAL MGR)
001114 1.00
(13-1111-04) 423003
CC:2322 PB:010

DIVISION OF HISTORICAL RESOURCES
Bureau of Historic Preservation

Department of State

21 FTE

LOTANE, ALISSA
DIRECTOR OF HISTORICAL RESOURCES-DOS
000360 1.00
(10-9199-01) 423003
CC:9912 PB:023

ACOSTA, RUBEN
CHIEF OF HISTORIC PRESERVATION-DOS
000206 1.00
(11-1021-03) 423003
CC:8816 PB:021

****VACANT****
HISTORIC PRESERVATIONIST SUPV-SES
001107 1.00
(19-3093-03) 423003
CC:2730 PB:008

****VACANT****
HISTORIC PRESERVATIONIST
001108 1.00
(19-3093-02) 423003
CC:2729 PB:007

****VCANT****
HISTORIC PRESERVATIONIST
001109 1.00
(19-3093-02) 423003
CC:2729 PB:007

WABER, ANDREW
HISTORIAN II
000544 1.00
(19-3093-02) 423003
CC:2729 PB:007

BECK, KATHERINE
COMMUNITY ASSISTANCE CONSULTANT
000238 1.00
(13-2099-03) 423003
CC:2515 PB:008

****VACANT****
PLANNER IV (MAINSTREET)
001113 1.00
(13-1111-04) 423003
CC:2322 PB:010

LUCAS, KYRA
HISTORIC PRESERVATION SUPV-SES
000220 1.00
(19-3093-03) 423003
CC:2730 PB:008

SCHMIDT, SAMANTHA
HISTORIC PRESERVATIONIST
000309 1.00
(19-3093-02) 423003
CC:2729 PB:007

*****VACANT*****
HISTORIC PRESERVATIONIST
000330 1.00
(19-3093-02) 423003
CC:2729 PB:007

*****VACANT*****
HISTORIC PRESERVATIONIST II
000617 1.00
(19-3093-03) 423003
CC:2726 PB:008

*****VACANT POSITION*****
HISTORIC PRESERVATIONEST II
000193 1.00
(19-3093-02) 423003
CC:2729 PB:007

BIRDSONG, VINCENT
GEOGRAPHIC INFO SYSTEM ADMIN-SES
000352 1.00
(11-9199-02) 423003
CC:2116 PB:020

FOWLER, CHRISTOPHER
ADMINISTRATIVE ASSISTANT II-SES
000625 1.00
(43-6011-03) 423003
CC:0712 PB:005

VOVSI, EMAN
RECORDS SPECIALIST
000244 1.00
(43-4199-02) 423003
CC:0130 PB:003

CHASE, KELLY
HISTORIC PRESERVATION SUPV-SES
000353 1.00
(19-3093-03) 423003
CC:2730 PB:008

TOBIAS, JENNIFER
HISTORIC SITES SPECIALIST
000380 1.00
(19-3093-01) 423003
CC:2718 PB:005

GOULD, ALAYNA
HISTORIC PRESERVATIONIST
000217 1.00
(19-3093-02) 423003
CC:2729 PB:007

EDWARDS, SCOTT
HISTORIC PRESERVATIONIST
000194 1.00
(19-3093-02) 423003
CC:2729 PB:007

*****VACANT POSITION*****
HISTORIC PRESERVATIONIST
000203 1.00
(19-3093-02) 423003
CC:2729 PB:007

DUBOSE, MICHAEL
HISTORIC PRESERVATIONIST
000203 1.00
(19-3093-02) 423003
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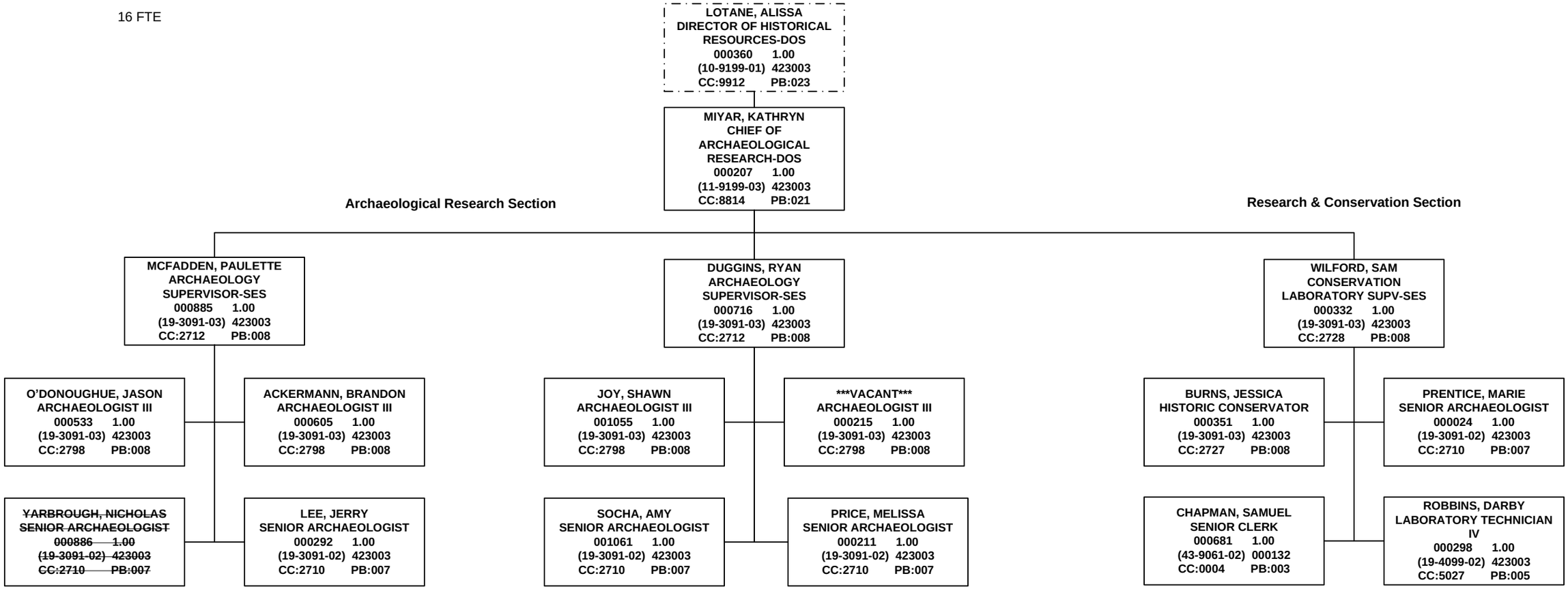
DIVISION OF HISTORICAL RESOURCES
Bureau of Archaeological Research

Department of State

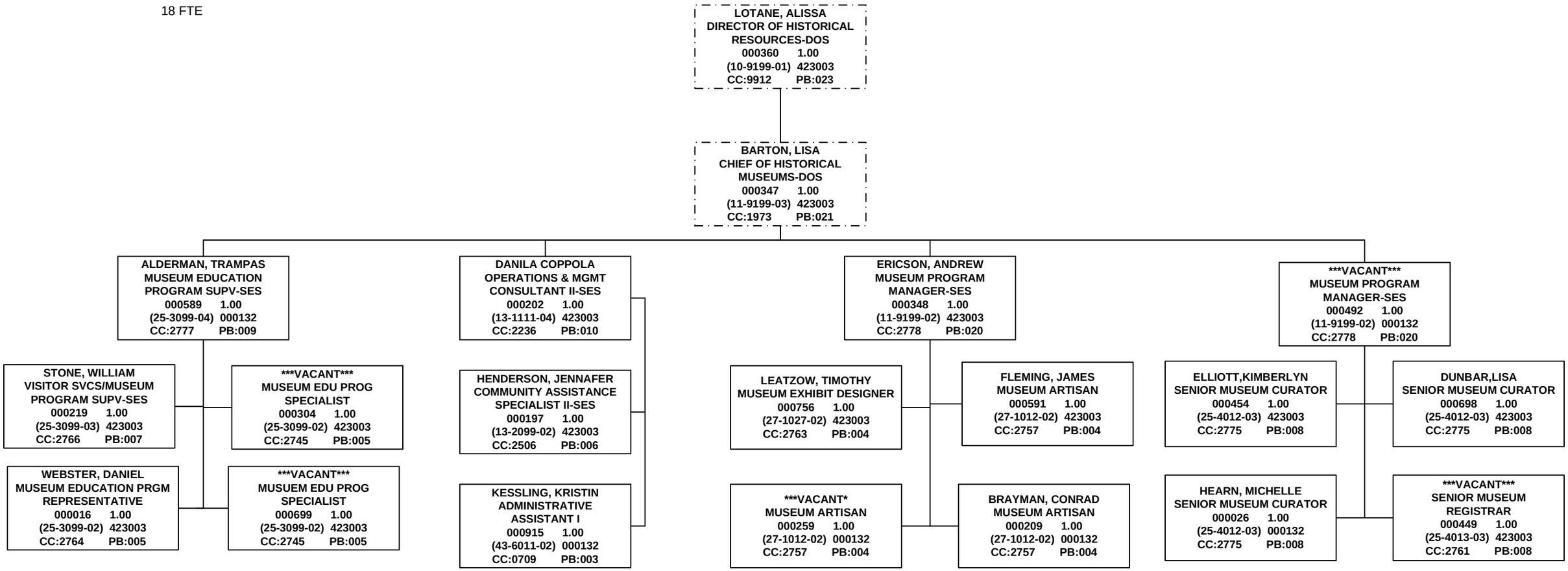
16 FTE



DIVISION OF HISTORICAL RESOURCES
Bureau of Historical Museums

Department of State

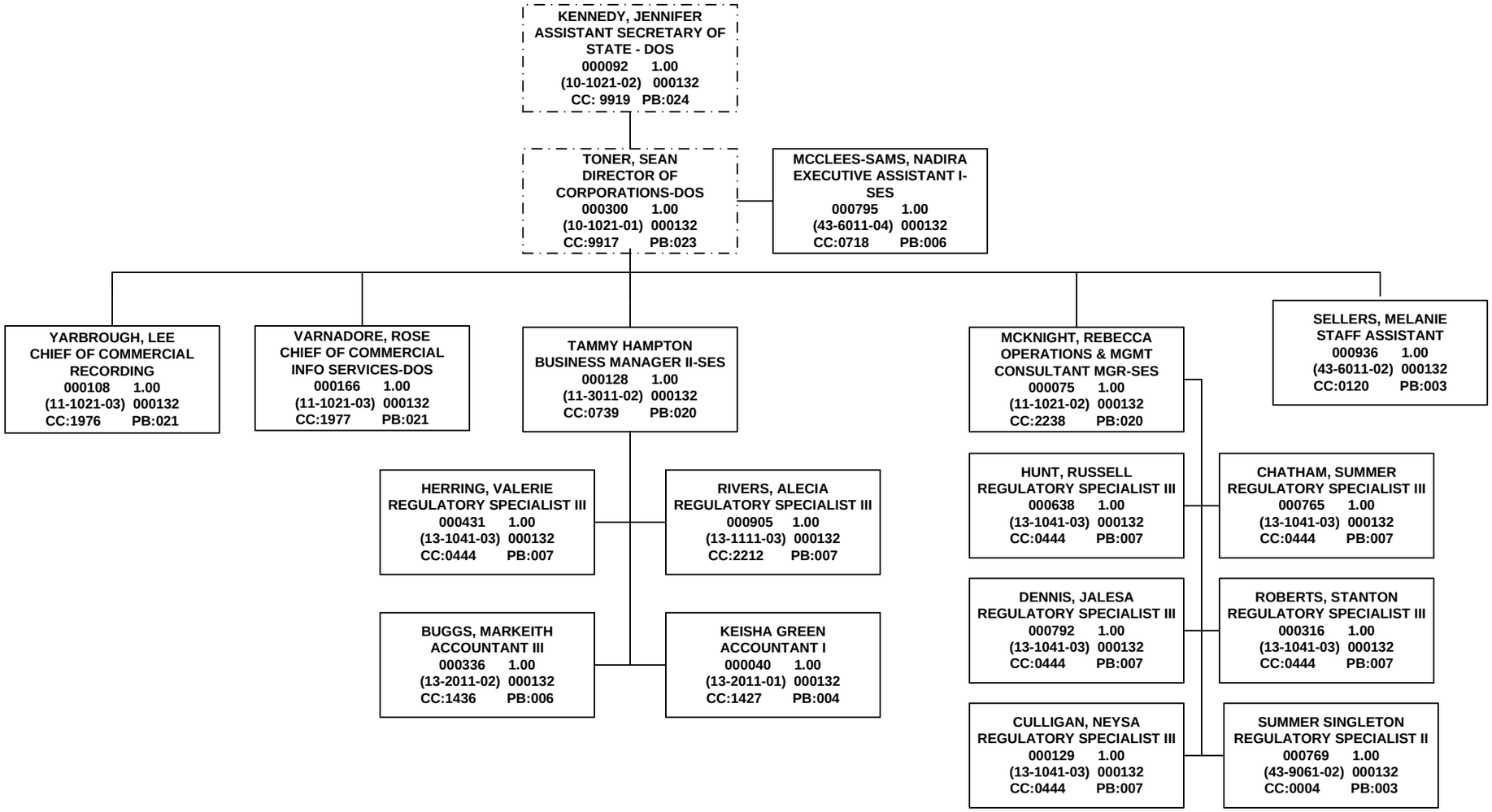
18 FTE



DIVISION OF CORPORATIONS
Office of Division Director

Department of State

16 FTE



Department of State

19 FTE

DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 1 of 3)

TONER, SEAN
DIRECTOR OF CORPORATIONS-DOS
000300 1.00
(10-1021-01) 000132
CC:9917 PB:023

YARBROUGH, LEEMON
CHIEF OF COMMERCIAL RECORDING
000108 1.00
(11-1021-03) 000132
CC:1976 PB:021

Business Organization Filing Section

BURCH, TIMOTHY
OPERATIONS MANAGER A
000111 1.00
(11-1021-02) 000132
CC:9121 PB:020

*****VACANT*****
LICENSE ISSU/ELEC & CORP RECD SPV II-SES
000338 1.00
(13-1041-03) 000132
CC:0427 PB:007

EGGLESTON, FAITH
REGULATORY SPECIALIST II
000135 1.00
(13-1041-02) 000132
CC:0441 PB:006

KERSEY, GENESIS
REGULATORY SPECIALIST II
000170 1.00
(13-1041-02) 000132
CC:0441 PB:006

COSTELLO, KAIN
REGULATORY SPECIALIST II
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*****VACANT*****
REGULATORY SPECIALIST II
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*****VACANT*****
REGULATORY SPECIALIST II
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CC:0441 PB:006

RICHARDSON, RICKEY
REGULATORY SPECIALIST II
000145 1.00
(13-1041-02) 000132
CC:0441 PB:006

RICO, CARLOS
LICENSE ISSU/ELEC & CORP RECD SPV II-SES
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(13-1041-03) 000132
CC:0427 PB:007

ANDERSON, MONIQUE
REGULATORY SPECIALIST II
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ANDERSON, ALTAVIA
REGULATORY SPECIALIST II
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CC:0441 PB:006

*****VACANT*****
REGULATORY SPECIALIST II
000705 1.00
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HIGHTOWER, CRYSTAL
REGULATORY SPECIALIST II
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(13-1041-02) 000132
CC:0441 PB:006

SIMMONS, OCTAVIA
NSE ISSU/ELEC & CORP RECD SPV II-SES
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CC:0427 PB:007

LOVELACE, KAREN
REGULATORY SPECIALIST III
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CC:0444 PB:007

LAWRENCE, WILLIAM
REGULATORY SPECIALIST III
000968 1.00
(13-1041-03) 000132
CC:0444 PB:007

SULTANA, DIL
REGULATORY SPECIALIST III
000988 1.00
(13-1041-03) 000132
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SCOTT, TYRONE
REGULATORY SPECIALIST III
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CC:0444 PB:007

JOHNSON, ARCEDRA
REGULATORY SPECIALIST III
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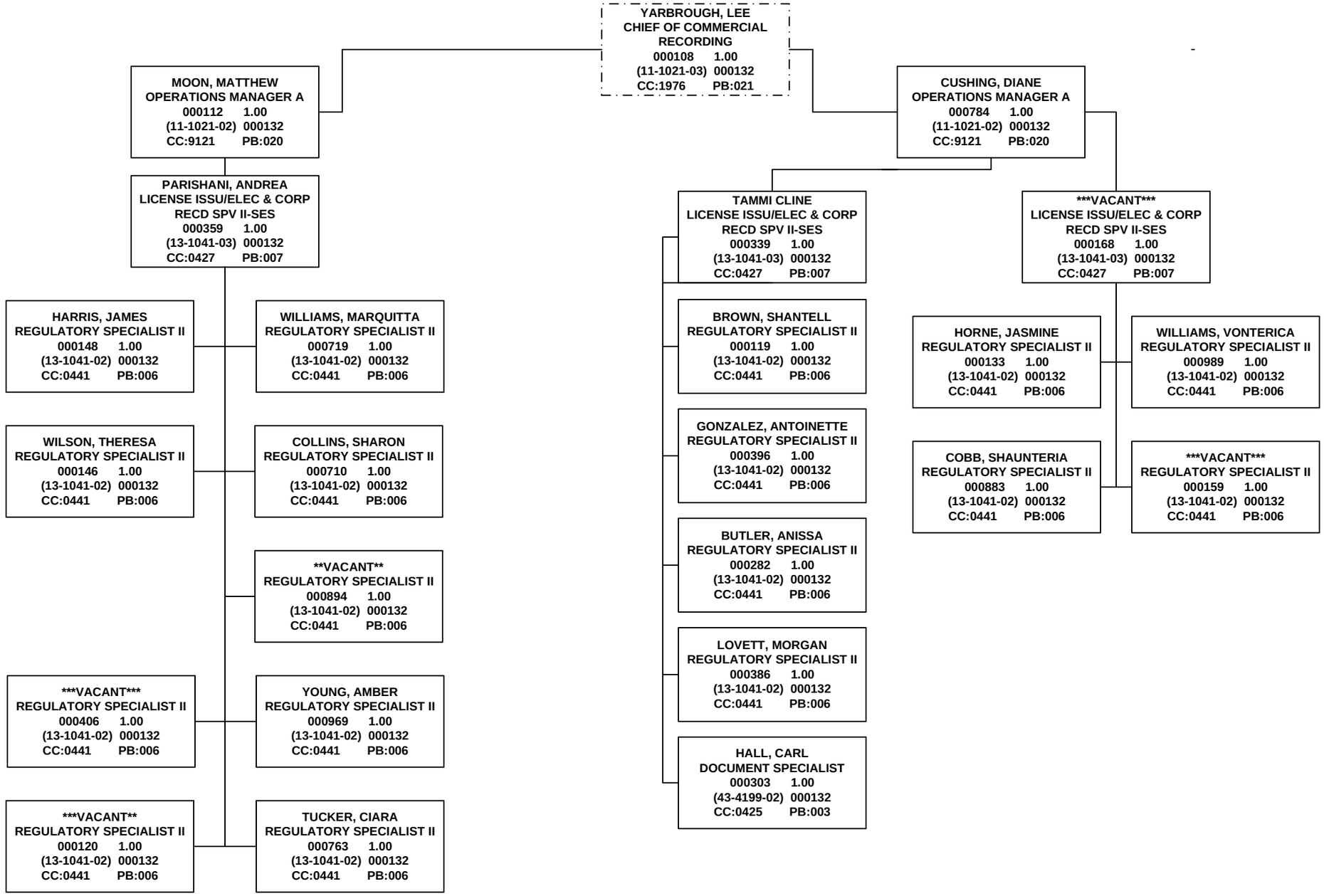
CC:0444 PB:007

Department of State

23 FTE

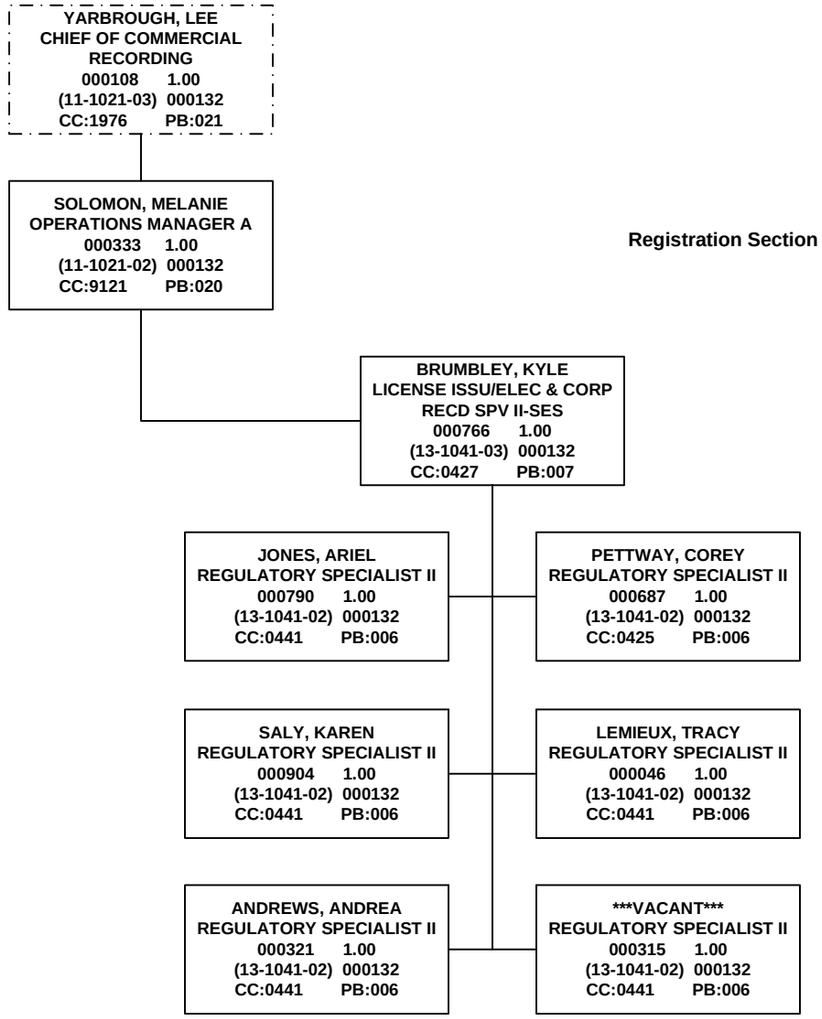
DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 2 of 3)



Department of State

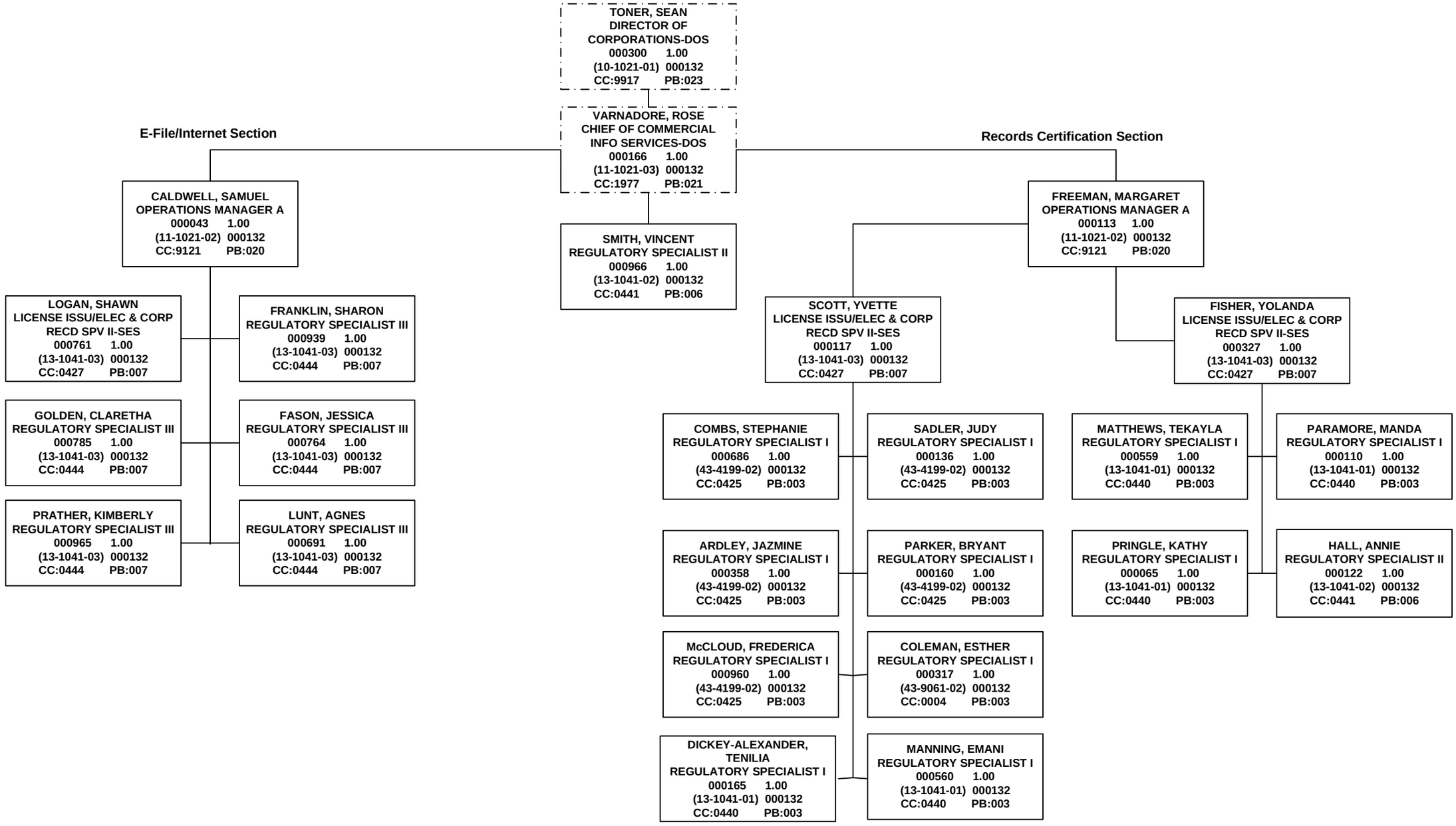
8 FTE

DIVISION OF CORPORATIONS
Bureau of Commercial Recording
(Page 3 of 3)



23 FTE

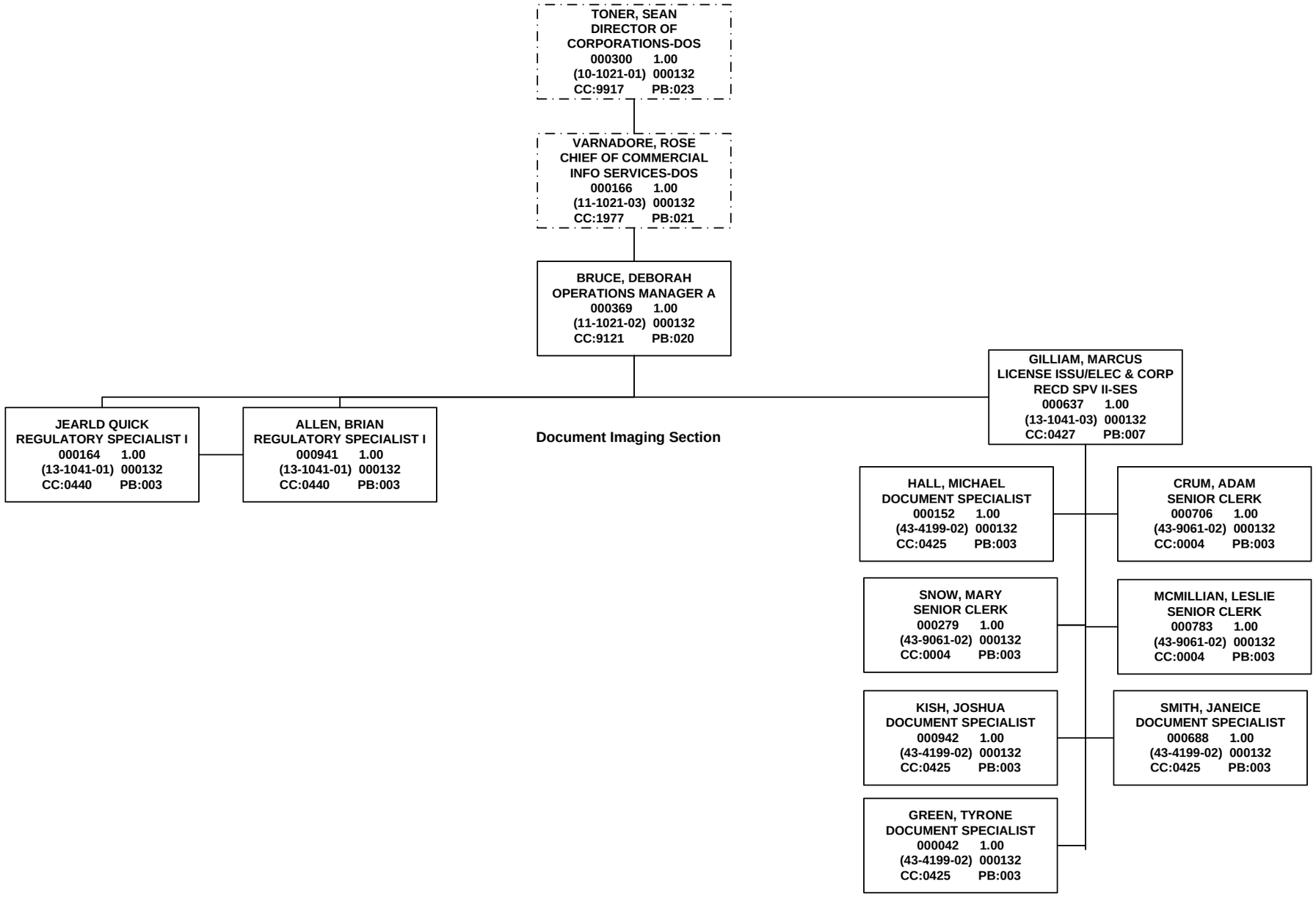
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
(Page 1 of 2)



Department of State

11 FTE

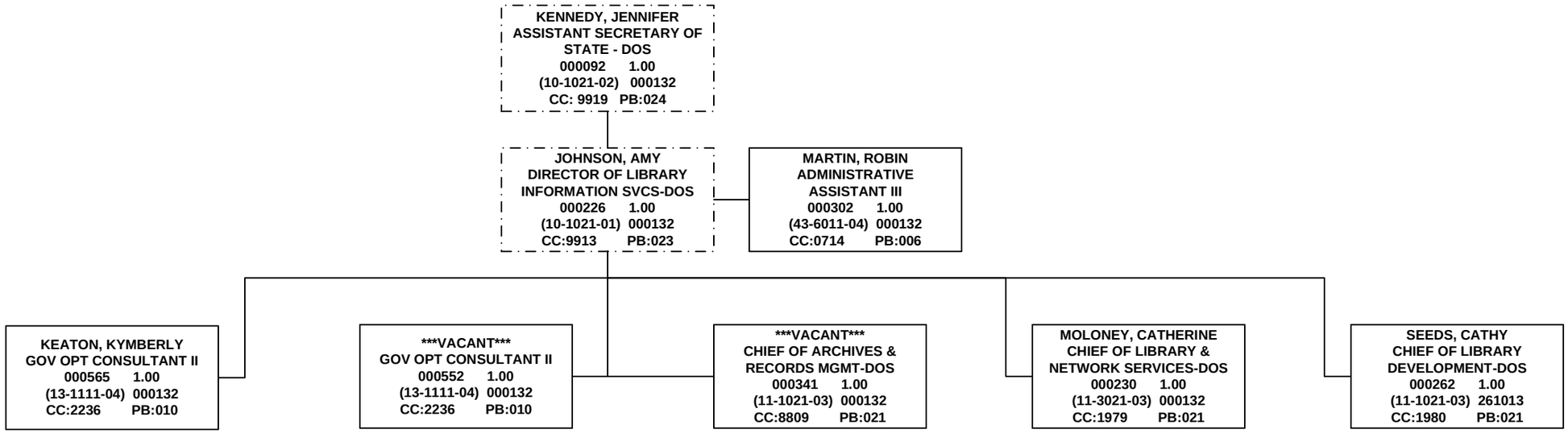
DIVISION OF CORPORATIONS
Bureau of Commercial Information Services
(Page 2 of 2)



DIVISION OF LIBRARY AND INFORMATION SERVICES
Office of Division Director

Department of State

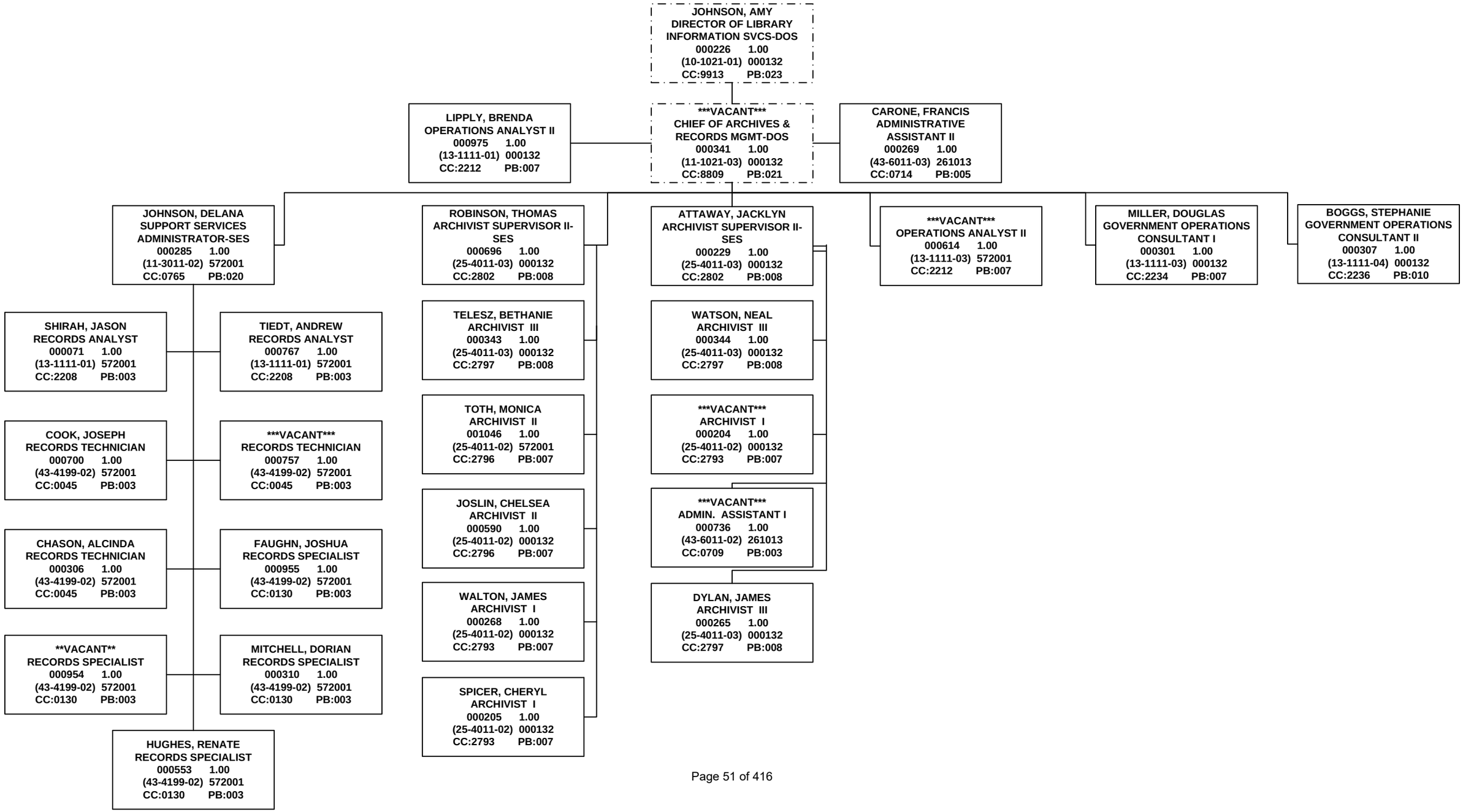
6 FTE



Department of State

26 FTE

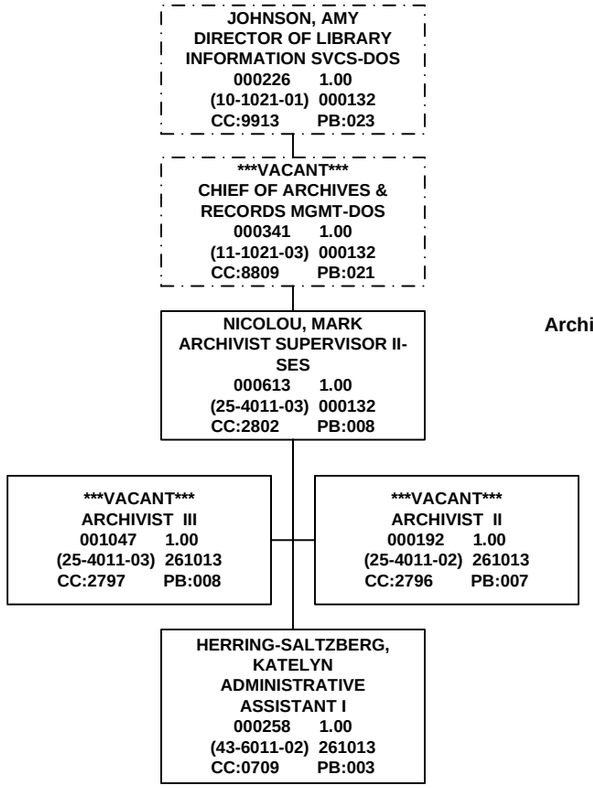
DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Archives & Records Management
(Page 1 of 2)



Department of State

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

4 FTE



Archives Public Programs

DIVISION OF LIBRARY AND INFORMATION SERVICES

Bureau of Library & Network Services

Department of State

13 FTE

JOHNSON, AMY
DIRECTOR OF LIBRARY INFORMATION SVCS-DOS
000226 1.00
(10-1021-01) 000132
CC:9913 PB:023

MOLONEY, CATHERINE
CHIEF OF LIBRARY & NETWORK SERVICES-DOS
000230 1.00
(11-3021-03) 000132
CC:1979 PB:021

Library Cataloging

JONES, ANGELA
LIBRARY PROGRAM ADMINISTRATOR-SES
000256 1.00
(11-1021-02) 000132
CC:4322 PB:020

FULLER, BRITTON
LIBRARY TECHNICAL ASSISTANT II
000737 1.00
(25-4031-01) 261013
CC:4304 PB:002

*****VACANT*****
LIBRARIAN
000958 1.00
(25-4021-02) 261013
CC:4315 PB:007

CONVERY, AMY
LIBRARY PROG. SPECIALIST
000250 1.00
(25-4021-03) 261013
CC:4327 PB:008

Reference Services

SCHRADER-MALEFATTO, JOCELINE
LIBRARY PRGM SPECIALIST
000754 1.00
(25-4021-03) 000132
CC:4327 PB:008

WESTMORELAND, MICHAELA
LIBRARIAN SPECIALIST
000866 1.00
(25-4021-02) 261013
CC:4318 PB:007

COWARD, MARVA
LIBRARY PROGRAM SPECIALIST
000241 1.00
(25-4021-03) 000132
CC:4327 PB:008

BAAS, LAURA
LIBRARIAN SPECIALIST
000588 1.00
(25-4021-02) 000132
CC:4318 PB:007

Lending Services

COBY, MICHAEL
LIBRARIAN SPECIALIST
000972 1.00
(25-4021-02) 000132
CC:4318 PB:007

SPERRY, OLIVIA
LIBRARY PROGRAM ADMINISTRATOR-SES
000245 1.00
(11-1021-02) 000132
CC:4322 PB:020

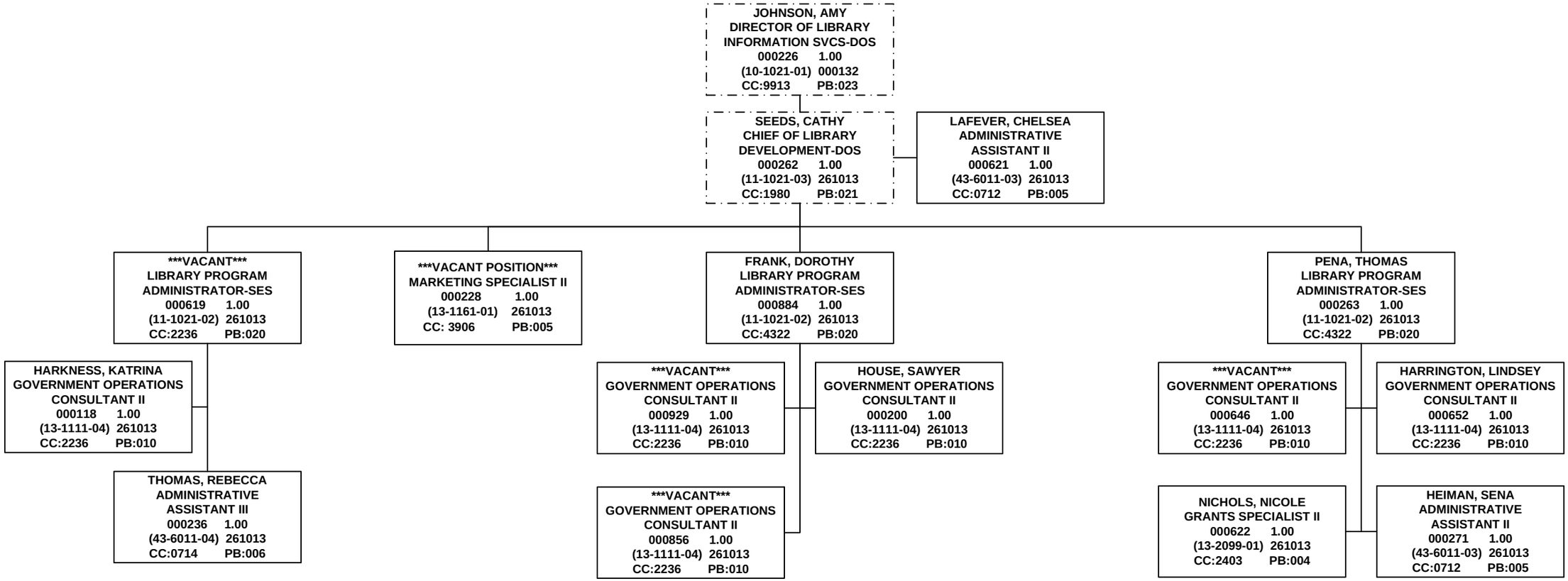
*****VACANT*****
ADMINISTRATIVE ASSISTANT I
000953 1.00
(43-6011-02) 261013
CC:0709 PB:003

INGRAM, KATHRYN
LIBRARY TECHNICAL ASSISTANT II
000739 1.00
(25-4031-01) 261013
CC:4304 PB:002

ATKINS, KIMBERLY
LIBRARY TECHNICAL ASSISTANT II
000069 1.00
(25-4031-01) 261013
CC:4304 PB:002

Department of State
14 FTE

DIVISION OF LIBRARY AND INFORMATION SERVICES
Bureau of Library Development

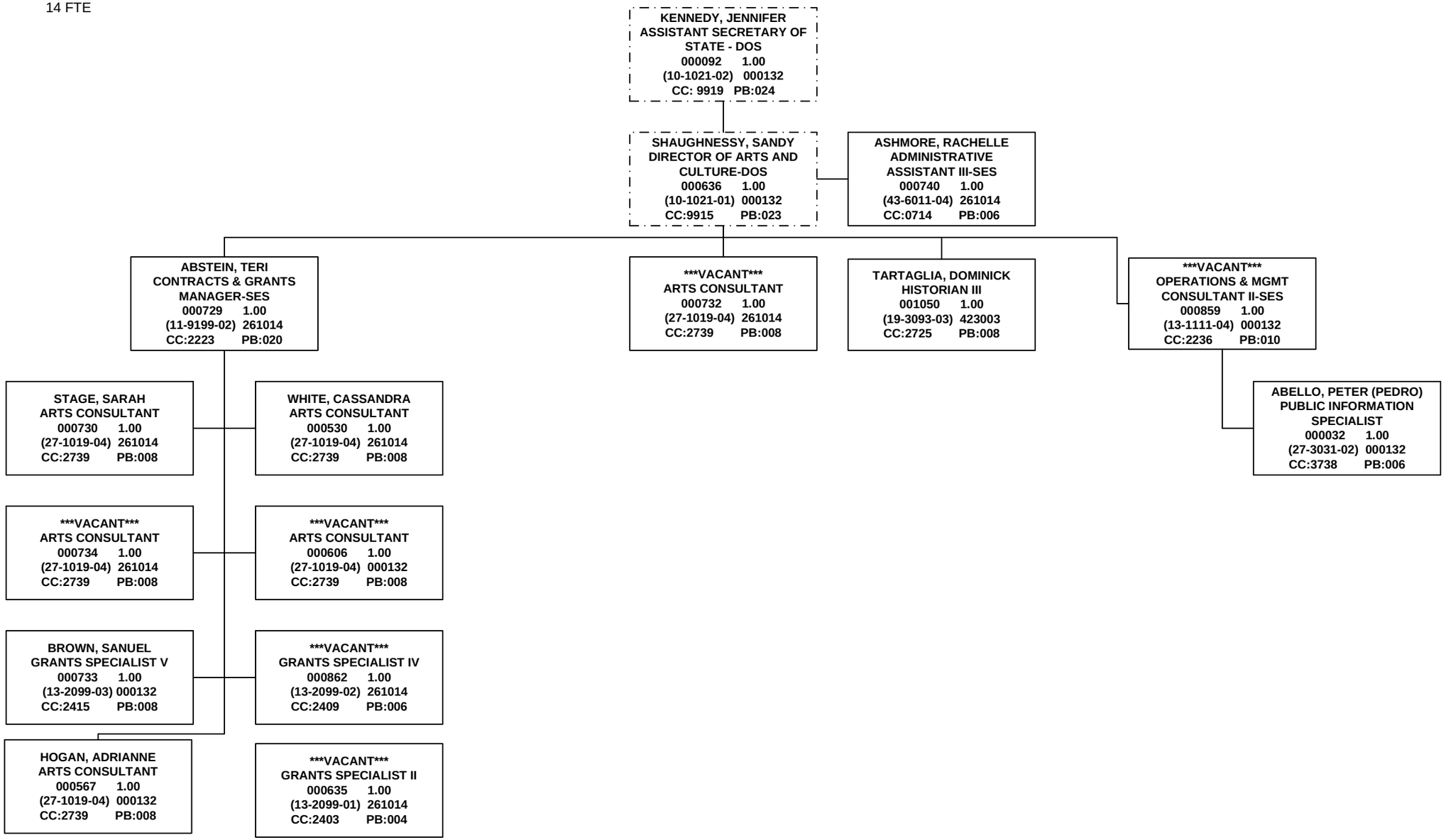


Department of State

14 FTE

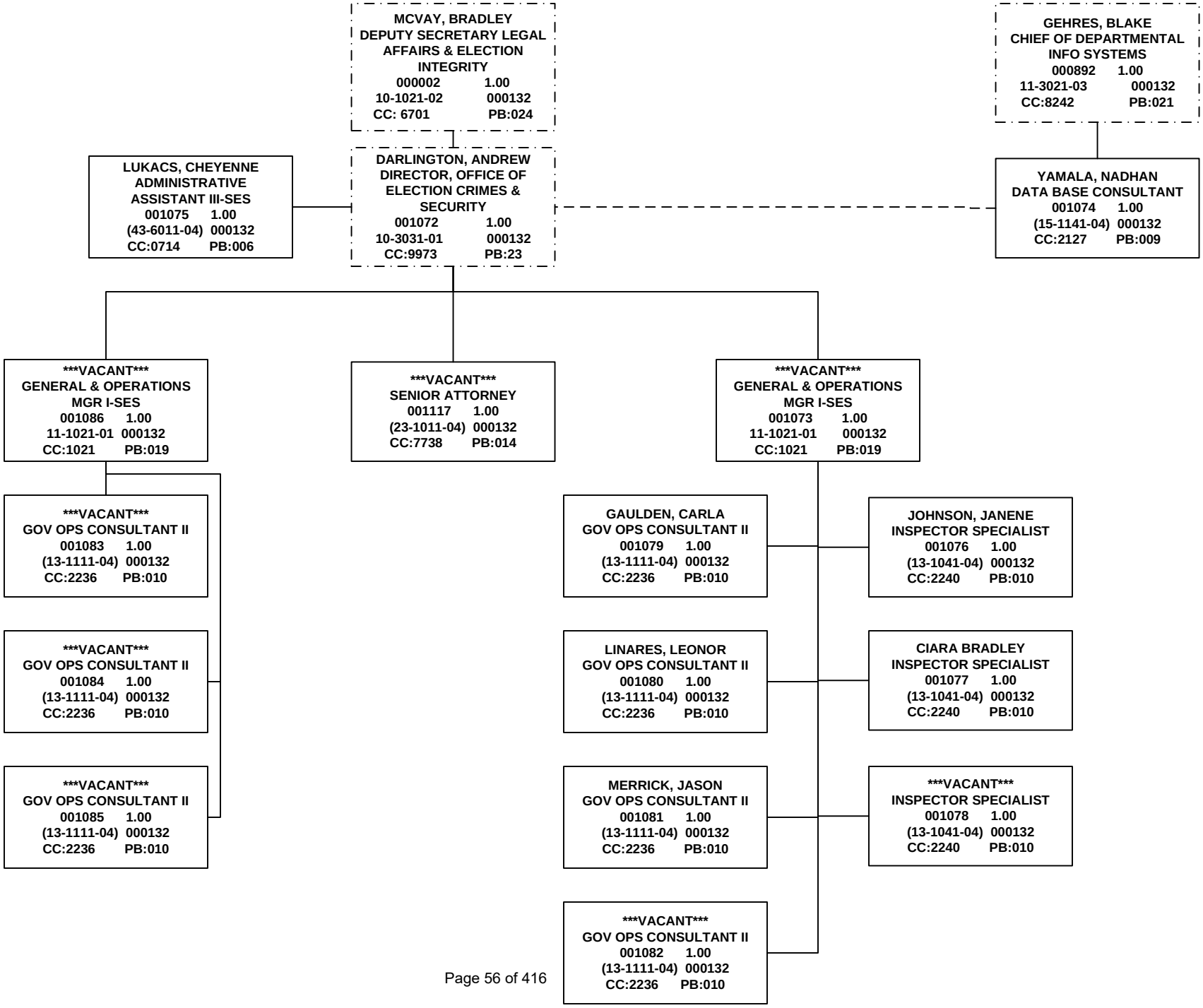
DIVISION OF ARTS AND CULTURE

Office of Division Director



OFFICE OF ELECTION CRIMES & SECURITY

15 FTE



STATE, DEPARTMENT OF

SECTION I: BUDGET	FISCAL YEAR 2022-23 OPERATING	FIXED CAPITAL OUTLAY
TOTAL ALL FUNDS GENERAL APPROPRIATIONS ACT	153,043,828	40,637,132
ADJUSTMENTS TO GENERAL APPROPRIATIONS ACT (Supplementals, Vetoes, Budget Amendments, etc.)	17,713,312	50,045,984
FINAL BUDGET FOR AGENCY	170,757,140	90,683,116

SECTION II: ACTIVITIES * MEASURES	Number of Units	(1) Unit Cost	(2) Expenditures (Allocated)	(3) FCO
Executive Direction, Administrative Support and Information Technology (2)				35,835,189
Elections Assistance And Oversight * **Number of elections work activities conducted.**	482,371	75.66	36,495,176	
Historical Resource Protection * **Number of historic resources and archaeology activities conducted.**	2,415,780	4.47	10,804,847	24,598,669
Business Filings * **Number of business transactions processed.**	23,142,360	0.64	14,713,749	
State Library * **Number of state library, archives, and records managment activities conducted.**	112,180	331.65	37,204,003	
State Historic Museums * **Number of museum activities conducted**	7,242	450.63	3,263,448	13,800,000
Cultural Program Education And Outreach * **Number of attendees at webinars, workshops, presentations, cultural events, exhibits facilitated**	136,625,726	0.41	55,561,071	13,500,000
TOTAL			158,042,294	87,733,858

SECTION III: RECONCILIATION TO BUDGET			
PASS THROUGHS			
TRANSFER - STATE AGENCIES			
AID TO LOCAL GOVERNMENTS			
PAYMENT OF PENSIONS, BENEFITS AND CLAIMS			
OTHER			
REVERSIONS		12,714,846	2,949,258
TOTAL BUDGET FOR AGENCY (Total Activities + Pass Throughs + Reversions) - Should equal Section I above. (4)		170,757,140	90,683,116

SCHEDULE XI/EXHIBIT VI: AGENCY-LEVEL UNIT COST SUMMARY

(1) Some activity unit costs may be overstated due to the allocation of double budgeted items.

(2) Expenditures associated with Executive Direction, Administrative Support and Information Technology have been allocated based on FTE. Other allocation methodologies could result in significantly different unit costs per activity.

(3) Information for FCO depicts amounts for current year appropriations only. Additional information and systems are needed to develop meaningful FCO unit costs.

(4) Final Budget for Agency and Total Budget for Agency may not equal due to rounding.

SECTION III - PASS THROUGH ACTIVITY ISSUE CODES SELECTED:

TRANSFER-STATE AGENCIES ACTIVITY ISSUE CODES SELECTED:

1-8:

AID TO LOCAL GOVERNMENTS ACTIVITY ISSUE CODES SELECTED:

1-8:

AUDIT #1: THE FOLLOWING STATEWIDE ACTIVITIES (ACT0010 THROUGH ACT0490) HAVE AN OUTPUT STANDARD (RECORD TYPE 5) AND SHOULD NOT:

*** NO ACTIVITIES FOUND ***

AUDIT #2: THE FCO ACTIVITY (ACT0210) CONTAINS EXPENDITURES IN AN OPERATING CATEGORY AND SHOULD NOT: (NOTE: THIS ACTIVITY IS ROLLED INTO EXECUTIVE DIRECTION, ADMINISTRATIVE SUPPORT AND INFORMATION TECHNOLOGY)

*** NO OPERATING CATEGORIES FOUND ***

AUDIT #3: THE ACTIVITIES LISTED IN AUDIT #3 DO NOT HAVE AN ASSOCIATED OUTPUT STANDARD. IN ADDITION, THE ACTIVITIES WERE NOT IDENTIFIED AS A TRANSFER-STATE AGENCIES, AS AID TO LOCAL GOVERNMENTS, OR A PAYMENT OF PENSIONS, BENEFITS AND CLAIMS (ACT0430). ACTIVITIES LISTED HERE SHOULD REPRESENT TRANSFERS/PASS THROUGHS THAT ARE NOT REPRESENTED BY THOSE ABOVE OR ADMINISTRATIVE COSTS THAT ARE UNIQUE TO THE AGENCY AND ARE NOT APPROPRIATE TO BE ALLOCATED TO ALL OTHER ACTIVITIES.

*** NO ACTIVITIES FOUND ***

AUDIT #4: TOTALS FROM SECTION I AND SECTIONS II + III:

*** NO DISCREPANCIES FOUND ***

Schedule XIV
Variance from Long Range Financial Outlook

Agency: Florida Department of State **Contact: Antonio Murphy**

Article III, section 19(a)3 of the Florida Constitution, requires each agency Legislative Budget Request to be based upon and reflect the long range financial outlook adopted by the Joint Legislative Budget Commission or to explain any variance from the outlook.

1) Does the long range financial outlook adopted by the Joint Legislative Budget Commission in September 2023 contain revenue or expenditure estimates related to your agency?

Yes [X] No [ ]

2) If yes, please list the estimates for revenues and budget drivers that reflect an estimate for your agency for Fiscal Year 2024-2025 and list the amount projected in the long range financial outlook and the amounts projected in your Schedule I or budget request.

	Issue (Revenue or Budget Driver)	R/B*	FY 2024-2025 Estimate/Request Amount	
			Long Range Financial Outlook	Legislative Budget Request
a	State Aid to Libraries	B		$17,304,072.00
b	Library Consturction Grants	B		List provided to the Legislature by December.
c	Cultural Grant Programs	B		$5,000,000.00
d	Cultural Facilities Grants	B		List provided to the Legislature by December.
e	Historical Resources Grants	B		Ranked list scheduled for completion October 2023
f	Election Litigation Expenses	B		$5,000,000.00
g	Reimbursement for Special Elections	B		$1,500,000.00
h	(Total for Programs listed above as adopted in the Long Range Financial Outlook)		$65,600,000.00	

3) If your agency's Legislative Budget Request does not conform to the long range financial outlook with respect to the revenue estimates (from your Schedule I) or budget drivers, please explain the variance(s) below.

* R/B = Revenue or Budget Driver

FLORIDA DEPARTMENT of STATE

Schedule I Series

Federal Grants Trust Fund
(2261)

FY 2024-2025

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Department of State
Trust Fund Title: Federal Grants Trust Fund
Budget Entity: 45XXXXXX
LAS/PBS Fund Number: 2261

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	2,075,332.19	(A)		2,075,332.19	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	11,929,635.86	(C)	(186,125.21)	11,743,510.65	
ADD: Outstanding Accounts Receivable	90,236.84	(D)		90,236.84	
ADD: Anticipated Revenue	9,392,820.82	(E)		9,392,820.82	
Total Cash plus Accounts Receivable	**23,488,025.71**	(F)	**(186,125.21)**	**23,301,900.50**	
LESS Allowances for Uncollectibles	20.00	(G)		20.00	
LESS Approved "A" Certified Forwards	2,127,394.36	(H)		2,127,394.36	
Approved "B" Certified Forwards	1,348,835.61	(H)		1,348,835.61	
Approved "FCO" Certified Forwards	7,225,732.40	(H)		7,225,732.40	
LESS: Other Accounts Payable (Nonoperating)	0	(I)		0	
LESS: _____	0	(J)		0	
Unreserved Fund Balance, 07/01/23	**12,786,043.34**	(K)	**(186,125.21)**	**12,599,918.13**	**

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 - June 2023

##########
##########
-

##########
##########
209,354.87 Need Adjustment

23,229.66
186,125.21

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2024 - 2025

Department Title:	Department of State
Trust Fund Title:	Federal Grants Trust Fund - Combined (45XXXXXX)
LAS/PBS Fund Number:	2261

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**12,013,143.18**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4500003 - Correcting Investments	23,229.66	(C)
SWFS Adjustment #B4500015 - Correcting Investments	(209,354.87)	(C)
		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(1,348,835.61)	(D)
Approved FCO Certified Forward per LAS/PBS	(7,225,732.40)	(D)
A/P not C/F-Operating Categories	20,156.72	(D)
Adjustment to PY Accounts Payable	(65,509.37)	(D)
Anticipated Revenue	9,392,820.82	(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**12,599,918.13**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**(12,599,918.13)**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Grants and Donations Trust Fund

(2339)

FY 2024-2025

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Department of State
Trust Fund Title: Grants & Donations Trust Fund
Budget Entity: 45XXXXXX
LAS/PBS Fund Number: 2339

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	347,856.61	(A)		347,856.61	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	0	(C)		0	
ADD: Outstanding Accounts Receivable	136.00	(D)		136.00	
ADD: _____	0	(E)		0	
Total Cash plus Accounts Receivable	**347,992.61**	(F)	**0**	**347,992.61**	
LESS Allowances for Uncollectibles	2,056.00	(G)	7,986.44	10,042.44	
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)	1,200.00	(I)	(1,194.56)	5.44	
LESS: _____	0	(J)		0	
Unreserved Fund Balance, 07/01/23	**344,736.61**	(K)	**(6,791.88)**	**337,944.73**	**

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 - June 2023

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2024 - 2025

Department Title:	Department of State
Trust Fund Title:	Grants and Donations Trust Fund - Combined (45XXXXXX)
LAS/PBS Fund Number:	2339

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**344,736.61**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4500004 - Correcting Uncollectibles/Decreasing A/P - Nonop	(6,791.88)	(C)
		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS		(D)
Approved FCO Certified Forward per LAS/PBS		(D)
A/P not C/F-Operating Categories		(D)
		(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**337,944.73**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**337,944.73**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Land Acquisition Trust Fund

(2423)

FY 2024-2025

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Department of State
Trust Fund Title: Land Acquisition Trust Fund
Budget Entity: 45XXXXXX
LAS/PBS Fund Number: 2423

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	2,288,915.90	(A)	328,063.69	2,616,979.59	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	0	(C)		0	
ADD: Outstanding Accounts Receivable	323,834.14	(D)		323,834.14	
ADD: _____	0	(E)		0	
Total Cash plus Accounts Receivable	**2,612,750.04**	(F)	328,063.69	**2,940,813.73**	
LESS Allowances for Uncollectibles	0	(G)		0	
LESS Approved "A" Certified Forwards	389,599.71	(H)		389,599.71	
Approved "B" Certified Forwards	1,192,671.05	(H)		1,192,671.05	
Approved "FCO" Certified Forwards	0	(H)		0	
LESS: Other Accounts Payable (Nonoperating)	0	(I)		0	
LESS: _____	0	(J)		0	
Unreserved Fund Balance, 07/01/23	**1,030,479.28**	(K)	328,063.69	**1,358,542.97**	**

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 - June 2023

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2024 - 2025

Department Title:	Department of State
Trust Fund Title:	Land Acquisition Trust Fund - Combined (45XXXXXX)
LAS/PBS Fund Number:	2423

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**1,934,000.75**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #B4500007 - Correcting Due From	328,063.69	(C)
		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(1,192,671.05)	(D)
Approved FCO Certified Forward per LAS/PBS		(D)
A/P not C/F-Operating Categories	289,149.58	(D)
		(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**1,358,542.97**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**(1,358,542.97)**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Operating Trust Fund

(2510)

FY 2024-2025

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Department of State
Trust Fund Title: Operating Trust Fund
Budget Entity: 45XXXXXX
LAS/PBS Fund Number: 2510

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	291,508.87	(A)		291,508.87	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	0	(C)		0	
ADD: Outstanding Accounts Receivable	30,000.00	(D)		30,000.00	
ADD: _____	0	(E)		0	
Total Cash plus Accounts Receivable	**321,508.87**	(F)	**0**	**321,508.87**	
LESS Allowances for Uncollectibles	0	(G)		0	
LESS Approved "A" Certified Forwards	17.81	(H)		17.81	
Approved "B" Certified Forwards	0	(H)		0	
Approved "FCO" Certified Forwards	0	(H)		0	
LESS: Other Accounts Payable (Nonoperating)	0	(I)		0	
LESS: Advances From Other Funds Between Dep	0	(J)		0	
Unreserved Fund Balance, 07/01/23	**321,491.06**	(K)	**0**	**321,491.06**	**

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 - June 2023

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2024 - 2025

Department Title:	Department of State
Trust Fund Title:	Operating Trust Fund
LAS/PBS Fund Number:	2510

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23 Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**233,955.24**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
		(C)
		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS		(D)
Approved FCO Certified Forward per LAS/PBS		(D)
A/P not C/F-Operating Categories	30,000.00	(D)
	57,535.82	(D)
		(D)
		(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**321,491.06**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**(321,491.06)**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

FLORIDA DEPARTMENT of STATE

Schedule I Series

Records Management Trust Fund

(2572)

FY 2024-2025

SCHEDULE IC: RECONCILIATION OF UNRESERVED FUND BALANCE

Budget Period: 2024 - 2025

Department Title: Department of State
Trust Fund Title: Records Management Trust Fund
Budget Entity: 45XXXXXX
LAS/PBS Fund Number: 2572

	Balance as of 6/30/2023		SWFS* Adjustments	Adjusted Balance	
Chief Financial Officer's (CFO) Cash Balance	684,966.50	(A)	41,681.45	726,647.95	
ADD: Other Cash (See Instructions)	0	(B)		0	
ADD: Investments	0	(C)		0	
ADD: Outstanding Accounts Receivable	1,346,309.43	(D)		1,346,309.43	
ADD: _____	0	(E)		0.00	
Total Cash plus Accounts Receivable	**2,031,275.93**	(F)	**41,681.45**	**2,072,957.38**	
LESS Allowances for Uncollectibles	2,550.57	(G)		2,550.57	
LESS Approved "A" Certified Forwards	1,307.26	(H)		1,307.26	
Approved "B" Certified Forwards	22,177.40	(H)		22,177.40	
Approved "FCO" Certified Forwards	0	(H)		0	
LESS: Other Accounts Payable (Nonoperating)	0	(I)		-	
LESS: _____	0	(J)		0	
Unreserved Fund Balance, 07/01/23	**2,005,240.70**	(K)	**41,681.45**	**2,046,922.15**	**

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 - June 2023

RECONCILIATION: BEGINNING TRIAL BALANCE TO SCHEDULE I and IC

Budget Period: 2024 - 2025

Department Title:	Department of State
Trust Fund Title:	Records Management Trust Fund - Combined (45XXXXXX)
LAS/PBS Fund Number:	2572

BEGINNING TRIAL BALANCE:

Total Fund Balance Per FLAIR Trial Balance, 07/01/23		
Total all GLC's 5XXXX for governmental funds; GLC 539XX for proprietary and fiduciary funds	**1,349,923.84**	(A)
Subtract Nonspendable Fund Balance (GLC 56XXX)		(B)
Add/Subtract Statewide Financial Statement (SWFS)Adjustments :		
SWFS Adjustment #45000011 - Adjustment to A/R	41,681.45	(C)
		(C)
Add/Subtract Other Adjustment(s):		
Approved "B" Carry Forward (Encumbrances) per LAS/PBS	(22,177.40)	(D)
Approved FCO Certified Forward per LAS/PBS		(D)
A/P not C/F-Operating Categories	5,410.78	(D)
Adjustment to PY Accounts Payable	579,826.99	(D)
Compensated Absences Liability	88,876.68	(D)
Leases Liability	3,379.81	(D)
ADJUSTED BEGINNING TRIAL BALANCE:	**2,046,922.15**	(E)
UNRESERVED FUND BALANCE, SCHEDULE IC (Line K)	**(2,046,922.15)**	(F)
DIFFERENCE:	**0.00**	(G)*

***SHOULD EQUAL ZERO.**

SCHEDULE IV-B FOR CORPORATE REGISTRY REVITALIZATION PROJECT

For Fiscal Year 2024-25

September 15, 2023

FLORIDA DEPARTMENT OF STATE

Contents

I. Executive Summary

Preserve, Promote, and Provide – These are three words that describe the Florida Department of State's (Department or DOS) overall responsibilities. The Department's essential mission is to improve the quality of life for all Florida residents, visitors, and business entities.

The Division of Corporations (Division or DOC) is one (1) of six (6) Divisions within the Department. DOC's primary purpose is to preserve, promote, and provide Florida's official business entity index and commercial activity data management system. The applications and processes the Division uses to provide these services are collectively known as Sunbiz.

The public face of Sunbiz is the Division's website (https://dos.myflorida.com/sunbiz/) and is the entry point to most Division services, including around-the-clock collection, processing, editing, and reporting of Florida's business entities. The processing of these filings makes the Division critical to Florida's prosperity. Through the Division, the Department fosters economic development and provides a competitive, business-friendly corporate filing environment. All Floridians are impacted by the services provided by the Division of Corporations.

The Division is responsible for:

- Having a readily available, valid, and reliable business entity index available 24/7, 365 days a year,
- Formalizing the legal standing of a business or activity,
- Indexing the filing or registration, and
- Supplying information and certification regarding the filings and activities of record.

The Division provides businesses with the legal right to conduct commerce in the state of Florida and provides information regarding the legitimacy of a business to the public, lending institutions, and government and law enforcement agencies.

The mission of the Division includes the registration, recording, certifying, and reporting of trade and service marks, fictitious name registrations, judgement and federal tax liens, Uniform Commercial Code (UCC) financing statements, cable and video franchises, surety bond maintenance, notary public commissions, and apostilles. In addition, the Division is responsible for the recording, acceptance, and notification of (Substituted) Service of Process. In summary, the Division functions as an informational resource for statewide business activities, registrations, and certificates.

The activities of the Division of Corporations are essential to the success of Florida's economy. Not only do the Division's undertakings generate hundreds of millions of dollars of general revenue, but they are also instrumental in driving Florida's strong economic engine. Second to its staff, the most important asset of the Division is the Sunbiz Corporate Registration System; Sunbiz is not just a website or a database but encompasses all the online and internal applications and processes the Division of Corporations uses to provide service.

There are several important differences to highlight between previous modernization efforts and the proposed solution presented within this document. To start, the current technology state of the Corporate Registry System is overall trending positively. Thanks to the efforts of the 2022 legislature, the Department, with assistance from the State Data Center (SDC) and Northwest Regional Data Center (NWRDC), was able to fortify the legacy system by:

1) Acquiring reserve physical [redacted] servers,

2) Completing optimizations within the legacy system that provide enhanced data storage and retrieval,

3) Migration from a legacy enterprise virtual storage array [redacted] to the more modern storage area network [redacted] which allows for scalability of the system's [redacted] database.

These activities were fueled by remaining funds left by termination of the Sunbiz (Commercial of the Shelf) COTS Modernization Project. In brief, the Department followed a two-prong approach for bolstering the Sunbiz legacy system. Licensing and duplicate physical hardware was purchased to increase the overall system resiliency. Running concurrently with the equipment procurement, the Department complete a proof-of-concept

virtualization for the [redacted] system. Virtualization of the underlying Sunbiz application fabric well insulates the Department from hardware failure due to age. Once in production, scheduled for early 2024, this single act calms pressure to deliver a wholly realized Sunbiz replacement system in a single package and allows for system planning and implementation to reuse many of the project artifacts from previous modernization attempts.

Revitalizing the Sunbiz system is expected to cost approximately $18.5 million and be completed FY29-30. Deliverables will use a staggered service/feature release schedule to bring value to the public and Division throughout the life of the project with business need driving the priority of releases; short term project goals will focus on delivering: 1.) new authentication and authorization services to secure and track changes to entity records, 2.) significantly reduced risk of system failure by re-engineering the system's disaster recovery posture, 3.) streamlined processes used by Florida citizens and business entities for corporate filings and other Division services, 4.) improved performance and reliability of Sunbiz, including the data collected, stored, and reported, 5.) reduced effort for hosting, maintaining, and operating Sunbiz, and 6.) reduced daily operating costs for the Division.

The initial step of any project, especially one as large and impactful as the Sunbiz Revitalization Project, is in-depth planning. On this project's planning front, the Department of State has a distinct advantage over other modernization efforts. The Department possesses documentation of two previous project efforts and while the artifacts on hand do not have a one-to-one correlation between user interface features, most backend processes are well understood and have at least process documentation. The first six (6) months of the effort will focus on creating a well thought out backlog of features and services revolving around the system's fiscal processes. During this initial phase, the team will collate documentation gathered during previous efforts to unify and modernize Sunbiz, continue the discovery process for complex workflows; conduct further gap analyses; identify the requirements of a secure, unified, and modern Sunbiz that helps protect system users from corporate fraud; and design a more intuitive user interface for the revitalized Sunbiz. A primary focus of early planning efforts will be the identification and introduction of an Authentication and Authorizing (A&A) methodology to the new Sunbiz system.

Funding received as a result of this request will be used to procure vendor led programming services. Department full-time staff will provide oversight for the entirety of the effort.

Project activities will span six (6) years of development in total.

Statement of the Problem

Technologically, Sunbiz is more than a website hosting over 18 public facing online applications. The system utilizes a collection of more than 20 internal tools that support services available to the public and services that are not available online. Sunbiz also contains a compilation of scripts and applications that run batch jobs, automatic and manual processes, and reports. Sunbiz includes the hardware, data sources, databases, image files, network resources, management systems, and coding that host and support the activities of the Division. Throughout this document, Sunbiz refers to the website and all the tools, applications, and processes (including those not currently electronic) the Division uses to provide services.

The current code set responsible for filing new entities is written in the programming language [redacted] and uses a proprietary operating system software, [redacted]. Both these technologies were best in class at the time of the systems original launch. However, finding coding resources with adequate experience to continue with either of those baseline components carries enough risk that the Department is not willing to continue on the platform. This project migrates sites and services to a [redacted] environment. The Department has ample experience and expertise for [redacted]

Key Issues to Be Addressed

The primary justification for revitalizing *Sunbiz* is to mitigate the total cost of ownership for the *Sunbiz* system. Primary cost drivers are currently the Azure architecture, specialized database administration costs, [redacted] licensing, and operating system care.

The second goal of the revitalization is the unification of DOC's multiple systems (applications, hardware, databases) which make up *Sunbiz*. Uniting eight (8) of the nine (9) service areas and the 15 functional areas of the Division of Corporations is critical for continued success.

Project Objectives:

- Accountable – Permission-based access, through authentication and authorization of role-based credentialing, will prevent fraudulent filings and provide an audit trail for new filings and edits. Features of a modernized system will identify who made a change, when the change was made, what was changed, and from what computer (IP address). The audit system will retain historical files so that original, changed, and current documents will be maintained.
- Communications – Form-based messaging will make communicating with the Division easier and more efficient. The new method of communication will allow the public to pinpoint which unit within the Division will receive their correspondence, identify the issue being addressed, and provide the user with both a template and a free-form method of writing. With email being the primary form of communication, communications will be expedited and will virtually eliminate any need to manually open and sort communications received by mail or courier, and the subsequent need to print, stuff, apply postage, and mail each response. This will save both time and money and improve overall customer satisfaction. It will also allow the Division to maintain more permanent records within a more organized system. Individual users with credentials could have an individual mailbox within the system and all generated communications could be stored for future access. Correspondence that contains sensitive information which cannot be emailed can be exchanged and stored within the client's mail folder.
- Dependable – Fidelity of the hardware is key to the modernization. Tying the legacy VMS and Azure systems together are a series of applications that were developed to reduce Division involvement. As it stands, aspects of the system must be operated by a human being despite being well suited for automation. A modern system will not have these hurdles for the Division.
- Efficient – The new system will be built around the processes needed for productive workflows, for instance, currently a scanned document must be touched multiple times to make any subsequent edits on both the image and/or filing in the legacy system and in the corresponding Azure application/system. A new system will remove the current time delay between when a request for information or task is received and when an operator is able to fulfill the action item. This will ensure an entity's representative receives closer to real-time information, thereby reducing the public's frustration with long processing wait times and eliminating unnecessary calls to the Division.
- Implementation – A new system will be written using a modern framework [redacted]. The Department is well suited/accustomed to making [redacted] changes and will eliminate the need for highly specialized programmers and administrators. This in turn will allow the Division to timely comply with regulations and fulfill other innovative ideas and improvements.
- Integrated – This category specifically addresses legacy bar code readers, scanners, check readers, and printers used by the Division. A modern system will allow the Division to use modern peripherals. Although these peripherals are not an integral part of the computer, they are fundamental in the processing of a large percentage of filings for current Division workflows.
- Maintainable – The current languages, operating systems, and architectures are of the Corporations code base are outdated, expensive to sustain, and are not expandable. A modern system is expandable with readily accessible hardware, common code, and operating systems. Engineers and developers are also more easily acquired, which is in the best interest of Florida.

- Prevention – A primary goal of the revitalization is to increase *Sunbiz's* resiliency. DOC, Florida's business community, the public, policy makers, regulators, law enforcement, and other key agencies and institutions rely on Florida's official business entity and commercial activity index. A new, modern, scalable, redundant system can help avoid *Sunbiz* from being offline, even when maintenance is expected. During routine maintenance periods, users should not notice slowdowns. Currently during any maintenance effort, the current system must be taken offline.
- Redundant – The current on-premises system, as was common in legacy architectures, has several single points of failure, and the entire system is located within the datacenter. Portions of the system is hosted in [redacted], and accordingly, those aspects are redundant and scalable; however, the majority of key services (e.g., fiscal, correspondence, imaging) are embedded within [redacted]. A modern system will allow for the redundancy of power, application servers, data servers, and the connections between these components, as well as the internet. If one component fails or even runs slow, another replacement is brought online. If a component reaches an established threshold (e.g., 80% of the maximum), an additional component is brought online to support the business of the agency. This is especially important during peak usage. It is done in such a way that the user does not experience slowdown. It also allows for maintenance, updates, and patches to be run without an interruption of service. With all application code and data being backed up offsite, should there be a systematic failure at the primary site, a secondary site can be brought up with limited interruption.
- Reliable – This objective is more related to the reliability of the data, but also applies to the system and the parts that make it up. New, supportable hardware provides peace of mind not afforded by the present aged system. Because data exists within separate but linked sources, when data or an image is updated on the current system, staff must pull data from two sources, update both documents, and then return them to their respective area. The lack of synchronization will, at times, result in the user pulling or putting files with inaccurate information.
- Scalable – One major objective of modernization is to improve the system's reaction to load increase. With modern architecture, if there is a temporary need for additional resources (e.g., during peak filing periods), additional system resources can be automatically engaged to handle the encumbrance. In the event additional hardware is needed, additional resources can be added, unlike with the current physical system.
- Secure – A modern system provides authentication and authorization abilities. Persons accessing data or images and making changes leave an audit trail, thereby reducing fraudulent filings. Updated encryption [redacted] improves the security layer and helps prevent the interception of personal information, including credit card numbers. An improved DMZ and DMC, as well as encrypted data and other inherent features of a modern system, will reduce the chances of hacking and the subsequent release of unauthorized information. Another project goal is to add password functionality to the system.
- Sustainable – Another primary objective is that Department junior staff be able to provide care to the new system. The solution built for the project cannot require that an advanced programmer be assigned to maintenance tasks. In other words, the code base should be intuitive and follow current design pattern methodologies.
- Unified – Another main objective of the revitalization is to bring together all the processes and databases utilized by *Sunbiz* and remove the need for intermediary programs to transfer, synchronize, and correct data and images. Unification will streamline processes, expedite transactions, improve the reliability and accuracy of data, and reduce costs. This will reduce the type and number of specialists needed to keep the *Sunbiz* system operational.
- Valid – The integrity of the data will also be improved through a modernized system. As there are manual processes in the workflow, occasionally staff make entry errors. Inquiries by the public therefore display incorrect information. Without the need for a human to type data, the integrity of records should improve.

- Warranty – Another advantage of the new hardware is warranties, thereby eliminating the need for the current more expensive, extended service agreements.

Recommended Solution

Following the consideration of alternatives for both the business and technical solutions, it is recommended that DOS pursue the modernization of the Florida Corporate Registry, Sunbiz, including its ancillary systems and applications with a new, primarily cloud-based system. Developing the new system through a hybrid approach of utilizing a combination of third-party software products and custom development will satisfy the requirements for each component of the system.

Based on assessed assumptions, constraints, and risks, it is recommended that DOS complete all modernization activities within the next six (6) years. This expedited system overhaul is estimated to total less than $18.5 million and have recurring yearly costs of $210,000 per year for hosting / licensing.

Conclusion

The revitalization will mitigate hosting fabric needs, increase security, significantly reduce system downtime during maintenance, allow for the streamlining of filing processes, improve performance, reduce staffing and financial overhead, improve reporting capabilities and fiscal management, and, overall, provide Florida citizens and business with a system designed from the ground up to deliver a modern service experience. By moving Sunbiz into the twenty-first century, there will be an improvement in the accuracy of data collection, storage, and reporting; increased filing and reporting efficiencies and capabilities; improved security; and increased scalability and redundancy. Furthermore, the revitalization will provide the Division with increased technological ability to more quickly comply with statutory mandates.

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

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

Sunbiz and the applications used within the Division of Corporations are referred to as a single system but are an amalgamation of several technologies that require support from the Division of Corporations, Bureau of Departmental Information Systems, State Data Center, the Northwest Regional Data Center, and Microsoft. The Division and the Department's IT (Bureau of Division Information Systems - BDIS) team experience issues hiring staff with experience with the Sunbiz hosting fabric. As a result, the Department considers primary project drivers to be a reduction of the number of required maintenance staff outside of the agency and an ability to hire staff with working knowledge of contemporary operating systems. For example, all corporate documents and filing records prior to 1996 are currently housed on microfiche . Filings and the related imaged documents received and processed between 1996 and 2013 are stored on [redacted] database (the precursor to [redacted]). As it stands, the files cannot be moved to a different OS due to the unbreakable relationship between the [redacted] database and the [redacted] operating system. Often during maintenance, information must be migrated to installations of other relational databases before artifacts from the system may be used.

Dependent on the type, filings submitted since January 1, 2013, may be stored in either the [redacted], [redacted], or another database. The representations of documents (images) submitted and processed since 2013 are stored both on the legacy system as .tif images and in the [redacted] in [redacted]. The information stored in both in the [redacted] database and in the [redacted] are not duplicative- they complement each other. As a result, obtaining records from datastores require multiple calls which is inefficient, but in the case of [redacted] services, carries additional cost.

The Legacy [redacted] system currently consists of three (3) physical servers, each running a single [redacted] processor in production. The development environment is a physical [redacted] processor running on a [redacted] server. This allows for the "hot swap" of a physical [redacted] server in the event one of the three in production fails. Funding has been provided to rectify this situation as part of the reinforcement of Sunbiz. BDIS, with the assistance of NWRDC, is in the process of acquiring additional [redacted] servers. This action was taken prior to the conclusion of the host virtualization effort because the licensing for [redacted] is costly and negotiations with [redacted] sales confirmed that licenses purchased for the physical servers would transfer to the digital equivalent. There was no risk to the Department that a duplicate procurement would be necessary.

The [redacted] operating system is running several, but not all the Division's service applications. Note that [redacted] or [redacted] is an internal shorthand to refer to applications running on the [redacted] servers, the [redacted] database, the applications built in [redacted] to manage data, batch jobs written in [redacted], all [redacted] programs, and the print queues. It also refers to anything that accesses the [redacted] database. Examples of this include new online filings, searches, and [redacted] programs. Applications run in [redacted] at the State Data Center, and developers tasked with Operations and Maintenance have the ability to correct production data via tool sets installed exclusively to their local work PCs.

Nine (9) service areas, all of which are in statute at the state or federal (e.g., service and trademarks, authentications, notary public commissions, liens, service of process, cable franchises, miscellaneous filings, and UCC) are processed through and/or have their data stored in a variety of other methods (e.g., [redacted] against a [redacted] database, Excel spreadsheet, third party). Most, but not all, functional areas (certifications, correspondence, imaging, information services, inquires/searches, and reporting) are through the legacy system. Other areas (e.g., public records exemptions, subpoenas, and public records requests) are not yet within a system but are ad hoc. In common to all nine (9) service areas are financials and the port of entry (www.sunbiz.org which redirects to https://dos.myflorida.com/sunbiz). Eight (8) of the service areas utilize the common correspondence and imaging function of the legacy system. All fiscal work is processed through the same legacy system and accessed through the forward-facing website known as Sunbiz.org.

2. Business Objectives

NOTE: For IT projects with total cost in excess of $10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

Modernization of the Sunbiz system is consistent with Florida's strategic plan as driven by the state's budget policy, legislative mandates, the Governor's priorities, and federal guidelines. This section outlines important business objectives of the proposed system revitalization project and provides an overview of how the objectives relate to DOS goals, policy objectives, statutory requirements, and the measures utilized to track the success of current and future performance.

The Division of Corporations has 3 major business objectives:

Staff	Objective
Director's Office	The Director's Office supervises and coordinates the activities, duties, and responsibilities of the Division's two bureaus. Its mission is to improve the Division's performance, information availability, and service delivery through administrative oversight and accountability.
Bureau of Commercial Recording	The Bureau of Commercial Recording is responsible for examining and indexing business and commercial documents submitted to the Division of Corporations for processing. Documents meeting the required statutory mandates are accepted, processed, and updated on the Division's records.
Bureau of Commercial Information Services	The Bureau of Commercial Information Services is responsible for providing certification, authentication, imaging, and informational services on behalf of the Division of Corporations. Other functions include accepting substitute service of process and providing internet assistance.

Meeting the goals of the revitalization is through the division of the tasks into "modules." Although not modules in the common use of the term, module helps communicate the manner by which the service and functional areas could be grouped for sequencing the design, development, and deployment within the project. In initial scenarios, the focus will be on the three (3) most critical functional areas: 1.) fiscal, 2.) correspondence, and 3.) imaging, with the goal of reducing the multiple inter-dependencies for the system's ancillary applications and result in a more streamlined delivery. The second area of focus of unification will be the modification of all filing processes so that there is a common process flow to include universal online filing:

- Corporations systems – COR, GEN, FIC, and GENCOR)
- Federal Tax Liens, Judgement Liens, Notary Public, Apostilles, Trade and Service Marks, Cable Franchise Systems
- Public Records Exemption Requests, Public Records Requests, Miscellaneous Filings

As the project moves forward additional module groupings may arise or be determined to need rescheduling if alternative groupings are found to be more advantageous for future development efforts. This project's deliverable structure will best serve the Division as a staged approach with multiple smaller releases occurring over the lifetime of the project which allows for incremental change points for both the public and staff.

Federal, State, and DOS Goals and Objectives

The objectives for the Corporate Registry Revitalization directly relate to the performance measures in DOS's Long Range Program Plan (LRPP) for FY 23-24 through FY 27-28. In accordance with section 216.013, FS, state agencies are required to develop LRPPs to achieve state goals using an interagency planning process that includes the development of integrated agency program service outcomes.

The proposed project focuses on providing services that help diversify the Florida job market by providing businesses with the legal right to conduct commerce in the state and a service delivery mechanism which spans the full range of Florida's commercial activities. The Division's primary duties include formalizing the legal standing of a business or activity, indexing a filing or registration, and supplying information and certification regarding filings and activities of record. More than 500,000 new business filings and registrations are filed per calendar year.

The Division of Corporations' official business entity index and commercial activity website, Sunbiz.org, supports local and state law enforcement's ability to investigate and prevent criminal activity in the state of Florida. The Division's records provide law enforcement and government agencies, the public, and lending institutions with critical information regarding the legitimacy of a business. Sunbiz.org is readily available 24/7, 365 days a year. The current project seeks to strengthen the toolset offered to law enforcement partners and public to reduce business entity fraud.

Beyond priorities established by requirements provided in federal regulations and state law, the revitalization of Sunbiz will directly affect and advance DOS's mission, vision, and goals. Benefits are further outlined in Section IV, Benefits Realization.

The project will apply proven best practices and employ state-of-the-art technology to maximize efficiency and improve performance outcomes. In support of these objectives, and with recommended system changes, the DOS will:

- Secure business entities from business fraud by implementing authentication for filing use cases.
- Implement a system that continues to fully comply with state and federal laws and regulations and be able to adapt to changing policy landscapes quickly.
- Improve both internal and external data security.
- Standardize and maximize business processes and tools to achieve efficiency and leverage capacity to keep pace with the normal workloads and surge events such as tax season and stimulus spending.
- Provide report generation and customization capabilities.
- Eliminate the need to conduct certain business processes manually, outside of the system, by integrating them into automated workflows.
- Provide automated data population and cascading of data between input screens to improve productivity and data integrity.
- Implement a system that efficiently interfaces with external integration points to obtain and share data needed to determine eligibility, verify information, and streamline the registration process.
- Provide simultaneous access to data among various user roles.
- Automate assignments and re-assignments for required work based on daily process flows.
- Prioritize workflow management alerts to bring important items to the top of alert notifications.

- Allow staff and supervisors to monitor assigned work in real-time to efficiently manage time and staff resources.
- Allow management to monitor the assignments of workers more effectively under their supervision.
- Eliminate duplicative communication when Sunbiz staff and the public interact during help inquiries.
- Improve and update staff training efficiencies.

B. Baseline Analysis

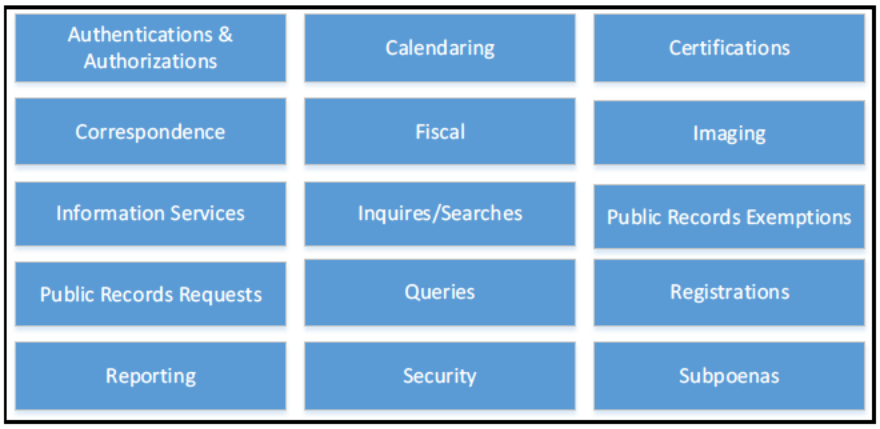
Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

This section provides information related to current business processes necessary for the Division of Corporations to ensure integrity of business entity data and maintain an accurate list of those entities able to conduct business in the state. These business processes are broadly divided into fifteen (15) functional areas, represented in the figure Sunbiz Functional Areas.

***Sunbiz* Functional Areas**



A unified and modernized registry will streamline the business processes of the Division; allow for the implementation of recently passed and future legislation; and result in an integrated, sustainable, maintainable, scalable, and economical data management system which will report more reliable data, resulting in additional economic gains.

Processes are technology driven and not uniform, resulting in inefficiencies as a document moves from subsystem to subsystem. A single document may be accessed multiple times during both the initial submission process and the editing process.

Assumptions and Constraints

Knowledge Base

The legacy hardware is both robust and fragile. The system has been in operation for over 28 years, with the newest hardware being 20 years old. The code, workflows, data schema, and other logical constructs have been

optimized for nearly 3 decades. The result is that internal system users measure their optimization at the number of mouse clicks level. The introduction of a split architecture to the system has caused Division staff to create workarounds for tasks that were once part of the native workflow.

The chief worry concerning institutional knowledge is that [redacted] developers are not readily available if attrition occurs.

Redundancy and Continuation of Service

With the legacy system, should there be an issue with a host (e.g., failure to restart, daughterboard, bad cable) manual intervention is the only avenue available to the Department. In a modern system, all data and the most recent version of the application are backed up to a remote site and there are duplicate sets of hardware available onsite and offsite. In the event of a machine level failure, a server in the same datacenter immediately "kicks in" and the users are unaware of any changes. In the event of a failure at the datacenter level, even though it would take a short period of time for the systems at the remote site to recognize the primary system is down and the Domain Named Service (DNS) to be resolved, *Sunbiz* would be back up and available to the users in less than 15 minutes. With the current system, however, all recover procedures are manual and that negatively impacts the Division's overall return-to-operation time.

Scalability

Data servers in modern system are expandable. As space is needed, physical volumes may be added to the [redacted]. When, in peak times, the server reaches a percentage of maximum capacity (e.g., 80%), additional servers automatically assume some of the tasks without the users noticing a loss in performance. This is extremely important because the Division's filings and inquiries continue to increase at a high rate and loads are inconsistent.

The integration of a [redacted], in place of the [redacted], has allowed for scalability of the legacy [redacted] database so storage volume can be increased. It is estimated that the recently integrated [redacted] will operate for the entire revitalization. At project close, the [redacted] would no longer be needed.

Workflow and Timeliness

The current system does not have a default way that filings are submitted and processed. Some filings must be completed and submitted by paper via forms made available and downloaded from the *Sunbiz* website as a .pdf file. These forms are either mailed, walked-in, or facsimiled to the Division. Some filings must be submitted and processed online. Other filings may be filed online/electronically or by paper. Then there are additional filings for which the required forms are not currently available via *Sunbiz* at all. They include Pesticide Licensing, Operator of Terminal Facility or Vessel, Stamped or Marked Containers and Baskets, and Linen Supplier Names. Because these forms are very rarely used, they are merely stored as paper in-house forms and accessed when requested.

A goal of the Division is to make all filings and the ability to upload and attach additional and required documentation in a .pdf (or similar) format available online. As it stands, many filings must be mailed, faxed, or hand-delivered to the Division. Once received and opened, the documents and payments are pulled and matched. Then the documents must be examined for statutory filing requirements and applicable fees. Relevant fields from acceptable documents are then keyed into the system by Division staff. This data entry process is time intensive. Data entry, from a paper form, is subject to legibility and transcription errors, which may result in inaccurate data. The filed documents, with all supporting documentation, are then scanned and stored as images. For some filings, the document scanning process takes place before the documents are examined. In those cases, the examiner accesses and utilizes an imaged document in the examination and data entry processes. For others, the documents are scanned after the examiner handles, reviews, and updates the database using the original documents. The time-consuming scanning process requires the Division to have machines and staff dedicated to scanning.

Ideally, the new system will require minimal scanning. All filings will be submitted online, supporting documents will be uploaded as attachments, and virtually all payments will be made electronically by credit card. As a result, the Division's role will shift in a large part from payment processing, data entry, and scanning to only validating

data. In those few instances where a paper filing must be accepted, the required scanning will be completed at the frontend to facilitate electronic examination and processing queues. This action plan also reduces the burden on the filer, by not requiring them to print their completed form, place in in an envelope, mail it, and wait for it to arrive to be processed by the Division.

To accommodate absences and peak work periods and facilitate cross-training and staff backfilling, all processes and work units need to have similar workflows and processing procedures. Today, due to the current system's hardware and software limitations, many of the Division's work units are unable to share staff. Consequently, when units get behind, the unit's team members may be required to work overtime to catch up. Therefore, streamlined workflows and modern up-to-date hardware and processing applications would result in both improved customer satisfaction and cost savings.

Economics

Naturally, both the direct and indirect economic impact of *Sunbiz* being unavailable is the biggest concern. Today, should the system suffer complete hardware failure, it could take at three (3) days to bring the current system back online. Once the virtual host hardware is implemented, the recovery time objective will significantly improve. Activities completed while in an emergency mode are expensive and prone to errors. A new and modernized system, on the other hand, would be back up in a fraction of a 3-day recovery time and would maintain the Division's revenue stream, which is necessary to the State of Florida's economic success and well-being.

A revitalized system will also:

- Reduce the costs associated with annual report, intent to administratively dissolve and administrative dissolution postcard notices, saving time and costs associated with querying, printing, and postage.
- Essentially alleviate the time and costs associated with printing and mailing certificates and other specialized correspondence statutorily generated by DOC.
- Virtually eliminate the time and costs of processing and storing documents (e.g., scanning, boxing, transporting, and storing in a climate-controlled building).
- Reduce licensing, service, hosting, maintenance, and support costs.

Validity

DOC's consumer confidence is based on DOC's ability to consistently provide valid information in a time-efficient and user-friendly manner. More consistent and timely filing and service delivery promotes public accountability and allows our business communities to maintain essential business activities. There are multiple points within the Division's current processes which need to be electronically automated to improve the Division's customer confidence. Some of these are as follows:

- At data entry (when staff are attempting to find, read, transcribe, and type specific information from an image of a filing or a filing itself).
- During the manual workflow or scanning process (when paper documents and their attachments are manually transferred from one work unit to the other).
- In the resubmission process (which requires different pieces and parts of the same filings to be submitted at different times).
- In the check payment process (which requires matching the payment to the applicable document and payment voucher or tracking number).
- In the acceptance process (which requires recording documents into one or more databases [e.g., Azure and legacy] and trusting that the document does not exist in another database with different information); and

- In the editing process (by pulling a filing or an image associated with a filing from the [redacted] and/or [redacted] image database, making the edit to one or both versions, and trusting the changes are properly reflected in the other version[s]).

Queries

Another issue experienced in the current system is the Division's difficulty to respond to in-depth requests for information without help from Information Technology. If a member of the public, another government agency, the executive or legislative branch, or a member of law enforcement requests specific information, it is challenging (if not nearly impossible) for Division staff to provide reliable information in a timely manner. The system does not lend itself to ad hoc reporting well - when a query is run, it must sometimes be run against multiple databases. This poses several problems. First, since the databases store the information differently, a specific script must be written for each.

Writing and running queries against the [redacted] and other [redacted] databases is not currently an issue. There are programmers within BDIS that can write queries against an [redacted] database. Therefore, a request can be fulfilled in a few days, if not a few hours or minutes. However, the corresponding script against the [redacted] database takes significantly longer to write, run, and verify.

Audits

The current system does not have historical audit capabilities. Any time a change is made to a filing (from initial filing until dissolution of the entity) the system should capture and retain both the past and new information. The current system, however, does not retain the history of a change. The audit should retain the old and new information, who made the change (as identified by the credentials of the user), when the change was made, and from what computer (IP address of machine). Current audits primarily capture the time and ID of the staff making the change. This has security, investigation, data validity, disaster recovery, and liability implications.

Modifications

Since 2013, it has been a challenge to incorporate changes into *Sunbiz*, especially those that touch the legacy system (e.g., [redacted], [redacted], [redacted], or [redacted]). This includes items that interact with the Division's fiscal system, as well as recently proposed legislative mandates such as annual and biennial reporting and recent statutory revisions to Chapters 605, 607, 617 and 620, F.S., which mandate the Division to send a filing notice and a copy of the filed document to both an entity's new and previous email or mailing address upon filing.

Filing Notifications

Unfortunately, there have been a few occurrences where a third-party has maliciously (or as a joke) modified an entity's information or status on *Sunbiz*. These filings that have changed the names and/or addresses of their officers, directors and registered agent, the entity's mailing or email address, or the name of the entity itself. There have been cases where the business entity was dissolved or merged out of existence, as well. Therefore, CS/SB 610 was proposed and passed by the 2018 Legislature. This bill, which went into effect on July 1, 2018, revised sections 605.0210, 607.0125, 617.0125, 620.1206, and 620.8105, F.S., and requires the Division to send a notice of a filed record to an entity at the email address currently on file for the entity or its authorized representative; or to send a copy of the document to the entity's mailing address, if no email address is on file. If the record changes the entity's email address, the department must send such notice to the new email address, in addition to the entity's prior email address. If the record changes the mailing address and no email address is on file with the Division (in *Sunbiz*), the Division must send a filing notice and a copy of the filed document to both the entity's new mailing address and the prior mailing address.

Security

Cybersecurity is the utmost importance to web-based and other digital files. Protecting the integrity of data and the personal information of the individual is fundamental. A system of this type requires [redacted] or above and the Division's current system utilizes [redacted] the PCI Council determined is no longer to be used as of June 30, 2016. The system should also have its application servers [redacted]

[redacted].

Currently, because the public is not required to have credentials to submit or modify a filing, individuals are able to submit and file anonymous fraudulent filings that have no audit trail.

In summary, the current system falls short of the minimum requirements for security. A modern system will exceed the standards and the datacenter will be at or surpass the prerequisites of a Tier III datacenter as defined by the Uptime Institute.

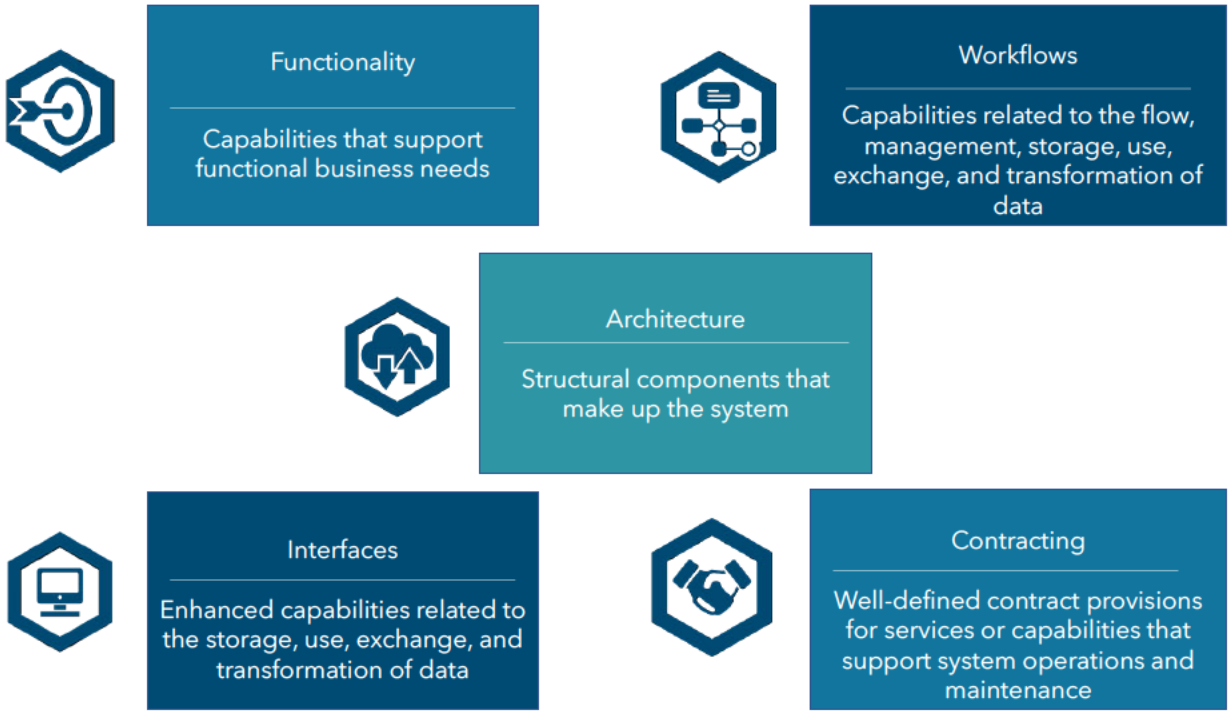
C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

1. Business Process Requirements

Business process requirements for a modernized Sunbiz, including the high-level system functionality needed to meet federal and state guidelines, are provided in this section. Additional details regarding business requirements will be gathered during the define and design phases of the modernization project.

The proposed business process requirements fall into five high-level categories listed below.



Business Process Requirement Categories

FUNCTIONALITY

- Automation: The proposed system must automate authentication, reporting, public record, fiscal tracking, and imaging requirements.
- Quality Control (QC): The proposed system should integrate QC functions to review populated data reports for incorrect or confidential/exempt information prior to release for records requests or other inquiries.
- Reporting: The proposed system must provide role-based and custom dashboarding and reporting capabilities for all Division of Corporation staff and should integrate a tracking and reporting module for the calls received from the public.
- Enhanced Search Capability: The proposed system should include search capability for identifying business entity matches based on all available system data, beyond the entity document number. And integrate search controls according to intuitive design practices.

WORKFLOWS

- Integrate Manual Processes: The proposed system must reduce the need for email, phone, and parallel filing systems, databases, and applications by integrating manual processes into the new system.
- Data Exchange Integration: The proposed system must connect all input data sources and integrate all reporting and tracking outside of the system.
- Reduce Duplicative Work: The proposed system must provide supervisors the ability to alert staff within the system that multiple viewers are examining a record to prevent duplicative efforts.
- Workflow Enhancement: The proposed system should automatically prioritize the work queue every day based on specified data points.

ARCHITECTURE

- Internal Operations and Maintenance (O&M): The proposed system must allow for DOS internal operations and maintenance.
- System Integration: The proposed system should provide reporting/tracking/search capabilities to eliminate the need for external resources and applications.
- Cloud-based Hosting: The proposed system will primarily take advantage of cloud computing services offered by the state data center.
- System Security: The proposed system must ensure the connection and access between DOS, the public, and entities representing the public is securely managed.
- Hardware Health and Software System Design: The proposed system must ensure system automation can provide O&M regardless of the hosting environment (hardware or cloud).
- Modularity: The proposed system must be developed in a modular structure to allow for minor and individual business process changes without impacting overall system architecture.

INTERFACES

- System Training: The proposed system should include a user manual, training guides, troubleshooting guides, and FAQ for Division staff using the new system.
- System Help/Frequently Asked Questions: The proposed system should include help/FAQs for new staff users to understand system functions, access necessary information, and navigate the functions of the new unified Sunbiz system.

CONTRACTING

- Documentation: The proposed system must increase the amount of technical system documentation that speaks to the architecture and functionality of the system.
- Reliability and Maintenance: The proposed system must be consistently available, with DOS IT capability to make updates, both regularly and incidentally as major process changes are required.
- Quality Improvement: The proposed system should, as appropriate, ensure any third-party contracts provide appropriate levels of service to achieve business goals and have mechanisms to improve service delivery when needed.

2. Business Solution Alternatives

Alternatives for a solution to modernize and replace Sunbiz were analyzed based on current business needs. Solution options are primarily based on technology considerations. Besides technical alternatives, business challenges may be addressed by revamping the way of work and policy framework within internal Sunbiz workflows, however, this would not address the system age and process efficiency opportunities may be missed. Primary business solutions examined are implementation and deployment methods for a modernized system, including a phased rollout approach to a new system.

3. Rationale for Selection

A phased implementation approach is the recommended solution for the modernization of a corporate registration system in Florida. A phased implementation to a new system will provide DOS the highest value based on timeline needs and restrictions and changes to existing business processes. The phased system modernization approach will also minimize risks that might be encountered with the replacement of critical system infrastructure. Factors related to this selection are listed below.

- **Risk:** Under a single switchover approach, defects can be deeply embedded before detection and resolution, thereby introducing a greater likelihood of additional re-work. Moreover, with many new processes to learn at one time, the single switchover approach can also present additional challenges in terms of training and change management. These additional challenges can translate into delays or increased implementation costs. As such, the phased approach would more effectively mitigate risks related to time and cost over the course of the modernization project.
- **Change Fatigue:** Change fatigue (i.e., passive resignation or resistance to organizational changes) is a foreseeable factor in any large-scale business or technology transformation effort. Through the organizational change management (OCM) activities established by the project management office (PMO) and the phased development approach, change fatigue will be mitigated by allowing the new technology and processes to be rolled out more slowly rather than all at once where the potential to overwhelm staff could arise. The phased approach will also facilitate greater staff support and adoption of new technology and corresponding modified business processes.
- **Time to Value:** With the phased approach, the time to value is shorter as business value is delivered faster than through a single switchover. The phased approach will help to incrementally meet objectives and realize benefits of enhancements such as workflow automation and the elimination of manual and duplicative processes.
- **Flexibility:** Flexibility indicates the requirement to meet future requirements and adapt to foreseeable and unforeseeable factors that might hinder meeting new requirements. A phased approach offers agility to incorporate required and desired changes throughout the modernization project lifecycle.
- **Fail Safe:** A phased approach will ensure that benefits of project development are realized in any event that work is disrupted or terminated prior to project completion. Modular phasing would allow Sunbiz to realize the value and benefits of the phases completed prior to any potential work disruption or project termination.
- **Complexity:** A phased approach presents additional complexity during development due to a need to simultaneously support current functionality while incrementally rolling out new functionality. Such additional layers of complexity would not be present (or would not be present to the same degree) under a single switchover approach.

Selection Criteria for Recommended Solution

Solution Alternatives and Considerations		
Item	**Single Switchover Benefits**	**Phased Implementation Benefits**
Risk	Greater Risk	Less Risk
Change Fatigue	Greater Likelihood	Some Likelihood
Time to Value	Longer time to value	Shorter time to value
Flexibility	Limited Flexibility	Maximum Flexibility
Fail Safe	All or Nothing	Retain Benefits of Incremental Development
Complexity	Moderate Complexity	Greater Relative Complexity

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of $10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

As drafted, the *Sunbiz* Revitalization Project is a muti-year project. The Planning Stage will be the foundation for the Deployment Stage. The revitalization is intended to be a stem to stern overhaul of *Sunbiz's* technology stack and will not result in widespread changes of how the Division conducts day-to-day business. An emphasis will be placed on the change management process for those areas that must change during the project. The outcome of the *Sunbiz* Revitalization Project will be secure, unified, and modern *Sunbiz*. These are goals of the Planning Stage.

As proposed, the *Sunbiz* Revitalization Project is divided into two (2) stages (Planning and Deployment).

- Planning Stage – Discovering and collating the existing documentation, compiling missing and incomplete documentation, analyzing the current state, conceptualizing the future state at the feature level, and designing the future state occur during this stage. Between the period of the proposal being submitted and funding being approved, the team will be engaged in developing documents required to move forward with securing, unifying, and modernizing *Sunbiz*. Early work will be agnostic. This means the work products will be pertinent for any solution for the revitalization of *Sunbiz*. The IT workgroup will begin preparation for data and image conversion. The Project Management work group will develop the governance and management documents for the proposed solution.

  As planned, this stage will not be limited to planning, but involves levels of deployment as well as setting up the development / test environments in Azure and running migration processes for both data and images.

- Deployment Stage – The Deployment Stage is roughly 60 months in which "modules" are deployed. Deployment involves detailed design, development, testing, and implementation (execution), monitoring, and closure. With an incremental release of functionality – in the form of modules – this stage would include ongoing maintenance and application management. Details of the Deployment Stage will be formulated as a function of the Planning Stage.

  A rough outline of deliverables, for a Deployment Stage based on modules, will follow this build schedule.

  - FY24-25 Authentication and Authorization/Credentialling/Verification

- FY24-25 Fiscal
- FY25-26 Corporations systems (COR, GEN, FIC, GENCOR) Business Objects
- FY26-27 Amendments
- FY26-27 Correspondence
- FY27-28 Imaging
- FY27-28 Corporations systems (COR, GEN, FIC, GENCOR)
- FY28-29 Federal Tax Liens, Judgement Liens, Notary Public, Apostilles, Trade and Service Marks, and Cable Franchise Systems
- FY29-30 Public Records Exemption, Public Records Requests, Miscellaneous Filings

The order of modules and the grouping of functionality within each module is subject to change depending on developmental concerns once the project is underway. Additional modules (search, data conversion and migration, image conversion and migration), business priorities, complexities, needs, ease of integration, public visibility, dependencies, and/or other factors will be addressed during this development phase.

Planning Stage Detail

Planning will utilize documentation from previous modernization efforts to reduce analysis time for collation, discovery, gap analysis, and the current As-Is state. High-level planning tasks fall into five (5) categories, People, Software, Architecture, Project Management, and Benefits Realization Management.

During the Planning Stage, the team will be organized into four (4) workgroups, defined by its area of focus. The four (4) workgroups are Information Technology (IT), Business, Legal/Regulatory, and Project Management. Components are generalized parts of the project. A team member may be part of two (2) or more workgroups.

- Information Technology (IT) – The focus of this workgroup is the technology portion of *Sunbiz* and includes hardware, software, operating systems, data and image management systems, data sources and databases, image files, the network, and the integration of these pieces and parts to input securely and efficiently, process, store, retrieve, and exchange valid data, information, and images.
- Business – This workgroup focuses on functions of the business unit to include what types/categories of information (data and images) need to be captured, the methods used to capture information, what types of information need to be stored, what types of information need to be retrievable, and how and in what general form(s) information needs to be retrieved. Key reference points for the Business Workgroup include the processes the Business Unit of the Division follows, forms used for collecting information, reports, correspondence and other outputs, search results, policies and procedures, and governing statutes. The Business Workgroup will be instrumental in the Change Management Process.
- Regulatory – The regulatory workgroup will research, compile, and document the international conventions, state and federal laws, Florida Administrative Codes, and state and department policies, related to the functions of the Division and to which *Sunbiz* must adhere and verify that they are addressed in the implementation of the revitalized *Sunbiz*.
- Project Management – Project Management will be coordinate and monitor all workgroups and the project in its entirety, as well be responsible for acquisition of staff and equipment, the request for funding, and drafting the planning, governance, and project management documents for the project. The project management group will work with agency procurement specialists to competitively solicit vendor services to implement project deliverables.

This section provides more detail for each of the steps, within the Planning Stage. Included in the detail are: 1.) a summary of the activity; 2.) the tasks to be completed during each step; 3.) the work products; and 4.) the staffing needs, to include A.) salaried Department staff, B.) contracted vendor services, and C.) pro bono.

In terms of staffing, throughout the project, Division staff will be recorded as 1.0 FTE in the project resource matrix. In addition to providing institutional and subject area knowledge for the planning of the new *Sunbiz*, Division staff will be completing their assigned duties.

Throughout the project, BDIS staff will be recorded as 1.0 FTE in the project resource matrix. In addition to providing guidance and area specific knowledge for the planning of the new *Sunbiz*, BDIS staff will be completing their assigned duties. One major difference between this project effort and former projects is that much of the early discovery has already been completed. Business unit members will largely be asked to test work product and will not be required to explain context around business concepts and workflows.

Discovery

Information Technology (IT)

During this project, the IT workgroup will research, compile, and document the current state of the hardware, networks, operating systems, applications, data management systems, data sources and databases, image files, input and output devices, and the integration of these IT components of *Sunbiz*. The group will determine the requirements of *Sunbiz*, in terms of user access, best practice, regulations, and administrative code. It will also define the current size of data and images sources, expected rate of growth, and projected annual size for each of the next ten years. The IT workgroup will also research implementation and architecture options.

Note, this is not an attempt to exhaustively document the current system, but to provide a level of detail to understand what a revitalized system will require in terms of the information the Division collects, stores, and reports; the volume of data and images currently stored and transmitted in a given period of time and the rate of growth; the status of the data and images stored within *Sunbiz* in order to determine the effort to convert the data and images and the effort to migrate the data and images from multiple formats to a single format; the amount and type of traffic flowing through the system; and what, if any, components can be reused in a revitalized *Sunbiz*.

- Tasks (summary sample)
  - Identify and catalog system elements
  - Identify image and data sources/bases, their type and size, and the rate of expansion
  - Compile user counts (peak concurrent and overall based on function [type of interaction] and peak periods)
  - Summarize the hardware and software characteristics
  - Identify the internal and external interfaces with the technology
  - Identify the following
    - Total number of users and user types (e.g., power, casual, data entry)
    - Number and percent of transactions (online, batch, and concurrent) handled by the current system (if possible, indicate the amount of data that is moved or processed in each transaction type)
    - Requirements for public access, security, privacy, and confidentiality
    - Hardware characteristics (e.g., hosts, servers, network devices, storage, archival equipment, etc.)
    - Software characteristics (GUI, procedural language, object-oriented language, operating system, embedded program, batch program, real-time transaction, etc.)
    - Consistency with the agency's software standards and hardware platforms
    - Scalability to meet long-term system and network requirements
    - Hosting environments
    - Hardware and software requirements (e.g., CPU, memory, I/O)
    - Cost/availability of maintenance or service for existing system hardware or software

        - Staffing requirements, identifying key roles (e.g., system management, data entry, operations, maintenance, and user liaison); including contractors, consultants, and state staff
        - Summary of the cost to operate
        - The ability of the system to meet current and projected workload requirements
        - Level of user and technical staff satisfaction with the system
        - Current or anticipated failures of the current system to meet the objectives and functional requirements of an acceptable response to the problem or opportunity
        - Experienced or anticipated capacity or reliability problems associated with the technical infrastructure or system
        - Descriptions, expiration, and cost of:
            - Maintenance agreements
            - Warranties
            - Licenses
        - Performance issues or limitations
        - Business purpose
        - Annual maintenance costs
    - Research best practices for
        - Converting complex, large-scale data
        - Migrating complex, large-scale data
        - Unifying complex, large-scale data and sources of truth
        - Converting images
        - Complex, secure, enterprise IT projects requiring public access for input and retrieval

- <u>Work Products</u>
    - Completed and verified “Current State for IT Budget Requests” questionnaire
    - Data and image Dictionaries
    - Summary “Best Practice” document

- <u>Resources</u>
    - DOS Staff (FTE)
        - Systems Programming Administrator
        - Systems Programming Consultant (Project Lead)
        - Director Division of Corporations
        - Director Information Technology and Security Services
        - Chief Information Officer
        - Chief Information Security Officer
        - Data Processing Manager
        - Network Systems Administrator
        - Data Base Consultant
        - Project Management Officer
    - Outside Resource
        - Microsoft Cloud Solution Architect
    - Vendor-Led Programming Team (estimated)
        - Database Analyst x 2
        - Systems Architect
        - Developer x 2
        - Business Analyst x 3
        - Quality Assurance Testing Services

Business Unit

The Business workgroup will identify the functional and service areas within the Florida Division of Corporations and the high-level solution requirements for the Division and its business units. The workgroup will compile existing artifacts related to the functional areas, service areas, process requirements, and process flows. Identify the incomplete (all or in part) documentation. The workgroup will document the incomplete process flows. It is estimated that there are at least 792 transactions to analyze for possible inclusion in the revitalization of *Sunbiz*. The majority of these have some level of documentation. A focus of the workgroup will be the change management process.

- Tasks
  - Document the Division's organizational structure
  - Define the duties and responsibilities of each work unit within the Division
  - Identify the filings completed by each business unit
  - Identify the data elements and images captured by each business unit
  - Identify Division best and worst practices
  - Identify the stakeholder groups
  - Survey representative stakeholders and determine their needs and wants for a revitalized *Sunbiz*
  - Identify the stored data and images retrieved by the business unit and other stakeholders (public, government agencies, law enforcement, financial institutions, legal entities)
  - Compile artifacts created during prior attempts to include financial and correspondence
  - Conduct Gap Analysis between the filing flows and data/image retrievals performed and those documented
  - Complete documentation of the process flows across all service and functional areas
- Work Products
  - Process flows for all data and image inputs and retrievals
- Resources
  - DOS Staff (FTE)
    - Systems Programming Consultant (Project Lead)
    - Director Division of Corporations
    - Division Bureau Chiefs (x2)
    - Senior Section Administrators (x7)
    - Unit Supervisors (x3)
    - Project Management Officer
  - Vendor-Led Programming Team (estimated)
    - Lead Business Analyst
    - Business Analyst x 2
    - Quality Assurance Testing Services

Regulatory

The Regulatory workgroup will locate, review, and document United States Federal and Florida State statues, state and Department polices, and administrative codes related to the Division's nine (9) service areas (corporate registrations, trade and service marks, fictitious name registrations, judgement and federal tax liens, Uniform Commercial Code [UCC] financing statements, cable and video franchises, surety bond maintenance, notary public commissions, and apostilles) and functional areas such as financial reporting, public records requests, record retention, public records exemptions, subpoenas, security of confidential information, and public access [rights to access and accommodations for those with disabilities], as well as information technology projects for secure data collection, storage, and retrieval. Due to apostilles, international laws and the Hague Convention will be included in the task.

- Tasks

- Identify functions of the Division
- Review currently known Florida statutes applied to the Division and verify pertinency
- Search for laws and codes pertinent to the activities of the Division
- Review and document international conventions, federal and state laws, Florida Administrative Codes, and State and Department policies pertinent to the activities of the Division

- Work Products
  - Summary document of the regulations pertinent to the activities of the Division
- Resources
  - DOS Staff (FTE)
    - Director Division of Corporations
    - Division Bureau Chiefs (x2)
    - Department Senior Attorney
    - Project Management Officer
    - Systems Programming Consultant (Project Lead)
  - Vendor-Led Programming Team (estimated)
    - Business Analyst

Analyze

Information Technology (IT)

The IT workgroup will use documents from the Discovery Step to identify the requirements of the solution and differentiate between needs and wants at a level to accurately conceptualize a solution as it pertains to IT. The workgroup will prioritize implementation and architecture options. A focus of the groups will be the mapping and shaping the high-level tasks for the data migration work.

- Tasks
  - Identify any parts of the existing implementation that could be augmented or re-used and what it would take to do so (e.g., [redacted] structure)
  - Identify and analyze considerations for new development
  - Identify viable options for the unification and modernization of *Sunbiz*, translation, virtualization, custom programming, or hybrid; in-house with staff augmentation; hosting considerations [e.g., [redacted]]; hardware, database management systems, operating systems, coding languages and structure; input devices; storage arrays; and output options)
  - Identify Technology, Management Systems, Operating Systems, Programming Languages
- Work Products
  - High Level Technical Requirements
  - Solution Implementation Alternative Report
- Resources
  - DOS Staff (FTE)
    - Director Division of Corporations
    - Systems Programming Administrator
    - Systems Programming Consultant (Project Lead)
    - Data Processing Manager
    - Network Systems Administrator
    - Director Information Technology and Security Services
    - Chief Information Officer
    - Chief Information Security Officer

        - Data Base Consultant
        - Information Security Manager
        - Applications Manager
        - Project Management Officer
    - Outside Resource
        - Microsoft Cloud Solution Architect
    - Vendor-Led Programming Team (estimated)
        - Database Analyst
        - Systems Architect
        - Developer x 2
        - Business Analyst

Business and Regulatory

The Business and Regulatory workgroups will use documents from the Discovery Step to identify the requirements of the solution and differentiate between needs and wants at a level to accurately conceptualize a solution as it pertains to the business.

- Tasks
    - Extract the knowledge from the documentation to develop an "understanding of need"
    - Clarify, correct, or add information as needed
    - Organize the existing documented business, functional, and technical requirements into work areas
    - Create and validate a summary of need that communicates:
        - the objectives the solution needs to meet
        - an outline (shape) of the solution needed including data models, process flows or other relevant artifacts
        - all distinct areas of work/effort (e.g., creating filing flows, credit card integration, or data migration) and what each area entails (including task lists as appropriate)
        - relationships and dependencies between work areas
        - relationships and dependencies between work areas and functional/service areas of the division
        - an estimate of the size/amount/complexity of work in each area (for example, the number of filings flows)
        - known gaps, challenges, or assumptions in each area
        - post-transition considerations for each area (e.g., will anything be "left behind" after the solution is in place? If yes, will the solution need to interact with it?)
    - Create and validate a high-level requirements document that communicates the business, functional and technical requirements the solution must meet to reach the stated objectives
- Work Products
    - Needs & Wants Analysis
    - Solution Outline
    - High Functional Technical Requirements
    - Benefits and Success Criteria
- Resources
    - DOS Staff (FTE)
        - Systems Programming Consultant (Project Lead)
        - Director Division of Corporations
        - Division Bureau Chiefs (x2)
        - Senior Section Administrators (x7)
        - Unit Supervisors (x3)

        - Project Management Officer
    - Vendor-Led Programming Team (estimated)
        - Lead Business Analyst
        - Business Analyst x 2
        - Developer x 2

Conceptualize

Information Technology/Business

Using the material from the Analyze Step, the combined workgroup will identify the options available for the unification and modernization of *Sunbiz*. The workgroup will determine the most viable option that meets the requirements, needs, and objectives for a revitalized *Sunbiz.* The solutioning is to 1.) consider a.) security, b.) data reliability, c.) dependability, d.) efficiency, e.) scalability and concurrency, f.) sustainability, g.) integration, h.) redundancy, i.) integration, j.) economics, and k.) unification; 2.) address a.) the system type, b.) hosting provider(s), c.) environments (dev, test, stage, prod), d.) backup systems that best supports the proposed system, e.) security, f.) database structure(s), g.) image file structure, h.) authentication and authorization, and i.) coding structure, and 3.) account for a.) development time, b.) cost to implement, c.) cost to operate and maintain.

- Tasks
    - Determine which solution best fits the needs
    - Develop an outline of the solution that defines the business process, technical, and functional framework that will need to be developed
    - Create a report that communicates
        - The most viable options for moving forward.
        - An estimate of time/resources needed for implementation
        - The estimated cost of each option
        - The pros and cons of each option
        - Assumptions or challenges associated with each option
- Work Products
    - Business Case for selected solution
    - Alternative Solutions Document
- Resources
    - DOS Staff (FTE)
        - Director Information Technology and Security Services
        - Chief Information Officer
        - Chief Information Security Officer
        - Director Division of Corporations
        - Division Bureau Chiefs (x2)
        - Systems Programming Administrator
        - Systems Programming Consultant (Project Lead)
        - Data Processing Manager
        - Network Systems Administrator
        - Data Base Consultant
        - Information Security Manager
        - Applications Manager
        - Project Management Officer
    - Outside Resource
        - Microsoft Cloud Solution Architect

- Vendor-Led Programming Team (estimated)
  - Database Analyst
  - Systems Architect
  - Developer x 2
  - Lead Business Analyst
  - Business Analyst x 2

Design

Information Technology /Business

Together, the workgroups will detail the proposed solution to the extent needed to determine quotes for resources, duration, time, and cost to deploy, host, and maintain the proposed solution. Work products will include system requirements, network diagrams, data dictionaries, high order migration plans, integration plans for input, storage, retrieval, and reporting processes, as well as the information need to generate quotes for resources, effort, duration, time, and cost.

- Tasks
  - Design the proposed network at the proposed host site taking into consideration the requirements, objectives, need, wants, and best practices
  - Design the proposed database structure(s) at the proposed host site taking into consideration the requirements, objectives, need, wants, and best practices
  - Design the proposed image file structure(s) at the proposed host site taking into consideration the requirements, objectives, need, wants, and best practices
  - Design the conversion, purging, and migration process for all data and images from current state to future state
  - Define the number of filing, storage, retrieval, and reporting processes required
  - Provide information needed to generate quotes for design, development, testing, and implementation of the filing, storage, retrieval, and reporting processes
  - Provide information needed to generate quotes for resource, duration, time, and cost for all activities
  - Provide information needed to generate quotes for staffing; host sites; hardware; hosting, maintenance & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress all with consideration for expandability, scalability, redundancy, and disaster recovery for development
  - Provide information needed to generate quotes for staffing; host sites; hardware; hosting, maintenance & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress all with consideration for expandability, scalability, redundancy, and disaster recovery for first year implementation
  - Provide information needed to generate quotes for staffing; host sites; hardware; hosting, maintenance, & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress all with consideration for expandability, scalability, redundancy, and disaster recovery for annual cost for five (5) years after deployment
  - Include responses to the following specific questions:
    - System type (e.g., OLTP, data warehouse, document management system, web application, database)
    - Connectivity requirements (e.g., wired vs. wireless)
    - Requirements for security, privacy, confidentiality, and public access to comply with applicable federal/state laws, including sections 282.601-282.606, F.S.
    - Development and procurement approach
    - Internal and external interfaces
    - Maturity and life expectancy of the technology
    - Other system(s) proposed solution must integrate with
    - Anticipated technical platform and hardware requirements

        - Required data center services to be provided by the state data center or other service provider
        - Anticipated software requirements
        - Anticipated staffing requirements
        - Anticipated ongoing operating costs

- Work Products
    - Data source and target inventory
    - System host, database, migration, and development plan
    - Elements for *Sunbiz* Revitalization Project Resource, Duration, Time, and Cost plans
    - Project scope
    - Project phasing plan
    - Baseline schedule
    - Project organization
    - Quality assurance plan
    - Implementation plan

- Resources
    - DOS Staff (FTE)
        - Director Information Technology and Security Services
        - Chief Information Officer
        - Chief Information Security Officer
        - Director Division of Corporations
        - Division Bureau Chiefs (x2)
        - Systems Programming Administrator
        - Systems Programming Consultant (Project Lead)
        - Data Processing Manager
        - Network Systems Administrator
        - Data Base Consultant
        - Information Security Manager
        - Applications Manager
        - Project Management Officer
    - Outside Resource
        - Microsoft Cloud Solution Architect
    - Vendor-Led Programming Team (estimated)
        - Database Analyst
        - Systems Architect
        - Developer x 2
        - Lead Business Analyst
        - Business Analyst x 2

Drafting

Project Management

Using the documents created by the design team, draft, for submission and approval, a proposal for a viable solution for addressing use cases at the feature level.

- Tasks
    - Compile documentation for the proposed solution
    - Provide quotes for resource, duration, time, and cost for all activities

- Generate quotes for staffing; host sites; hardware; hosting, maintenance & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress for development
- Generate quotes for staffing; host sites; hardware; hosting, maintenance & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress for first year implementation
- Generate quotes for staffing; host sites; hardware; hosting, maintenance, & operations; licenses; service agreements; input and output devices; services; bandwidth for ingress and egress for five (5) years after deployment
- Develop project governance documents for the Implementation Project

- Work Products
  - *Sunbiz* Revitalization Project Resource, Duration, Time, and Cost plans
  - Implementation Project governance documents

- Resources
  - DOS Staff (FTE)
    - Director Information Technology and Security Services
    - Chief Information Officer
    - Chief Information Security Officer
    - Director Division of Corporations
    - Systems Programming Consultant (Project Lead)
    - Project Management Officer
  - Vendor-Led Programming Team (estimated)
    - Project Manager
    - Lead Business Analyst

Organize

The team will document (expand, add detail, refine) the requirements for the proposed solution by drafting the technical and functional specifications and document the agnostic business rules and migration plans that can be used for any solution.

- Tasks
  - Identify areas that require a deeper understanding (e.g., reports, correspondence, queries, searches)
  - Organize requirements to determine those that have the highest usage/impact and begin with those
  - Refine/Define data models, process flows and other details
  - Identify and design/document system outputs including reports, correspondence, help text, error messages
  - Identify and document the data components and user interface elements needed (global and specific) and the associated rules (e.g., email, address, FEIN, effective date)
  - Document field level requirements for each filing flow, service request or other submission
  - Document field level requirements for each report, query, and search function
  - Develop data dictionaries
  - Identify and define common terms
  - Develop proposed data structure
  - Map data to be migrated to proposed data structure
  - Develop technical proof of concepts
  - Maintain the Solution Outline/Summary of Need as identified gaps or questions are resolved and complexity of work areas changes
  - Identify those areas requiring deeper understanding

- Identify areas that are most integral to the solution process
- Prioritize areas for detailed BRD that are priority and need deeper understanding
- Draft business requirements documents (BRDs)

- Work Products
  - Functional Requirements Documentation
  - Technical Requirement Documentation
  - Business Rule Documentation
  - Data Dictionaries and Crosswalks
  - Conversion and Migration Plans
  - Component Library

- Resources
  - DOS Staff (FTE)
    - Director Information Technology and Security Services
    - Chief Information Officer
    - Chief Information Security Officer
    - Director Division of Corporations
    - Systems Programming Consultant (Project Lead)
    - Project Management Officer
  - Vendor-Led Programming Team (estimated)
    - Project Manager
    - Lead Business Analyst

Formalize

At this point, the team will document the technical and functional specifications for the solution and document the business rules and migration plans specific to the approved solution. Develop solution designs, proof of concepts for complex work areas, select code/UI libraries, and architectural code base. It is expected that the work will continue into the implementation project. Finalize Project Charter, Governance documents, project plans. Initiate solicitation of resources.

- Tasks
  - Finalize functional and technical requirements
  - Architect the code base
  - Design the data solution
  - Design and develop proof of concepts for complex work areas
  - Develop a component library and code-reuse methods
  - Develop the process for promotion of code, assigning tasks, and other methodology decisions
  - Review the requirements for connecting to any required interfaces (e.g., credit card gateway, electronic deposit) and plan/design/collect any related functional or technical details (for example, which method will we use to connect to the electronic deposit tool)
  - Continue documenting BRDs for all processes
  - Finalize Project Charter
  - Conduct Risk & Complexity Analysis
  - Draft Project Plans (examples)
    - Work Breakdown Structure (WBS)
    - Communication Management Plan
    - Risk Management Plan
    - Responsible, Accountable, Consulted, Informed (RACI) Matrix
    - Human Resource
    - Decision escalation Plan

        - Issue management Plan
        - Change Management Plans (change control, emergency change requests)
    - Draft Project Logs
        - Communications
        - Decisions and Action Items Tracking
        - Risk and Issue Tracking
    - Prepare solicitation documents for
        - Staff Augmentation
        - Vendors
            - Hardware
            - Software
            - Licensing
            - Operating Systems
            - Service Agreements
    - Release solicitations (pending funding)
    - Interviews
    - Draft Contacts (pending funding)

- Work Products
    - Design Specifications or Proof of Concepts for System Elements
    - Project Coding Standards and Guidelines
    - BRDs
    - Final Conversion and Migration Plans
    - Implementation Project Charter, Governance Documents, Management Plans, and Management Logs
    - Development and Testing Sites in Azure
    - Solicitation Documents

- Resources
    - DOS Staff (FTE)
        - Director Information Technology and Security Services
        - Chief Information Officer
        - Chief Information Security Officer
        - Director Division of Corporations
        - Systems Programming Consultant (Project Lead)
        - Project Management Officer
    - Vendor-Led Programming Team (estimated)
        - Project Manager
        - Lead Business Analyst

Staffing

This section identifies the estimated minimum staff requirements for the successful completion of the Planning Stage. Included are resource type, the number of each resource type needed, general Knowledge, Skills, and Abilities (KSAs), special skills, and duration.

- Project Manager
    - Certified as a Project Management Professional® (PMP®) through the Project Management Institute (PMI)
    - IT work experience including managing complex projects.
    - Project Management to include experience working with verification and validation activities
    - Project Management to include experience serving as risk manager

  - Project Management to include experience working under Chapter 60GG-1, Florida Administrative Code (F.A.C.) - Department of Management Services (DMS) Oversight for Technology Projects
  - Experience in both traditional/waterfall and agile project management approaches
  - Familiar with version 7 of the Project Management Institute's (PMI) Project Management Body of Knowledge® (PMBOK®)
  - Project Management will coordinate work efforts within and between each workgroup across steps, stages, and projects, while monitoring scope, cost, and time. Project Management will verify the proposed solution adheres all Chapters of Florida's Administrative Codes (60GG series) and all applicable laws, and best practices are implemented.

- Business Analyst (x3)
  - Demonstrated expertise in analyzing data, processes, research, gathering quotes, and editing
  - Skills to find and extract details from existing documentation
  - Organizational and writing skills
  - Skills to apply information to processes
  - Knowledge of corporations and/or the ability to absorb and process a great deal of written information in a short period of time.
  - Skills to identify and clearly document requirements in plain language
  - Ability to separate business requirements from functional and technical requirements
  - Understanding of information technology concepts, hardware, and software

  Special Skills
  - Experience in change management (x1)
  - Experience evaluating and implementing user experience (reviewing, documenting, analyzing, modifying) (x1)

- Database Analyst
  - Experience serving as a database analyst with focus on [redacted] database skills
  - Experience in administering databases with preference to those with experience with [redacted], [redacted], [redacted], and/or [redacted]
  - Experience with [redacted]
  - Experience reviewing legacy database documentation
  - Skills to find and extract details from existing documentation
  - Experience documenting legacy databases
  - Experience tracing data from input to storage to retrieval and its conversion
  - Organizational and writing skills
  - Experience mapping and migrating data from disparate data sources

- Systems Architect
  - Experience designing and/or architecting enterprise software/web applications
  - Experience with [redacted]
  - Experience as lead architect, engineer, or developer on at least 1 separate successful development project
  - Experience with and ability to advise on a variety of platforms, patterns, methodologies, frameworks and other development and architecture considerations including best practices, industry standards, and real world uses
  - Medium level knowledge of information technology, hardware, software & infrastructure
  - skills to find and extract details from existing documentation
  - organizational and writing skills

- Developer (x2)
  - Development experience
  - Experience analyzing legacy applications and developing replacement applications

- Experience with [redacted]
- Experience with [redacted], in combination with [redacted]
- Working knowledge of modern programming languages (e.g., [redacted], [redacted]) and a modern framework such as [redacted]

Deployment Stage

The Deployment Stage includes a series of activities, that, will more than likely use an iterative approach, to deliver functionality, in the form of modules. The final look of *Sunbiz* and the process to get there will be determined through the activities of the Planning Stage. The deliverables, sequencing (precursors and dependencies), resources, duration, time, and costs will be determined through predictive planning. Tentatively, the high-level activities and deliverables are listed. This schedule assumes:

1.) The project is completed utilizing DOS FTE, quality assurance vendors, and vendor-led programming services
2.) A modular approach to deployment
3.) Modules are based on the service areas
4.) The primary goal of the revitalization is to move from the [redacted] system
5.) Fiscal, correspondence, and imaging are not just ported off [redacted] but rewritten

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

High-level requirements for the proposed system include:

#	Initiative	Description
	Functional	
F1	Web-based Interface	The system shall support the latest two versions of Edge, Chrome, Firefox, and Safari.
F2	Web-based Interface	The system shall allow staff to co-browse in tandem with members of the public.
F3	System of Record	The system shall be the single uniform, official, centralized, interactive statewide business registration system for storing and managing the official list of active and inactive business entities.
F4	Data	The system shall contain the name and registration information of every registered business entity, trademark, lien, and registered agent.
F5	Availability	The system shall be available to the public at any time unless the system is undergoing required maintenance.
F6	Notices	The system shall generate all required notices electronically, through email and/or within the system itself (in-app notices) to alert system users of action items needed within the system.
F7	Automation	The system shall enable automation to reduce time spent on manual and paper-based processes.
F8	Reporting	The system shall provide reporting that satisfy DOS needs.
F9	Reporting	This system shall provide configurable dashboards for management, including

#	Initiative	Description
		enhanced search/sort filter functionality.
F10	Help	The system must provide a module for Help/FAQ.
F11	Public Websites	The system shall provide enhanced ability for public users to access public-facing websites. The system shall provide a user-friendly search experience. Any sensitive or confidential information shall be redacted automatically by the system.
F12	Document Upload	The system shall allow external authenticated users to submit attachments online.
F13	Confidentiality	The system shall enable identification of data that is subject to a public records request. The protection of confidentiality shall be maintained, and redaction of sensitive information done automatically.
F14	User Management	The system shall provide role-based authorization so that users can be assigned to roles which then gives access according to the assigned role. User account and permission levels must be retained in audit logs.
F15	Business Rules	The system shall maintain configurable business rules and data validation associated with workflows.
F16	Logging	The system shall be able to capture performance metrics, including timelines of actions and data updates.
F17	Configurable Correspondence / Notifications	The system shall provide DOS staff with the ability to correspond with local officials and staff. This correspondence should be persisted to the database for historical records.
F18	Reporting Functions	The system shall provide a central repository to create, modify, and view reports. Reporting functionality shall include scheduled and automated reports, canned reports, customizable reports, and configurable dashboards.
System Architecture		
SA1	System Integration	The system shall utilize a universal database structure and work with a range of relational databases.
SA2	Web-based Interface	The system should operate in the supported web browsers without requiring any browser plugins or any client software installation outside of the web browser.
SA3	Web-based Interface	The system shall provide intuitive, menu-based navigation capability such that all functions are readily available.
SA4	Cloud Hosting	The system shall be hosted using cloud hosting provided by the state data center.
SA5	Enhanced System Security	System architecture shall support the current latest version of operating systems and web server versions to ensure all recent security patches are available.

#	Initiative	Description
SA6	Operating System Agnostic	The system shall allow for implementation as a set of containerized Kubernetes applications.
SA7	Sustainable / Manageable	The system shall provide a pattern-based solution architecture with clear separations of concern.
SA8	Modular Improvement Support	The solution shall support the ability to add new feature sets without significant downtime.
SA9	Disaster Recovery Mitigation	The system shall provide a function for reporting both hardware health and software system performance reports. The system shall provide a system monitoring function sophisticated enough to detect infrastructure-level outages or changes.
SA10	Browser Compatibility	The system shall support the latest two versions of Edge, Chrome, Firefox, and Safari.
SA11	Configurable Objects	The system shall provide the ability to configure components of the application in-house, without requiring a third-party vendor.
SA12	[redacted]	The system shall support [redacted].
SA13	[redacted] Authentication	The system shall support integration with [redacted] and [redacted] to ensure only authenticated users have access.
SA14	[redacted] Services	The system should support the use of cloud services that maintain high availability, security, analytics, storage, and data integration.
SA16	Integrated Document Management	The system should provide for robust document management, including uploading and removing attachments (in various media types) to various types of cases including applications and investigations, as well as the ability to easily index, search, access, and view those attachments. The system shall maintain the capability to handle high volume, high retrieval, full context search, and multiple multimedia types. The system shall allow record retention standards (coded by date case closed).
SA17	Flat File Import	The system shall be able to receive flat files via [redacted] to accommodate current inbound external systems.
SA18	[redacted] Data Calls	The system shall support a [redacted] framework to integrate with external systems for real-time data transfer.
SA19	[redacted]	The system shall provide [redacted] that are [redacted]. • [redacted] Architecture • [redacted]

#	Initiative	Description
SA20	RSS Feeds	The system should support the use of RSS Feeds for integration.
SA21	Relational Database	The system shall integrate with a relational database to store, extract, transform, and load data.
SA22	Real-Time Reporting Database	The system shall provide direct and real-time access to operational data with minimal to no lag or delay.
SA23	Batch Processing	The system shall support batch processing functionality.
SA24	System Uptime	The system shall remain available 99.99% of the time, excluding planned and mutually agreed upon maintenance.
SA25	Redundancy	The system shall provide redundancy such that the failure of a single system component will not result in overall lack of availability of the system (high availability, automatic failover).
SA26	Web-based Interface	The system shall allow usage with only a web browser installation requirement on the client.
SA27	Mobile Compatibility	The system's public portal shall be responsive such that it can be used on mobile devices and tablets without the need for horizontal scrolling.
SA28	Environments	The system shall support the use of multiple "mirror" environments, including development, testing, and production environments.
SA29	Hardware Scaling	The system shall provide automatic scaling of hardware resources to ensure capacity is increased and decreased to match load.
SA30	[redacted]	The system should provide all capabilities that are available through the external agency portal and through [redacted].
SA31	Data Exchange Integration	The system shall decouple the user interface and data integration points from the back-end services utilizing [redacted].
SA32	System Data Control	The system shall allow staff to fully control access to their respective data both during and after usage of the implemented solution.
SA33	Data Replication	The system shall provide real-time data replication to avoid any data loss in the event of a system failure.
SA34	Capacity Monitoring	The system shall provide the capability for monitoring via server volume/capacity and network volume/capacity monitoring.
SA35	UI-based O&M	The system shall allow completion of all routine operation and administration activities through the user interface as opposed to requiring direct database interaction or scripted activities.

#	Initiative	Description
SA36	Release Scheduling	The system shall accommodate controlled release scheduling.
Workflow		
W1	Modern Platform	The system shall be built upon a modern, flexible, and configurable platform with a UI.
W2	Simplified and Streamlined Process Flows	The system shall provide streamlined process flows, including automated flows in situations where human intervention is not required.
W3	Workflow Enhancements (in app guidance)	The system shall have the ability to provide instructions and guidance to staff, the public, and external agency partners, in line with fields for submission.
W4	Establish Clear Change Control Approvals	The system shall allow for the creation of clear change control processes and protocols.
W5	Reduce Duplicative Work	The system shall aid in the ability to reduce the duplicative work of staff.
W6	Eliminate Parallel File Systems	The system shall attempt to eliminate the need for email, phone, and parallel file systems.
W7	Issue Tracking	The system shall provide a support intake capability so that any system issues can be logged and tracked until resolved.
W8	User Support Module	The system shall provide functionality that allows DOS staff to support users' interaction with the system.
W9	User Support Screen Viewing	The system should support DOS staff's ability to view screens as non-DOS staff to better provide support.

III. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

Ultimately, success will not be fully realized until revitalized features are deployed and in operation, at the conclusion of the *Corporate Registry Revitalization Project*. Then, the success for meeting the primary goals – disaster prevention, security, unification, and modernization – will be realized immediately, with the commissioning of up-to-date system.

Table 1: Success Criteria

SUCCESS CRITERIA				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	Include a user manual, training guides, troubleshooting guides, and FAQ for staff using the new system	• Reduce amount of time supervisors /reviewers spend with examiners to reinforce training and troubleshoot system issues • Increase the number of available on-demand scenario problem solving videos available to staff to solve issues	DOS Staff	Post-Implementation
2	Include help/FAQs for internal users to understand system functions, access necessary information, and navigate the functions of the new Sunbiz system	• Reduce the number of inquiries staff have to answer questions/train counties for system user	DOS Staff	Post-Implementation
3	Eliminate the need for email, phone, and parallel filing systems by integrating manual processes into the new system	• Reduce manual work processes outside of internal workflows • Reduce the number of applications and connections outside of public workflows	Public DOS Staff	Post-Implementation
4	Connect all input data sources and integrate all reporting and tracking outside of the system	• System reporting via a dashboard for DOS IT review on technical functionality	DOS Staff Other Agency Staff	Post-Development
5	Provide supervisors the ability to alert DOS staff that multiple examiners are scrutinizing a work request in the DOS system to	• Reduce the number of times DOS staff are working the same issue	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
	prevent duplicative effort			

6	<u>Automate Business Processes</u>
	• Integrate all inflow sources of demographic information and entity details
	• Visualize entity profile details side-by-side for ease of viewing (match fields line by line between a record's previous state and to-be state
	• Automate alerts to staff when actions are needed for certain processes at specified intervals
	
	<u>Reduce External Calls/Emails</u>
	• Integrate a system request function to automatically audit work order queue placement
	• Provide reviewers the mechanism to review and comment on work orders within the system, including providing a correction code that is tracked by employee (reporting), upload notes within the system file, and send the work order back to the examiner within the system at the top of the examiner's queue
		• Increase general productivity of daily filing resolved each day (staff productivity)
		  ○ Process new filings faster
		  ○ Reduce the number of staff working incidental processes and shift them to examiner work
		  ○ Reduce overall filing backlog
		• Reduce the number of emails required to request/receive information to meet all filing requirements
		• Reduce emails requesting entity information correction
			DOS Staff
			Other Agency Staff
				Post-Implementation

7	Integrate system QC functions to review populated data reports for incorrect information prior to release for records requests or other inquiries	Reduce the number of incidences of incorrect information released	DOS Staff Public Requestors	Post-Implementation
8	Provide dashboarding and reporting capabilities for supervisors and managers, with varying access to information based on role; include demographic statistics, geographic, employee performance, state of completion for case matches and time complete (performance), as well as a basic individual examiner	• Reduce the number of incidental reporting requests to IT • Decrease the time to produce public records requests and voter information inquiries • Decrease the time to prepare employee performance information for annual evaluations	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
	performance report including types of calls, number, location, etc. (call center stats)	and job performance requests		
9	Include search capability for finding matches based on all available system data, not just current criteria	Reduce reporting requests to IT	DOS Staff	Post-Implementation
10	Ensure the modernization allows for internal operations and maintenance	Reduce the number of hours required to fix bugs and add enhancements	DOS Staff	Post-Implementation
11	System should provide reporting/tracking/search capabilities to eliminate the need for external resources (Access, Excel) and applications	• Reduce external workflow documentation (access, excel) • Reduce staff time to maintain (system) external stats management • Streamlined new filing eligibility processing • Improved registration data accuracy	DOS Staff	Post-Implementation
12	Host the new system environment utilizing state data center cloud resources	• Complies with cloud first initiative • Reduces hardware refresh costs • Improves data backup and recovery functionality	DOS Staff	Post-Implementation
14	Ensure the connection and access between DOS and the public is securely managed	• Improved self-service workflow for the public and service companies • System architecture supports at least a [redacted] server platform	Public DOS Staff	Post-Implementation
15	Ensure system automation can provide O&M regardless of the hosting environment (hardware or cloud)	• Improve backup and recovery policies and procedures • Reduce system downtime • This KPI centers around system monitoring being sophisticated enough to detect infrastructure-level outages or changes and either alerting IT staff or taking a configured action	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
		• [redacted] implementation		
16	Ensure the system development is modular to allow for minor and individual business process changes without impacting overall system architecture	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced System maintenance training will be more efficient	DOS Staff	Post-Implementation
17	Increase the amount of technical system documentation that speaks to the architecture and functionality of the system	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient	DOS Staff	Post-Implementation
18	Ensure the system is consistently available and DOS IT are capable of making updates, both regularly and incidentally as major process changes are required	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient	DOS Staff	Post-Implementation
19	Ensure the contract provides appropriate levels of service to achieve business goals and has mechanisms to improve service delivery when needed	• Financial consequences should be sufficient to inspire quality customer service • Solution must support working a backlog of future features, updates, and enhancements	DOS Staff	Post Contract Execution

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

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

Benefits Realization

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	Enhanced User Interface	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• More streamlined, intuitive interface for users • Access to subscriber accounts with intuitive interface and reporting functionality • User base should manage their own account (self-service)/User profile management • Enhanced search features • Help/FAQ training for system use • Reorganization of information on the website for more intuitive navigation Extra details for comments on filings/activity viewable by internal staff and authorized filers	• Metrics will be set on the number of new features added, the number of clicks to reach information, the ability for customers to interact with system AI and FAQs	From late quarter 3 of FY25-26 to close of project
2	Improved Functionality	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• Add automation • Workflows to include dashboards, and other graphic features • Website work with all major web browsers • Chat feature • Public search functions on	Metrics should track those features completely or partially automated, number of reports and dashboards created, and major web browser testing	From late quarter 3 of FY25-26 to close of project

BENEFITS REALIZATION TABLE					
			• website (currently difficult to use) •		
3	Modern System Architecture	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• System should be able to be maintained by DOS junior staff • System security must be maintained, any procured code library must account for updates • System's architecture should not be proprietary • Scalable storage capacity • System architecture must allow for modular functionality (future) • Cloud-based solution	• Metrics will be established for the number of maintenance hours in comparison to legacy operations and maintenance efforts	After close of project
4	Workflow Management	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• Business unit must be able to complete all current tasks/workstreams • Automate significant portions of the process when internal program staff receive paper documents • Streamlined process for Corporations staff to edit and promote Corporate Filings to the web • Automatically generate activity notices to the public and internal staff • Resolve the current issue with accessing search functionality	• Division of Corporation Staff satisfaction surveys comparing legacy to new feature sets • Reduction in time to process filings • Increased system generated communications to the customer base	From late quarter 3 of FY25-26 to close of project

BENEFITS REALIZATION TABLE					
5	Well-Defined Contracts	DOS Staff	• System's procurement structure must fall within budget	• Measurement of cost performance index	• During project implementation

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

A comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed sources of funding is provided in this section. The DOS will competitively procure vendor services via the state term contract to implement technology development best practices, infrastructure, and provide deliverables.

The Corporate Registry Revitalization Project Cost Estimate was accomplished by providing a breakdown of the hours required for each component of the modernization project based on the estimated complexity for its completion, as well as a cost estimate detail. These figures are based on the current understanding of project objectives and components and are subject to change as the project advances. It is important to note that though the figures below use an average of current staff augmentation hourly rates, it is the intent of the Department to procure vendor services to implement all project deliverables. The Department used the rates as a way to provide an overall budget for required work to be completed.

Year One Costs	$3,814,500
Project Manager	$200,000
Technical Architect	$200,000
Developer x 3	$540,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$1,427,500
Business Analyst x 2	$360,000
Database Analyst x 2	$400,000
Licensing Costs	$440,000
Infrastructure	$47,000

Year Two Costs	$2,965,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 4	$720,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$630,000
Business Analyst x 2	$360,000

Database Analyst x 2	$400,000
Licensing Costs	$210,000
Infrastructure	$45,000

Year Three Costs	$3,320,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 4	$720,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$965,000
Business Analyst x 2	$360,000
Database Analyst x 2	$400,000
Licensing Costs	$210,000
Infrastructure	$65,000

Year Four Costs	$3,100,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 3	$540,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$905,000
Business Analyst x 2	$360,000
Database Analyst x 2	$400,000
Licensing Costs	$210,000
Infrastructure	$85,000

Year Five Costs	$3,030,500
Project Manager	$200,000
Technical Architect	$200,000
Developer x 3	$540,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$815,500
Business Analyst x 2	$360,000
Database Analyst x 2	$400,000
Licensing Costs	$210,000
Infrastructure	$105,000

Year Six Costs	$2,310,000
Project Manager	$200,000
Technical Architect	$200,000
Developer x 2	$360,000
Lead Business Analyst	$200,000
Quality Assurance Testing Services	$640,000
Business Analyst	$180,000
Database Analyst	$200,000
Licensing Costs	$210,000
Infrastructure	$120,000

Project Cost (6 year): $18,540,000

After launch Recurring High-Level Estimate: $210,000 yearly for licensing costs.

The above tables outline cost details over a project timeline of approximately six (6) years, with project completion in FY 2029-2030. Total costs carry a funding need of $18.5 million for the Corporation Registry Revitalization

Project modernization project. The amount was determined based on the estimated hours required for project activities, including the development cycle, PMO, and IV&V.

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	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. 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.
CBA Form 2 – Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 – Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

V. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

> ***NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.***

A required risk assessment of the project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool evaluates risk characteristics of the project based on responses to 89 questions in a Microsoft Excel workbook organized into eight assessment categories (tabs). After completing questions in all eight tabs, the Risk Assessment Summary is automatically populated. The completed Risk Assessment Tool and Risk Assessment Summary for this project will be uploaded into the portal.

The purpose of the Risk Assessment Tool and Risk Assessment Summary is to produce a standardized and formula-driven project risk rating based on answers provided to the questions. Answers must be provided only from the response options to each question included in the tool. If the response options given are not applicable or do not accurately answer a particular question, a response must nevertheless be selected from the options listed. After answering all the questions including in the Risk Assessment Tool, the Risk Assessment is populated automatically.

A fundamental limitation of the Risk Assessment Tool and Risk assessment Summary in its current design is that it presupposes the completion of certain activities that are likely to not be completed (as a practical matter) prior to approval and funding of major technology initiatives. Consequently, the overall risk assessment rating for this project appears in the assessment tool as High, which aligns with expectations for a project of this size and scope regardless of solution or approach. A risk rating of High for the replacement of a complex and mission-critical system is not unreasonable. All categories in which risk is classified as High are manageable and unlikely to undermine expected success or benefits of the program. Categories with high classification risks are expected to see a material reduction in the overall project risk profile within months of projects start when a formal project management program, stakeholder sign-off, and requirements finalization activities are completed. Until the project and funding are approved, it is unlikely that additional time and effort to reduce identified risks would be prudent or pragmatic.

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System

There are several factors driving national trends for the modernization of information systems. These modernizations typically result in benefits such as increased customer self-service, increased staff efficiency, and updated security, among others. The DOS will reap similar benefits through the modernization of Sunbiz. Furthermore, DOS could rid itself of the burdens of working with and maintaining outdated systems. The following bullet points contain important justifications for this modernization:

a. **Growing need to increase usability and efficiency:** Systems that are designed to be streamlined and efficient are paramount to any organization. As the business processes of organizations evolve to satisfy current and future needs, modern systems that are engineered with high usability and efficiency are required to empower these organizations to reach their business goals.
b. **Loss of technical skills and resources**: In today's fast paced digital world, organizations face the challenge of trying to compensate for an ageing and retiring workforce. Resources with skills in older technologies are increasingly difficult to find. Training and support for these technologies are often no longer available or prohibitively expensive to acquire.
c. **Aging hardware and softwar**e: The DOS supports Sunbiz with information systems that were built decades ago and never designed to handle the demands of their current or future business needs. These outdated and inflexible systems have become increasingly difficult to maintain and enhance to support new functionality.
d. **Data quality and customer expectations:** In an era of advanced technologies, Florida citizens, including DOS staff, have come to expect systems that better support an automated self-service business model. Given the technologies currently available, users expect DOS to provide an improved level of service, faster response times, and more accurate information. It is not possible to meet these expectations with the older technologies currently in use.

e. Description of Current System

To understand Sunbiz in its current form, one must understand the history of the State's Business Registry since the mid-1990s. It was in 1996 that Florida went from manual filing with paper documents being submitted and imaged to microfiche to the images being indexed in a mainframe system. The precursor to Sunbiz.org utilized [redacted], a computer programming language designed for [redacted] use. Procedures are written, not in the main code, but in the [redacted] and each procedure must be written individually. If a common procedure is to be modified, each instance of the procedure must be identified, re-written, compiled, tested, and deployed. The environment running the [redacted] portion of the legacy application is a cluster of three (3) [redacted] processors. The system utilizes [redacted] as its OS. The [redacted] architecture utilizes the [redacted] in which the instruction set is not in the program, but in specific control instructions which are limited and subsequently require individual programming for each individual, indivisible operation/transaction. While there are benefits to [redacted] programs like the ability to isolate, rollback, roll forward, and compensate transactions and errors (which results in atomicity, consistency, isolation, and durability), these benefits can lead to deadlocks. Deadlocks result from two transactions attempting to access the same portion of the database at the same time. Despite this

limitation, the codebase reads and writes as many as 260 million transactions per year, mostly during weekday business hours. One could easily state that up to 100,000 transactions occur in an hour.

The [redacted] architecture, utilizing [redacted] and [redacted], is a robust system. Once put into motion, it could and has run for decades. At issue, however, are system support failures which may require the system to spin down. The concern is spinning the system back up, and the possible inability to replace damaged parts. This challenge was recently mitigated with the help of the 2021-2022 legislative team, who appropriated funding to buy newer, albeit refurbished servers. As of the writing of this document, the newer physical hosts completed all integration testing without issue and have successfully been added and removed from the production cluster.

The Department currently houses five (5) [redacted] processors at AST. Three (3) are used in the production (Prod) environment; one (1) was used in the development (Dev) environment until August 2017; and one (1) is used for spare parts.

The legacy system was designed to run against a [redacted] database [redacted]. [redacted] and [redacted] are written for one another and are dependent on one another. The legacy system runs against [redacted] database which is housed storage hosts at the state data center. Like the [redacted] system, the [redacted] instances run well. Advantages of [redacted] include a very high performing throughput; high reliability, in respect to both data security and database uptime; high availability because the requirements for scheduled maintenance downtimes are minimal; easy maintenance; and a low cost per transaction.

Change drivers include: 1.) the current database is reaching capacity and requires hands-on maintenance to ensure space is sufficient for operation; 2.) the [redacted] costs the Department $47,500 per year per processor in license fees and another $10,450 for support ($231,800 per year for the current configuration); 3.) the [redacted] is outdated (its replacement [redacted] was released in 2009 and [redacted] development for the [redacted] was halted in [redacted]); and 4.) [redacted] Database Administrators (DBAs) are difficult to find.

The images are indexed within the [redacted] database and are stored in an image server as a [redacted] Image [redacted] File [redacted]. In 2012, the Department, recognizing the application and database hardware, operating system, and applications would no longer be able to be supported, began formulating a solution.

On January 1, 2013, a different version of Sunbiz was launched and twenty-percent (20%) of the Division's external core activities were placed on a cloud-based system. This helped with the concern for space in the database, as these activities generate 70% of the files by volume. The switch moved future filings to a newer, but more expensive technology. The system architecture has led to inefficiencies at the business level, increased costs, and data migration issues that can impact Florida's business community. The system synchronizes data between the legacy and cloud-based system.

At this time, the breakdown by activity and volume on the three systems is estimated to be:

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

The architecture of the new portion of the system is located within the [redacted] and is hosted by [redacted]. The database utilizes [redacted]

with the images stored a [redacted]. [redacted] storage consists of large chunks of data with non-editable images.

All new filings are submitted through the legacy system, validated, and then pushed to the [redacted] system, resulting in a copy of the image in two (2) separate locations – one as a [redacted] on the [redacted] database image server and the other in [redacted] storage persisted in [redacted] storage.

Finally, the Department is in the final stages of virtualizing all physical host hardware. This will insulate the legacy system from issues that arise due to age.

f. Current System Resource Requirements

Compute

The legacy system currently consists of three (3) physical servers, each running a single [redacted] processor in production. The development environment is a virtualized [redacted] processor running on a [redacted] server. This allows for the "hot swap" of a physical [redacted] server in the event one of the three in production fails.

Database

The backbone of the system is [redacted] database- a workhorse that contains a mixture of application "hooks", interfaces, and reporting.

Cloud Resources

[redacted] make up approximately 20% of the current overall system. This gives the system ability to quickly spin up additional virtual webservers in the event traffic increases past configured settings.

Web Servers and Internal Processing

The Sunbiz system has a relatively small footprint with less than 10 workflow/processing servers and 6 forward facing legacy web servers. For purposes of system characterization, file servers are not included in the required system count.

These servers are owned and maintained by DOS and housed in the state data center. Some of these servers are virtual.

g. Current System Performance

The state of the current system offers many opportunities for modernization. These modernizations will help DOS make improvements to better serve the Florida business community. The improvements made possible by the modernizations will have an emphasis on the following high-level areas.

- Reduction in operating costs
- Elimination of many manual business processes
- Better customer service
- Flexible platform to accommodate legislative and policy changes
- Real-time processing of many routine activities
- Higher employee productivity through increased process automation and enterprise-wide access to information
- Increase transparency
- Disaster Recovery
- Security and integrity of the system.

2. Information Technology Standards

Sunbiz and its supporting systems are governed by the following standards and rules:

- Rule 60GG-2, FAC, which establishes the state standards relating to Information Technology security
- Chapter No. 2019-116, Laws of Florida, directs state agencies to show a preference for cloud-computing solutions
- Americans with Disability Act, Section 508 Accessibility Compliance

B. Current Hardware and/or Software Inventory

NOTE: Current customers of the state data center would obtain this information from the data center.

Software Inventory

Name	Description
Sunbiz Web Services	[redacted] responsible for Annual Reports, Reinstatements, and Certificates of Status
Sunbiz Search	[redacted] responsible for searching for business entities, trademarks, cable franchises, officers, and registered agents
Public Facing Web Pages (Legacy)	Responsible for new filings such as Limited Liability Companies and General Partnerships
Internal Applications (Legacy)	These applications process payments, move data, conduct reports, etc.
Internal Applications	Largely these applications are solely for reporting and synchronization

Hardware Inventory

Hardware Description	Number
Legacy Hosts, [redacted]	3
Legacy Development Host - Virtualized	1
Workflow Servers, ranging from [redacted] to [redacted]	10
Physical [redacted] Server	1

C. Proposed Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a procured vendor solution that will satisfy the requirements for each component of the system. The level of customization with be accessed by the implementation team. As documented in the subsections that follow, this conclusion was reached by evaluating the business and technical solution alternatives.

1. Technical Solution Alternatives

Following are the alternatives considered for the modernization of DOS systems.

- **Third-party Software Solution:** A full third-party software solution would involve implementing a product to completely provide the required capabilities, potentially with customization, using mechanisms provided with the product.
- **Custom Solution:** A custom solution can be implemented by writing the modernized version of the applications using a completely custom-developed solution.

- **Hybrid Solution:** A hybrid solution uses a mix of third-party software products and libraries in conjunction with custom implementation of requirements that do not fit within the constraints of the third-party software portions.

The following are the delivery methods considered for the proposed system.

- **Phased Delivery:** Through robust planning, system components that can be stand-alone modules are identified. These systems are implemented with backward compatibility in mind. For instance, the new system components must be compatible with the older components. This process is repeated until the entire new system is in place.
- **Single Switchover Approach:** The system is planned, implemented, and tested. Then at a particular date, the entire system is deployed.

2. Rationale for Selection

Below is a high-level summary of the outcomes of the analysis for the technical solution alternatives:

- **Third-party Software Solution** – A full third-party software solution would provide reduced implementation time and complexity, and the ability to scale as needed, but would not fully satisfy DOS requirements without substantial customization (see Hybrid solution). This approach has been attempted with companies defining themselves as experts in the problem space. As each of these previous efforts failed, a full third-party software solution, out of the box, is not a viable option for DOS.
- **Custom Solution**–- A full custom solution would require significantly more development effort, hardware costs, time, and application support burden, as compared to other options. While a custom solution provides flexibility and capability to meet the business need, it comes with a prohibitive cost and extended implementation timeline. A full custom solution is not recommended for this modernization effort.
- **Hybrid Solution** – Based on the breadth of DOS requirements, the inability for a third-party software package to fully satisfy the requirements, and the complexity and cost of a full custom solution, it is recommended that DOS pursue a hybrid solution. A hybrid solution will allow DOS to take advantage of the benefits of existing third-party software packages, by using a combination of third-party software products and custom development to fully meet the business need. Note that these third-party software products can include software libraries, as well as independent applications with customization capabilities.

3. Recommended Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a combination of third-party software products and custom development that will satisfy the requirements for each component of the system. This conclusion was reached by evaluating both the business and technical solution alternatives.

D. Proposed Solution Description

The proposed solution will result in a strategic rewrite and upgrade of the technical software components of the current system using a hybrid approach of custom development and third-party software products as applicable. The resulting application will meet DOS's business needs for a system that is seamlessly integrated with external entities to help facilitate information sharing. Furthermore, the resulting system will be more effective and secure than its predecessor. It will be built upon a modern architecture foundation, enhancing efficiency, and greatly reducing the risk of technical obsolescence that exists in the current legacy system. The resulting system will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements. Summary Description of Proposed System

The proposed system will consist of a consolidation of all current web and on-premises applications into a single codebase. This codebase would be composed of various independent web applications modules and each web application module would correspond to an existing web or legacy application that will be rewritten using the latest [redacted] version or low/no code framework. At the discretion of DOS and the implementing vendor, most of the legacy programs could be rewritten into the same web application. The system will be implemented using standard architectural patterns. For instance, the architecture of the system at a macro-level and micro-level will be layered, with each layer having its own purpose and responsibility. A breakdown of the high-level system components of the proposed solution architecture is provided below.

Front-end / User Facing Application Components–- These are the applications or components that users will interact with regarding voter registration.

- **Web applications** – external and internal web-enabled systems that are composed of one or more web modules which contain interfaces that are built using responsive layouts. Responsive layouts enable web applications to be viewed without the use of a native mobile application. Responsive user interfaces will automatically adjust to screen size rather than device type, which makes it possible for one web application to be usable on any mobile device type. The html elements that compose the UI should be built using reusable components, allowing for web applications to be built quickly and efficiently with significantly less code than would otherwise be required. The proposed system should be implemented with the following in mind.
    - **Responsiveness** – The UI should respond to user input without noticeable delay.
    - **Consistency** – The UI should have a consistent style and features to allows users to quickly become familiar with the system and recognize usage patterns.
    - **Aesthetics** – The UI should be aesthetically pleasing to ensure user time spent using the new system is more enjoyable.
    - **Efficiency** – The UI should promote an increased level of productivity through shortcuts and efficient design.
    - **Forgiveness** – The UI should be forgiving to user mistakes. Users should be able to undo previous actions (edits) and recover deleted files.

Back-end System Components – These are solution architecture components that support the front-end components with data and resources in terms of processing power.

- **Enterprise Database Servers** – In the proposed system, there are two database servers. A [redacted] database server for public web applications and a [redacted] database server for internal web applications. These database servers will be used to store, analyze, process, and transform data across the system. The current database servers will be upgraded to utilize the latest applicable versions. Any [redacted] database currently in use will be migrated to a [redacted] database server. There could be multiple database servers and multiple databases depending on DOS needs. Each database in use must implement the standard ACID properties:
    - **Atomicity**–- guarantees that each transaction is treated as a single unit which either succeeds or fails completely
    - **Consistency**–- ensures that a transaction can only bring the database from one consistent state to another
    - **Isolation**–- ensures that concurrent execution of transactions leaves the database in the same state that would have been obtained if the transactions were executed sequentially
    - **Durability**–- guarantees that once a transaction has been committed, it will remain committed even in the case of a system failure
- [redacted] **Layer** – is a [redacted] that is responsible for controlling access to the database. This component ensures that the database is accessed in a consistent way. The [redacted] is a central component that interacts

with any component that needs to save and retrieve data to and from the database. It also interacts with any batch processes that are importing data from external sources.

- **Batch Processing Layer** – is an upgraded [redacted] that is responsible for integrating with any external entity that the proposed system needs to share data with.

Macro-Level Attributes – Along with the system requirements outlined in Section II, Functional and Technical Requirements, the proposed solution will be aligned with the following:

- **Consolidated Platform** – Move to a single technology platform with integrated objects/components that may be modified without affecting the whole
- **Modern Development Environments** – Tools and processes to streamline code development, testing, promotion/staging, and stress testing; environments that promote and enable collaboration
- **Modularity** – Use of a modular, flexible approach including the use of open interfaces
- **Reduce Batch Complexity** – Incorporate sufficient compute power to perform real-time processing/automation to decrease dependence on batch architecture
- **Cloud Capabilities** – Where feasible and beneficial for reliability, cost efficiency, and visibility into systems behavior
- **Application Monitoring** – Ability to be alerted immediately on application or any identified system component failure or performance problems
- **Reporting** – Capability to produce reports supporting DOS's mission and business operations and to increase transparency and accountability
- **Interoperability** – Support integration with the appropriate local and state entities that support the DOS mission
- **Security** – Built on the latest software and hardware platforms and accompanied by appropriate network security, the proposed system will support a suitable security level to define current and future threats

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

Refer to the Cost Benefit Analysis Workbook for Estimated Staffing counts and costs for FY 2024-2025 through FY 2029-30.

E. Capacity Planning
(historical and current trends versus projected requirements)

Florida's population growth should be taken into consideration when capacity planning for the future system as an increasing population means more registered voters. Over the last 20 years, Florida has experienced an annual population growth of 1.7%, which was more than the 1.0% national growth rate.[1] With a current population of 21.5 million and more than 8 million current filings, the capacity for the new Sunbiz system should take into consideration historical growth trends of Florida business filings compared to the total population.

Assuming a 1.5% year-over-year growth rate in Florida's population, Florida will likely add an additional 325,000 filings by 2030.

Projected system capacities are informed by historical data. System resources compared against trend data (presented below) indicate Sunbiz has enough resources to continue operations for the foreseeable future.

	2022	2021	2020	2019	2018	2017	2016	2015	2014	2013	2012
Domestic Profit	93,537	104,625	98,816	95,771	104,019	101,115	101,110	102,881	102,412	102,305	104,490
Domestic Non-Profit	14,247	14,519	14,124	13,248	13,435	12,735	12,200	12,184	11,664	11,448	11,962
Foreign Profit & Non-Profit	7,809	7,314	5,634	5,766	5,973	5,802	5,666	5,716	5,490	5,568	5,193
Domestic Limited Partnerships	724	740	652	596	650	671	742	824	757	789	1,010
Foreign Limited Partnerships	592	752	319	319	331	314	317	346	301	355	302
Domestic Limited Liability Co.	533,137	532,137	398,575	310,854	295,966	263,545	233,077	214,724	197,286	178,585	162,219
Foreign Limited Liability Co.	19,115	17,576	11,752	12,403	11,773	10,911	10,372	10,323	9,228	8,225	7,244
General Partnerships	280	318	309	359	414	452	545	551	657	657	975
Limited Liability Partnerships	155	154	123	151	160	183	242	242	242	242	290
Declarations of Trust	83	105	64	61	55	49	41	45	31	38	38
TOTALS:	**669,679**	**678,240**	**524,734**	**439,528**	**432,776**	**395,777**	**364,312**	**347,836**	**328,068**	**308,212**	**293,723**

[1]United States Census Bureau. Florida Fastest-Growing State for First Time Since 1957 (census.gov)

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity. Include through file insertion or attachment the agency's project management plan and any associated planning tools/documents.

> ***NOTE: For IT projects with total cost in excess of $10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.***

In accordance with guidelines established for this section of the Schedule IV-B, DOS will leverage its experience with similar engagements and follow a project management methodology that includes the following project requirements:

- **Project scope** – provide the baseline definition of the project's objectives and what the project will deliver.
- **Project phasing plan** - for projects greater than one fiscal year, provide a project phasing plan that defines, where possible, independent phases/subprojects.
- **Baseline schedule** – identify the high-level tasks and major milestones for the project to include, where appropriate, procurement, analysis, design, development, configuration, data conversion, testing, training, and implementation.
- **Project organization** – define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams.
- **Quality assurance plan** – describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and IV&V.
- **Risk management** – describe the agency's processes for identifying, documenting, and mitigating project issues and risks.
- **Implementation plan** – describe approach for placing the system into production and retire current system(s). Tools may include a transition plan, knowledge transfer plan, and organizational change management.

Predictability, accountability, and flexibility are key elements that must be embraced by the overall project management approach to ensure DOS's satisfaction and project success. Successful project management must include active and visible leadership, multiple controls and checkpoints with measurable outcomes, and engagement with all stakeholders. The DOS believes strong project management is critical throughout the life of any successful project.

In alignment with the DOS goal to bolster its technical infrastructure, it is continuing its modernization efforts for multiple systems. These modernization projects will enhance the services DOS is statutorily charged to provide to the state of Florida, including strengthening data integrity and security. For this project, the DOS intends to utilize a project portfolio management (PPM) approach for project oversight. PPM is a process by which multiple projects are evaluated and executed to ensure strategic alignment with organizational goals. PPM provides executives, project managers, team members, and stakeholders an overarching view of their projects, including how they fit into the organization's directives and strategy, thereby lending insights into the potential returns and risks involved. Under this PPM approach, the three system modernization projects are managed centrally through the PMO's strategic oversight and management infrastructure, as well as at the individual project level through the respective modernization project manager. The PPM also drives the following positive outcomes:

- Clarity of purpose

- Big picture thinking
- More effective resource allocation and management
- Increased efficiency and productivity (cost effectiveness)
- Improved agility
- Maximized return on investment

The DOS's project management approach will utilize the technical skills, tools, and techniques needed to succeed, as well as the dedication to accountability, resource commitment, and organizational focus. Project success will be the result of active communication among all individuals, understanding everyone's role in the project, and clear delineation of responsibilities.

The DOS believes successful project management is substantially dependent on the following factors:

- Clearly established project goals and requirements
- Ongoing assessment of quality against established standards
- Constant measurement of success against established deliverables and milestones
- Personal presence and commitment of key project leadership
- Proactive identification and communication of risks and issues

The primary project management methodology used by DOS is based on the Project Management Institute's Project Management Framework. The DOS Project Manager, along with any contracted vendors supporting the project, will determine an appropriate project management methodology. The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific project management methodology employed, certain management and control mechanisms will be relevant to all phases of this project, including:

- Project Charter that clearly conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- PM Plan
- Baseline project schedule
- IV&V
- Change Management Procedures
- Project Issues Register
- Project Risk Register
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the PM Plan will assist both the Project Manager and Project Sponsor in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress, identifying, documenting, evaluating, and resolving project-related problems

that may arise

- Reviewing, evaluating, and making decisions regarding proposed changes; changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders
- Monitoring and taking appropriate actions regarding risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of project deliverables and taking appropriate actions regarding any project deliverables that are deficient in quality

The sections below expand upon elements of the PM Plan that will be in place at project initiation. The PM Plan is compliant with Rules 60GG-1.001 through 60GG-1.009, F.A.C., known as the Florida Information Technology Project Management and Oversight Standards.

A. Project Charter

The project charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the DOS's purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the Corporate Registry Revitalization Project.

1. Project Name

This project is known as the Corporate Registry Revitalization Project.

2. Purpose and Objectives

The Division of Corporations (Division or DOC) is one (1) of six (6) divisions within the Department. Its primary purpose is to preserve, promote, and provide an official business entity index and commercial activity web-based data management system. Through around the clock collecting, processing, maintaining, and reporting Florida's business entity and commercial activity records, the Division is critical to Florida's prosperity. Through the Division, the Department fosters economic development and provides a competitive, business-friendly corporate filing environment. All Floridians are impacted by the services provided by the Division of Corporations.

The Division, which serves as a ministerial filing agency, is responsible for:

- Formalizing the legal standing of a business or activity;
- Indexing the filing or registration; and
- Supplying information and certification regarding the filings and activities of record.

In short, the Division provides businesses with the legal right to conduct commerce in the state of Florida and provides information regarding the legitimacy of a business to the public, lending institutions, and government and law enforcement agencies.

The mission of the Division also includes the registration, recording, certifying, and reporting of trade and service marks, fictitious names, judgement and federal tax liens, Uniform Commercial Code (UCC) financing statements, cable and video franchises, surety bond maintenance, notary public commissions, and apostilles. In addition, the Division is responsible for the recording, acceptance, and notification of Substituted Service of Process. The Division functions as an informational resource for statewide business activities, registrations, and certificates.

Through Sunbiz.org, Florida's official business registry, the Division maintains over 8 million records and processes more than 240 million filings, certifications, and inquiries per year. The Division is charged with having a readily available, valid and reliable business entity index available around the clock, 365 days a year.

The current system does not support the Divisions' activities to conduct all duties in an efficient manner; largely as a result of evolving legislation and increasing volumes of business filings. Many essential business functions

supported by Sunbiz applications and databases require manual tasks (e.g., processing paper documents, emails, and phone calls). Constraints and limitations of the system largely dictate business procedures and workflows, and have led to work-around processes, such as the development of parallel processes, contact lists, and workflow tracking.

The project's effort will satisfy the following objectives:

- Leverage increased efficiencies and serve Florida citizens in the most effective manner possible
- Position the Division of Corporations to further maximize the benefit of the state investment in technologies implemented to support the system
- Modernize Sunbiz in accordance with the state's Long Range Program Plan (LRPP), statutory guidelines for data storage and maintenance, and federal guidelines to ensure election infrastructure security
- Create a modern, integrated system that supports the business units by leveraging modern technology and a cloud-based solution
- Eliminate parallel systems utilizing out of band processes, databases, and methods for data tracking and reporting
- Reduce or eliminate redundant processes
- Provide staff and supervisors with timely access to information necessary for performance and quality management with functionality to generate reports on demand
- Increase automation in processing data for new filings
- Provide easier access to data through improved user interfaces
- Develop functionality that reduces or eliminates of the need for paper forms, documents, as well as email and phone contacts for data processing.
- Design system to incorporate current and future statutory and legislative requirements
- Increase database capacity to accommodate growth in data storage needs
- Employ project management best practices throughout the life of the project
- Complete the project within agreed budget and timeframes

3. Project Phases

Each aspect of this project will be developed in four phases:

I. Pre-implementation
   a) Develop and Execute Procurement
      - Project Management
      - Independent Verification and Validation
      - Staff Augmentation for IT Development

II. Define

This phase will include the following activities:

   a) Map Workflows
   b) Establish Teams Internally
   c) Define System Architecture
   d) Determine Software Development Methodology
   e) Procure Third-Party Software Components and Libraries
   f) Develop PM Plan

III. Design/Develop

This phase will put into place the core solution functionality. Modernization efforts will cover the following initiatives:

a) Establish System Architecture
b) Data Conversion
c) Define, Design, Develop, Test, Deploy (module development in iterative sprints)
d) User Acceptance Testing
e) Staff Training
f) Project Management
g) Organizational Change Management
h) Independent Verification and Validation
i) Benefits Realization Management

IV. Implement and Operations and Maintenance

This phase will include the final rollout of the full, modernized solution developed for each business process. Following implementation, each feature will move into in-house O&M.

B. Project Scope

The vision of this modernization effort is to implement immediate system performance and functional improvement needs while positioning DOS with secure, scalable, cost-efficient, and sustainable system architecture and agile support processes.

To realize this vision for immediate improvement and long-term sustainability, technology and resource investments are necessary in fiscal years 2024-25 through 2029-2030. These investments will result in long-term benefits to DOS in the form of immediate functional improvements and to the state through increased functionality for and enhanced integrity and security of Florida's corporate registry.

To ensure the most efficient and effective implementation of projects included in the modernization project, DOS intends to acquire the services of a contracted Project Manager experienced in the planning and oversight for implementation of multi-year system modernization initiatives, as well as IV&V services, to ensure that projects are executed with minimal cost and schedule variance. The project team will be comprised of a combination of DOS and third-party resources.

DOS will oversee a governance process ensuring that there is an integrated process, vertically and horizontally, for requesting new projects and funding. Specifically:

- Vertical integration requires receiving bottom-up input on the costs and status of each project element and top-down prioritization and approval of prospective projects.
- Horizontal integration requires the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

The project team will work in conjunction with the PMO, with a focus on attaining all goals and objectives. The Project Manager will coordinate with the PMO for budget, schedule, scope, and status reporting.

The scope of this project will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation of all the modernization to support the following teams and activities:

- Project Management Team
- Organizational change management
- IV&V

- Solution architecture
- Integration of business units
- Data conversion and integration
- External interfaces (full SDLC)
- Self-service portal (full SDLC)
- Case and workload management (full SDLC)
- Reporting functions (full SDLC)
- System implementation
- Content development for training materials
- End-user training
- Operations and maintenance planning

C. Project Implementation Plan

The Implementation Plan describes the proposed steps needed to implement the project, including all system replacements and enhancements. The plan begins with the initial procurement of external resources needed to achieve project outcomes, outlines initial deliverables for the overall project, and finishes with a communication plan for the project. All three elements of the Implementation Plan are subject to change as the enterprise modernization project evolves, the systems develop, and the corresponding program areas identify any additional requirements or changes. The final Implementation Plan will be incorporated into the PM Plan and approved by the PMO, Project Sponsor, and Executive Committee.

1. Procurement Management Approach

The procurement management plan seeks to outline how the project will procure resources necessary to complete project objectives for all elements included within this project charter. It will define the procurement methodology for this project, lay out the process for managing procurement throughout the life of the project, and will be updated if and when project needs change. When finalized, this plan will identify and define the goods and services to be procured, the types of contracts to be used in support of this project, the contract approval process, and the decision criteria. Coordinating the procurement activities, establishing firm contract deliverables, and setting metrics in measuring procurement activities are critical to project success.

The DOS Purchasing Office and any external resources contracted for procurement support will provide oversight and management for all procurement activities under this project. The project team, in conjunction with the PMO, will review and refine all procurement needs prior to approving the development of final procurement documentation.

Each of the systems within the project may have unique procurement requirements and approaches. The following subsections propose details for the project's procurement management approaches, which must be approved by the Project Sponsor and Purchasing Manager prior to inclusion in the project.

The table, Procurements Essential for the Corporate Registry Revitalization Project's Success proposes the goods and services determined to be essential to the project that must be obtained outside of DOS resources. These items may change as the project evolves and initial planning activities are conducted within DOS.

Procurements Essential for Corporate Registry Revitalization Project's Success

Procurement	Description	Justification	Needed By
Project Management Office (PMO)	The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes. Additionally, the modernized system will require diligent management, involving training and transparent communication with all affected staff and partners and strategic deployment of new processes and information. Because system documentation of the current system is incomplete, OCM process should include a comprehensive review of how the design and functionality of the new system will impact current processes and staffing.	DOS intends to use a central PMO for all concurrent system modernization projects. A single PMO will ensure project alignment and resource maximization. A contracted PMO will provide management resources not available within DOS due to limited staff resources to be dedicated to a special, long-term project. The PMO will also be responsible for OCM activities related to the modernization project. This includes system documentation, partner liaising, staff training, communication planning, and policy updates.	July 2024
Vendor Programming Services	Vendor solutions will be procured based on the current state term contract for IT project development resources.	Contracted IT development staff will be used to implement project deliverables and ensure project completion within the established schedule.	July 2024
IV&V	IV&V services will provide independent oversight of the project activities.	Outsourcing these services is essential for an independent, unbiased perspective on	July 2024

Procurement	Description	Justification	Needed By
		project activities.	
Third-Party Software Products and Libraries	The recommended technical solution for system modernization is a hybrid approach of a combination of custom solution development and third-party software products and libraries.	Based on the design phase and research on available products that may meet certain modernization needs, DOS will procure these products for purchase and development use, as well as any required ongoing licensing agreements.	September 2024

2. Project Deliverables

Project Deliverables below contains a preliminary list of project deliverables for project execution. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected PMO and as system architecture and design are finalized.

Project Deliverables

Name	Deliverable Description
Project Management Status Reports	Weekly status reports by the PMO to the project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Summaries	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the DOS Legislative Budget Request for follow-on phases.
Project Charter	Issued by the Project Sponsor and formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
PM Plan	Includes the following documents as required by the DOS Project Director: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan

Name	Deliverable Description
	• Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of business processes, as reengineered by the system modernization with subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specification	Detailed technical design for data and information processing in the new business system to include: • Data Model/Entity Relationship Diagram • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design. This includes the processes of detailed data conversion mapping, data extraction, transformation, and loading.
OCM Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Regular status reports by the OCM vendor.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.

Name	Deliverable Description
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to go-live with the project and identifies action plans to remedy any lack of readiness.
IV&V Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V Status Reports	Quarterly reports to the Executive Management Team.
IV&V Periodic Assessments	Documents the results of IV&V activity to determine the status of project management processes and outcomes including, but not limited to: • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Test Plans and Cases	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing. Test cases will include documented sets of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation and post-implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

a. *Project Milestones*

It is anticipated the project will be managed according to the table below. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require the Project Sponsor to sign-off prior to commencing the next activity.

Project Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Vendor Procurement	• Post bid for PMO Service • Post bid for IV&V Service • Post bid for Development Services
Vendor Selection and Contract Execution	• Select PMO Vendor and Execute Contract • Select IV&V Vendor and Execute Contract • Select Development Service Provider and Execute Contract
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed for Each Phase	• As-Is Business Process Flows • To-Be Business Process Flows
Acceptance of Functional and Technical Requirements for Each Phase	• System Requirements Document • Validated Functional Requirements Document • Requirements Traceability Matrix
Acceptance of User Interface Prototypes for Each Module	• User Interface Prototypes
Acceptance of Each Phase's Functional and Technical Design Specifications	• Functional and Technical Design Specification documents
User Acceptance Testing for Each Module Completed	• Not Applicable
End User Training for Each Module Completed	• On-site training sessions • Training materials
Final System Deployment Approval	• IV&V system readiness certification
System Deployment Phases	• Functional system released into production
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklists • Project Close-out Checklist

b. *General Project Approach*

The following activities are required to finish the project:

1. Submit a Legislative Budget Request
2. Perform Schedule IV-B Feasibility Study update
3. Execute procurement(s)

4. Execute contract(s)
5. Execute the project
6. Monitor and control the project
7. Develop and test the proposed solution
8. Implement the proposed solution modules as completed and validated (iterative)
9. Conduct OCM and communications activities (iterative)
10. Develop and Conduct Training (iterative)
11. Deploy the fully modernized system to trained users who are fully prepared to use the new system and are supported by on-screen help
12. Conduct knowledge transfer
13. Continued operations, administration, and support of the system via in-house operations and maintenance
14. Close out the project
15. Operate and enhance the system throughout its service life

c. *Change Request Process*

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the Project Team in accordance with a documented change management plan or documented change management procedures. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request by the Project Sponsor and its validation by the Project Team, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned, and the request will be scheduled accordingly.

3. Project Communication

Communication management seeks to provide a comprehensive framework for all communication necessary to keep stakeholders informed about the project's direction and status. The purpose of the project communication plan is to put into place infrastructure to facilitate clear and timely communication of project objectives and promote successful project outcomes.

a. *Communication Plan*

The communication plan is designed to provide the right information, at the right level, to the right audience, at the right time. The plan addresses key audiences, messages, frequency, and methods of communication.

This plan describes the various forms of communication, appropriate channels of communication, and target audiences for this project. The communication matrix identifies the different tools that will be used to guide the planning for communication about the project to various audiences and purposes. It should be considered a general guide for the effective dissemination of information that is received, understood, and utilized by the target audiences for successful completion of the project. This communication matrix will be customized for each project to reflect the various communication forms, frequencies, and audiences that will actually be used during the course of the project and to ensure communication channels are properly maintained throughout the project and

updated if communication needs to change.

Project Communication Matrix

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Status Reports	Provide detailed information on the progress of the project against the plan	Email	To Be Determined (TBD)[2]	Mandatory	Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Status Meetings	Review the status report, resolve issues, and make decisions	Meeting	TBD	Mandatory	Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Sponsor Meetings	Review project progress, resolve issues, and make decisions at an executive level	Meeting	TBD	Mandatory	DOS IT Leadership	DOS Leadership (Project Sponsor)	Verbal and follow-up email
Project Deliverables	Provide deliverables to Modernization PM	Email	Per project schedule	Mandatory	Project Team Members	Project Manager and Deliverable Review Team, PMO	Written vetted, consolidated, and actionable comments
Deliverable Review Feedback	Provide vetted, consolidated, and actionable written comments	Email	Per project schedule	Mandatory	Deliverable Review Team	Project Team Member (Deliverable Developer)	Written /email follow-up using Deliverable Review Comment Form
Deliverable Review Meetings	Confirm mutual understanding of desired deliverable changes	Meeting	As needed	Informational	Project Team Member (Deliverable Developer)	Project Manager, Deliverable Review Team, subject matter experts (SMEs)	Verbal or written

[2] The status reporting and meeting cadence will be determined by the project team and will meet requirements of section 60.gg-1.006, Monitoring and Controlling, Florida Administrative Code.

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Work Sessions	Gather information from subject matter experts (current providers)	Meeting	Per project schedule	Mandatory	Project Team Member	SMEs	Verbal and follow-up email
Work Session Follow-Up	To answer questions or clarify information gathered	Email	As needed	Informational	Project Team Member	Project Manager, Deliverable Review Team, SMEs, PMO	Verbal or email follow-up
Project issues	Documentation of project issues	Email	As needed	Mandatory	Any Stakeholder	Project Manager Vendor Project Manager PMO	Written/email follow-up
Project issues escalation	To resolve project issues	Email	As needed	Mandatory	Project Manager	Project Leadership (Project Sponsor)	Written/email follow-up
Change requests	Document project changes to scope of work	Email	As needed	Mandatory	Project Manager and PMO	DOS Leadership (Project Sponsor)	Written/email follow-up
Project closeout and lessons learned	Formal project closeout meeting	Email	Per project schedule	Mandatory	Project Manager	DOS Leadership (Project Sponsor), PMO	Written/email follow-up

b. Status Reporting

Vendors will be required to submit status reports throughout the project at several levels. The primary source of status information is the recurring (at regular intervals per the project schedule) written status report, which will communicate, at minimum, the following information. The PMO presides over the regular DOS Modernization Project Meeting, which is attended by the Project Managers from the three modernizations. Status reports are collected by the PMO ahead of the meeting, reviewed, and discussed at the regularly occurring meeting.

Project Status. This section depicts the project status at a summary level using a red/yellow/green method supported by two to three essential questions that are answered to determine summary status. The red/yellow/green method is not meant to be a grading system but instead it is a way to easily identify the areas of the project that need the most attention to make the project successful.

Overview of Project Progress. This section describes significant accomplishments achieved in the reporting period.

Project Milestones, Deliverables, and Latest Tasks. This section contains the major deliverables of the project,

their planned and actual completion dates, and their status.

Risks, Action Items, Issues, and Decisions. This section will link to the project risk, action item, issue, and decision tracking tool. The project tracking tool contains all items tracked during the project.

D. Project Schedule

Schedule Management is to be conducted at both the portfolio and individual project level. Schedule management consists of the following three areas: schedule development, schedule administration, and schedule change control. The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the Project Manager and the PMO. The PMO's primary schedule management responsibility is to develop an Integrated Master Schedule, which will encompass the three individual modernization project schedules. The full project schedule will be developed by the vendor awarded the project's contract.

1. Schedule Development

Schedule development is the process of taking the project scope of work and breaking it down into activities and tasks that can be assigned and managed in project management software capable of tracking tasks. Tasks that are dependent on others are linked using the predecessor and successor columns.

A schedule baseline establishes the expected delivery dates of project activities at a point in time. Baselines are used to track variances from original approved plans for the project. The project team uses the baseline feature of the project management software to establish a snapshot of the established dates for tasks. A schedule baseline will be updated only if needed to correct errors and adjust for any approved change requests. Once a change request is approved, the PMO performs a re-baselining of specific tasks impacted.

The project team as a whole reviews the progress of tasks against the baseline dates to monitor project progress and identifies areas of schedule slippage requiring corrective action to ensure the project remains on schedule.

The Project Schedule is developed with various views that are configured by the modernization project team for specific purposes. The columns displayed within the default view should include:

- **ID:** A sequential number to denote a line number.
- **Unique ID:** A number that is assigned to a created task (row) and is carried within that task, regardless of a change in its line number.
- **Task Name:** A text descriptor of the task.
- **Percent Complete:** A percentage representation of the task's completion based on its duration.
- **Duration:** A number (in days) denoting the length of a task from start to finish.
- **Start Date:** The date the task is scheduled (planned) to begin.
- **Finish Date:** The date the task is scheduled (planned) to complete.
- **Start Variance:** The amount of time (in days) representing the difference between the baselined start date and the current planned start date.
- **Finish Variance:** The amount of time (in days) representing the difference between the baselined completion date and the current planned completion date.
- **Predecessor:** The ID (line number) of the task that precedes a given task.
- **Successor:** The ID (line number) of the task that follows a given task.
- **Notes:** A free-form text column that is used to capture any comments or information about a task.

2. Schedule Administration

The schedule will be kept up to date as specified in the PM Plan. Task progress and percent completion will be input into the schedule. Variances between planned and actual progress will be managed with particular attention to the critical path. The PMO will evaluate the baselined schedule against current progress, identifying the following at a minimum:

- Overdue tasks and computation of the percentage of late tasks related to total tasks to date (number of overdue tasks divided by number of total tasks).

- Overall task completion trending towards an overall project variance equal to or greater than 10%.

The Project Manager will communicate the variance explanation to the key stakeholders. This information will be used as input into the status reporting. Any variance where the critical path is significantly behind will automatically result in an action item for discussion at the recurring status meeting or earlier.

Corrective actions will be developed as needed to resolve schedule variances. Schedule management techniques of crashing, fast-tracking, and compression will be considered as will other solutions like resource shifting or work rescheduling. Schedule forecasting will be used to look beyond the current status so that, to every extent possible, corrective actions can be applied before there are schedule variances.

Below are quality control checks proposed to be used by the DOS PMO to maintain a functional and reliable Project Schedule.

- **Task Traceability:** All non-summary project tasks have at least one predecessor to depict relationships between different project tasks and outputs so project subcomponents can be fully traced through project completion. Task traceability demonstrates that the schedule responds dynamically to date shifts, i.e., delayed activities.
- **Critical Path Monitoring:** The project management tool should calculate the Critical Path based on how the tasks are connected in sequence. The Critical Path is considered accurate if the necessary dependencies among tasks are correctly established using predecessors and successors. The PMO is responsible for validating the calculated Critical Path weekly. The PMO also reviews the critical path as new tasks are added or reconnected with other tasks.
- **Schedule Management Best Practices Checks:** The PMO will conduct Best Practices checks regularly and follows as part of its quality checklist the guidelines provided by Florida Digital Service.

3. Schedule Changes

Once the schedule has been developed, approved, and baselined any significant changes (impacting the Critical Path, deliverable milestone dates, or the project completion date) will have to be approved through the Change Management process. All other schedule changes can be made at the discretion of the Project Manager and the PMO. Such changes will be reported in the Status Report and discussed at the Status Meeting.

E. Project Organization

The purpose of this section is to outline how the enterprise will manage staffing requirements and resource tasks appropriately. This project plan calls for additional staffing for most project initiatives through staff augmentation contracts. The needs for each project have been estimated before the project and will be refined during requirements gathering and procurement of services.

Successful implementation of the proposed solutions requires establishing a model of governance by applying a structured decision-making process. Functions critical to project success within this governance process will include measures to document and maintain requirements and compare solutions in advance of implementing architectural change. Such a process will also facilitate decision-making and manage all aspects of the modernization efforts.

Effective collaboration is essential to the successful implementation of the proposed solution. Collaboration provides visibility to stakeholders, produces the necessary exchange of information, coordinates work efforts, and produces useful information about stakeholder needs. The DOS Project Team will establish guidelines for effectively managing collaboration with project stakeholders before, during, and between projects or project phases.

The DOS's enterprise approach and governance structure will be developed in order to make coordinated IT decisions at an enterprise level and align business decisions with strategic objectives. Roles and functions within the proposed organizational governance structure will evolve over time to ensure organizational agility and continuous modernization. For the initial structure, roles, responsibilities and/or processes are outlined in the following table, Proposed Governance Structure.

Proposed Governance Structure

Project Role	Potential DOS Actor(s)	Responsibilities
Executive Committee	Assistant Secretary/Chief of Staff Director of Information Technology and Security Services Division Director of Administration Division Director of Corporations	• Communicate policy objectives that will drive or materially impact IT strategy • Receive and review communications or reports from the IV&V and meet regularly with IV&V • Make go/no-go decisions, provide written approvals for proposed projects, and, to the extent required in a given PM Plan , provide approvals for individual project phases • Provide final approval for acceptance of all active project deliverables • Make recommendations to close or terminate an active project
Project Sponsor	Chief Information Officer	• Approve scope and objectives, schedule and resources, roles, and responsibilities • Review progress and provide strategic direction along with executive team • Make and enforce decisions as appropriate • Obtain resources as needed • Authorize change request analysis • Approve project change requests • Set priorities and resolve conflicts • Provide input on the requirements of the project • Review project plan and relevant documents • Ensure staff participates in work sessions • Promote project buy-in

Project Role	Potential DOS Actor(s)	Responsibilities
PMO Project Manager	PMO Lead	• Provide full support for project logistics, staff participation/reviews and communications • Verify work products meet contractual requirements • Participate in bi-weekly status meetings • Obtain project sponsor's approval of project deliverables • Monitor and recommend change management activities for DOS and program areas • Conduct a comprehensive review of how the design and functionality of the new system will impact current processes and staffing • Identify issues that may arise due to system modernization and develop plan(s) to mitigate risk and ensure a smooth transition from current to future state • Collaborate with Project Team and program areas to develop needed changes to policies, processes, and work protocols • Develop and implement training for all areas impacted by system changes • Advise IT and program leaders on communication planning and activities
PMO Team	PMO Staff	• Analysis and preparation required for procurement documents • Project management oversight • Quality management oversight • IV&V oversight
IT Project Lead	DOS Director of Information Technology and Security Services	• Serve as member of the DOS Project Team • Provide oversight and input to align DOS system projects and project activities with broader goals and support objectives of DOS system services • Provide management and oversight for the following work activities: o Information architecture o Technical architecture o SDLC management o Software documentation management o SSAE 18, SOC 1 – Type 2 and SOC 2 – Type 2 reports (as may be required) o Systems testing / User Acceptance Testing o Data Security o System Security • Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include: o Checkpoints – Strategic meetings with system and project management teams to identify needs and resolve concerns o Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities

Project Role	Potential DOS Actor(s)	Responsibilities

Program Project Lead	Division of Corporations Bureau Chiefs	• Serve as member of the DOS Project Team
		• Provide oversight and input to align system projects and activities with broader goals and performance objectives of the program's business processes
		• Provide necessary input and documentation regarding functional requirements and functional specifications for system projects and project activities
		• Validate business process workflows, diagrams, descriptions, and other program-specific documentation
		• Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:
		  ○ Checkpoints – Periodic meetings with program and project staff to provide updates on proposed project planning, active project progress, and upcoming activities
		  ○ Regular stakeholder meetings – Periodic briefings with external stakeholders, including county and partner agencies, legislative and executive branch staff, and others as appropriate

Vendor Manager	Purchasing Manager (or designee)	• Procurement oversight and management • Vendor contract management
IV&V Vendor	TBD	IV&V is required for all projects with a total budget over all years of greater than $10 million per 216.023(4)(a)10, F.S. The selected IV&V contractor shall perform ongoing project monitoring activities and will review and validate issues/deficiencies/risks identified with the project. Minimally required project monitoring activities and deliverables include, but are not limited to: • Providing an independent, objective, third-party view of project efforts with the intent of protecting the State's interests • Providing personnel, processes, approaches, and tools to perform IV&V services for Florida information technology projects • Performing assessments on both project and program management processes and work products • Providing objective observations and recommendations • Assessing and reporting overall project performance, extrapolating future project progress and success, and identifying any possible impediments to successful project completion • Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures and methodology • Assessing the effectiveness of project communication, assessing Customer involvement • Developing performance metrics that facilitate the tracking of progress / completion of project tasks and milestones • Reviewing all project cost and expenditure documentation and making recommendations for efficient use of funds

Project Role	Potential DOS Actor(s)	Responsibilities
		• Validating identified risks and issues and proposed response(s) and assessing impact to the project progress or success • Verifying and validating the quality of project work products (deliverables) • Reviewing statements-of-work, solicitations, and contracts to verify alignment between requirements and solicited or contracted terms • Providing guidance and training on standards and best practices for project management • Ensuring project teams follow required standards, including, but not limited to, Administrative Rule, Florida Statutes, and federal requirements

F. Project Quality Control

Whether DOS executes project tasks with internal resources, or oversees deliverables provided by contracted providers, Quality Management will be a key factor for project success. Quality Management details the processes to ensure quality services and deliverables. The project team will use disciplined processes and inspections to confirm quality throughout the life of the project. These inspections are performed at key points in the creation and review of documents and confirmation of the value of services the project team provides. Quality Management includes two components, deliverable quality control and services quality. The purpose of this section is to provide instructions on these processes. The modernization project team commits to the highest quality in project execution and project team members' performance. To achieve a positive outcome, these processes will be carried out, so expectations are understood, aligned, and met.

The DOS Modernization Project Team will follow a rigid quality assurance process. The project will follow these processes and procedures to ensure the highest level of execution.

Quality Management. The primary responsibility of the project quality manager (a role within the PMO) is to provide oversight and ensure the modernization objectives are met by meeting regularly with project stakeholders and department leadership.

The Project Manager is responsible for understanding the project requirements and DOS expectations. A preliminary internal project meeting is held near the start of the project with all stakeholders. This meeting will include a discussion(s) of task assignments to clarify the scope of work and how it will be accomplished. The following quality management activities will be completed for the project:

- **Internal Kickoff Meeting –** Prior to project commencement, the Project Manager will ensure all team members understand the project's requirements, scope, and quality control processes. This meeting includes a discussion of task assignments to clarify the scope of work and how it will be accomplished. This awareness is maintained throughout the duration of the project within ongoing and as necessary project team meetings.
- **Sponsor Checkpoints –** The Project Manager will schedule regular contact with the Project Sponsor. This allows the Project Manager to voice their perspective on assignment progress and communicate any relevant risks, action items, issues or decisions made or encountered during the project.
- **Deliverable Reviews –** Prior to submission to the Project Manager and designated deliverable review team, all deliverables are required to first undergo a thorough quality review. This review includes technical editing, validation, clarity, and ensuring conformance to DOS standards and expectations.

G. Project Tracking

This section describes the "RAID" methodology for tracking risks, action items, issues, and decisions. The modernization project will follow a centralized approach that minimizes miscommunication or misinformation among project stakeholders. DOS will diligently maintain a master project tracking log for the project, a Microsoft Excel workbook with multiple tabs intended to capture the details and the latest attributes of items tracked by Project Managers.

An example for the project tracking log will be attached to this document. Each tab is fully explained in the following sections.

1. Risk Management

Risks are characteristics, circumstances, or features of the environment that may have an adverse effect on the project or the quality of the work products. The risk management plan outlines the process to identify and analyze the effects of uncertainties on the project. This plan establishes a framework of working practices, which enables project team members to identify, analyze, respond to, monitor, and communicate risks before they become issues and jeopardize the success of the project. If a risk becomes an issue, the modernization project management office will work with the involved stakeholders to assess its impact on the project and assign responsibility for issue resolution, including a target date for closure.

Risks will be managed in the following manner:

- During status meetings, any stakeholder can raise a risk for discussion.
- The project team will discuss the risk and determine if it warrants being monitored in the risk log.
- The PMO staff will enter the item in the risk log.
- The team will discuss response strategies and assign who will own the risk item.
- At each subsequent status meeting, the risk(s) will be reviewed until the risk(s) can be closed.

2. Action Items

Action items are unplanned tasks that occur during a project that are too small to be added to the schedule. These items must be within the scope of the project and are often tasks that support scheduled tasks, issue resolution, risk management, or some other aspect of the project. The action item log is created and maintained as part of the project tracking log.

Action items will be managed in the following manner:

- During status meetings, any stakeholder can raise an action item for discussion.
- The project team will discuss the action item and determine if it warrants being monitored in the action item log.
- The project management office staff will enter the item in the log.
- The team will set the priority for the action item (high/medium/low), assign an action item owner, and set a planned completion date.
- At each subsequent status meeting, the action item(s) will be reviewed until they can be closed.

3. Issue Management

An issue is defined as a current situation or event that must be resolved to avoid adverse impact to the project. Issues can originate from a risk that has materialized. The PMO will document all issues that are brought up in meetings.

When issues arise, they need to be resolved in a disciplined manner in order to maintain the quality of the work products and control the schedule and costs. The issue resolution process verifies differences, questions, and

unplanned requests are defined properly, escalated for management attention, and resolved quickly and efficiently.

The issue resolution process is intended to handle technical problems, requirements, or issues/conflicts, as well as to address process, organizational, and operational issues of the engagement.

Issues will be managed in the following manner:

- During status meetings, any stakeholder can raise a potential issue for discussion.
- The project team will discuss the potential issue and determine if the item is indeed an issue.
- If the team determines the item is an issue, the project management office staff will enter it in the issue log.
- The team will discuss resolution steps, assign who will own the issue item, and set a target date for resolution.
- At each subsequent status meeting, the issue(s) will be reviewed until they can be closed.

4. Decisions

Decisions are leadership answers to questions that arise during the project. The decision log is created and maintained as part of the project tracking log.

Decisions will be managed in the following manner:

- During status meetings, any stakeholder can raise a question that requires a decision.
- If the team determines a decision needs to be made, the project management office staff will enter it in the decision log.
- The team will discuss the impact to the project, assign a decision maker, and set a date for when the decision is needed.
- At each subsequent status meeting, the decision item(s) will be reviewed until they can be closed.

SCHEDULE IV-B FOR STATEWIDE ELECTRONIC CAMPAIGN FINANCE REPORTING SYSTEM

For Fiscal Year 2024-25

September 15, 2023

FLORIDA DEPARTMENT OF STATE

Table of Contents

Acronym Table

Acronym	Definition
ACID	Atomicity. Consistency. Isolation. Durability
ADA	Americans with Disabilities Act
APIs	Application Programming Interfaces
BER	Bureau of Election Records
CANCOM	Candidate and Committee Application (Microsoft Access)
COMOFF	Commissioned Officer Database
CBA	Cost Benefit Analysis
CP	Communication Plan
DLL	Dynamic Link Library
DOE	Division of Elections
DOS	Florida Department of State
EFS	Electronic Filing System
EOG	Executive Office of the Governor
F&A	Finance and Accounting
FEC	Florida Election Commission
FES	Florida Election System
FTE	Full-time Employee
FVRS	Florida Voter Registration System
IA	Change Impact Analysis
IT	Information Technology
IV&V	Independent Verification and Validation
KPIs	Key Performance Indicators
LRPP	Long Range Program Plan
OCM	Organizational Change Management
PDF	Portable Document Format
PII	Personally Identifiable Information
PM	Project Manager
PMO	Project Management Office
PO	Purchase Order
RSS	Really Simple Syndication
SFTP	Secure File Transfer Protocol
SLA	Service Level Agreement

Acronym	Definition
SOE	Supervisor of Elections
SSO	Single Sign-On
SWOT	Strengths, Weaknesses, Opportunities, and Threats
UAT	User Acceptance Testing
UI	User Interface

Executive Summary

This Executive Summary provides a high-level overview of this Schedule IV-B for the modernization of the Florida Department of State's (DOS) Electronic Campaign Finance Reporting System. The summary includes a problem statement, key issues with the current system, and the recommended solution for system modernization.

Statement of the Problem

The Florida Election System (FES) supports work performed by the Bureau of Election Records (BER) within the Division of Elections (DOE) and provides public access to election and campaign finance records to promote greater transparency at all levels of government. Work performed within BER is governed by a myriad of state and federal laws and regulations. Chapters 99, 102, 103, 105, and 106 of the Florida Statutes are provisions of state law that significantly impact daily operations.

FES consists of a multitude of Microsoft Access programs, the candidate and committee campaign finance reporting electronic filing system (EFS) website and public websites. The current EFS website is 18 years old and was launched in 2005. Some of the [redacted] programs comprising the legacy FES system date back to 1995 with upgrades occurring periodically (the last being to [redacted] 2016). Modernization is needed and requires modification to improve system security, accommodate user needs, and be sustainable for the foreseeable future. FES legacy system capabilities are no longer capable of efficiently and effectively supporting current business functions or future business needs.

The FES platform is not scalable and is unable to support integration with current or emerging technology. Workflows are not automated, and many essential business functions supported by legacy system applications and databases still require the performance of manual tasks (e.g., processing paper registrations, oath documents that require original signatures, check processing, and data entry from paper forms). Technical constraints and inefficiencies of the legacy FES applications largely dictate current business procedures and workflows. BER desk procedures are written more as guidance for navigating FES screens and applications than for describing operating policies, procedures, and process outcomes.

The legacy FES system currently operates as a multifunctional system with many back end and public-facing components. The most basic objective of the FES system is to support work performed by BER in a manner that satisfies compliance requirements of governing laws and regulations. Highly visible public-facing components of the legacy system accessible via the Department's website include:

- Campaign Finance Database – database that provides information on campaign finance and access to campaign finance records.
- Candidates and Races Database – database to track candidates for federal, state, judicial, multi-county, and special district offices for future and past elections.
- Campaign Documents Database – database of filed campaign documents that include qualifying documents, correspondence, audits, and Florida Elections Commission activity on file with DOE.
- Committee Database – database containing records of political committees and other registered groups.

Key stakeholders of the current system include:

- **Filers** - any individual or entity that must register to file treasurer reports with DOE, such as:
  - Candidates
  - Political Parties
  - Affiliated Party Committees
  - Political Committees
  - Electioneering Communications Organizations

- **The Public**
  - Citizens
  - News Media
  - Civic Organizations
  - Academics (Students / Researchers)

- **Florida Elections Commission –** The Florida Elections Commission (FEC) is the administrative agency charged with enforcing Chapters 104 and 106 of Florida's Election Code.

- **DOE and SOE Staff**

- **Software Vendors** - Application systems and DOS-approved vendor software used by filers.

Key Issues to Be Addressed

Key issues to be addressed in this Schedule IV-B relate to technology upgrades that are grouped into five categories of project objectives: functionality, system architecture, workflows, interfaces, and contract provisions (related to the vendor's design, development, and implementation of a new modernized system solution replacing the current legacy system). A high-level sampling of enhancements and upgrades needed to address current system limitations, constraints, or deficiencies in each of those categories includes the following:

- **Enhanced User and Customer Interfaces**
  - County Interface: The proposed system shall update the interfaces for counties to enter candidate and initiative petition signatures through the Supervisor of Elections Portal.
  - Improved Training: The proposed system shall provide training on its use for both internal and external users that does not require leaving the system or viewing a separate PDF or other training document.
  - Help/FAQ: The system shall provide chatbot functionality and/or help area where frequently asked questions (FAQ) are answered.

- **Improved Functionality to Accommodate Business Needs**
  - Automation: The proposed system shall automate as many processes as practicable to reduce filing errors, improve data quality, and strengthen compliance. The reduction of time spent on manual, paper-based processes shall be accomplished through automation of the online candidate/committee qualification process, the creation of online registration, and user credentialing. Automation of compliance audits will improve data quality and integrity. Electronic correspondence for notifications with acknowledgment from the entity will ensure timely receipt and provide a correspondence log. The provision of an automated online portal shall also provide secure 24/7 filing access.
  - Electronic Payment Processing: The proposed system shall include the ability to issue fees and fines and receive payments electronically and eliminate the need for processing paper checks manually. This system will then reduce the processing cost of payments, as well as reduce or eliminate insufficient funds transactions.
  - Enhanced Automated Compliance Audit Functionality: The proposed system shall provide for accelerated statutory audits via business rules for automated compliance and parameter-driven queries.

- **Modernized System Architecture**
  - System Integration: The proposed modernized system shall provide a web-based API to support standardized integration as well as providing a layer of abstraction between client applications and databases.

  - Enhanced System Security: The proposed modernized system's architecture shall include optimal security measures in support of current operating system and web server versions to ensure all recent security patches are available.
  - Operating System Agnostic: The proposed modernized system shall support automating software deployment, scaling, and management of containerized applications.

- **Workflow Management Tools**
  - Workflow Integration: Eliminate need for email, phone, and parallel file system.
  - Data Capture: Push more input functions to end-users via online features.
  - Process Improvement: Simplify and streamline process flows.
  - Workflow Enhancements: Create prompts / notifications and "in-app" help/instructions to guide users, e.g., "info" icon.
  - Change Control: Establish clear change control processes, roles, and approvals.
  - Efficiency and Effectiveness: Reduce duplicative work.

- **Improved and Well-Defined Contract Provisions** (service- level requirements relating to design, development, support, operations, and maintenance)
  - System Documentation: The proposed modernized system shall include as-is and to-be visualizations of the system such as process maps or workflow diagrams with sufficient detail to make future network and application changes.
  - System Cost: The proposed modernized system shall have a year-over-year cost of ownership that is constant after the modernization is complete. Critical measures include monthly hosting costs for any cloud services and maintenance costs.
  - Continuous Quality Improvement: The proposed modernized system shall support working a backlog of future features, updates, and enhancements.
  - Cost Visibility: The proposed modernized system shall provide full visibility of costs incurred in a real-time fashion.
  - UI-Based O&M: The proposed modernized system shall allow completion of all routine operation and administration activities through the user interface as opposed to requiring direct database interaction or scripted activities.

Recommended Solution

- The recommended system solution proposes replacing the current system with a modernized architecture and code base that will enable the best-in-class benefits of a solution for Florida DOS and Electronic Campaign Finance Reporting.
- The proposed solution will result in a strategic rewrite and replacement of the technical software components of the current system using vendor-based solutions. The Department's desire is to maintain possession and control of the code base for functionality related to data capture, storage, and retention. This is a policy imperative that will limit the scope of options that include third-party software product components and libraries. The resulting application will meet the Department's business needs for a system that is seamlessly integrated with external entities to help facilitate information sharing with counties. Furthermore, the resulting system will be more cost effective and secure than its predecessor. It will be built upon a modern architecture foundation, enhancing efficiency, and reducing the risk of technical obsolescence that exists in the current legacy system. The resulting system will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements.
- The proposed system modernization project will be four years in length, with planning during the first six months and full production deployment during the last six months. The remaining three years consist of iterative development executed through sprints of two-to-four weeks covering the full Software Development Life Cycle (SDLC). In accordance with the State of Florida's cloud-first policy set forth in Rule 60GG-4.001, F.A.C., technology enhancements will focus on updating the code base and migrating to

the cloud. The proposed replacement system and its components should be developed and refreshed in iterations to allow for user testing and modifications.

- Design, development, and implementation of the proposed replacement system solution will require effective project management and organizational change management (OCM) to address foreseeable challenges, assumptions, and constraints. Assumptions and foreseeable constraints are identified in Section 2.3.2, Assumptions and Constraints.
- The Department's total estimated costs for the recommended modernized system solution over the project timeline are $4,138,240.
- The Implementation Roadmap shown in Figure 1 – Proposed Solution Roadmap illustrates the high-level processes, activities, and configurations that are key components in delivering a successful solution. Details regarding the activities illustrated in the roadmap are explained further in the Recommended Business Solution .

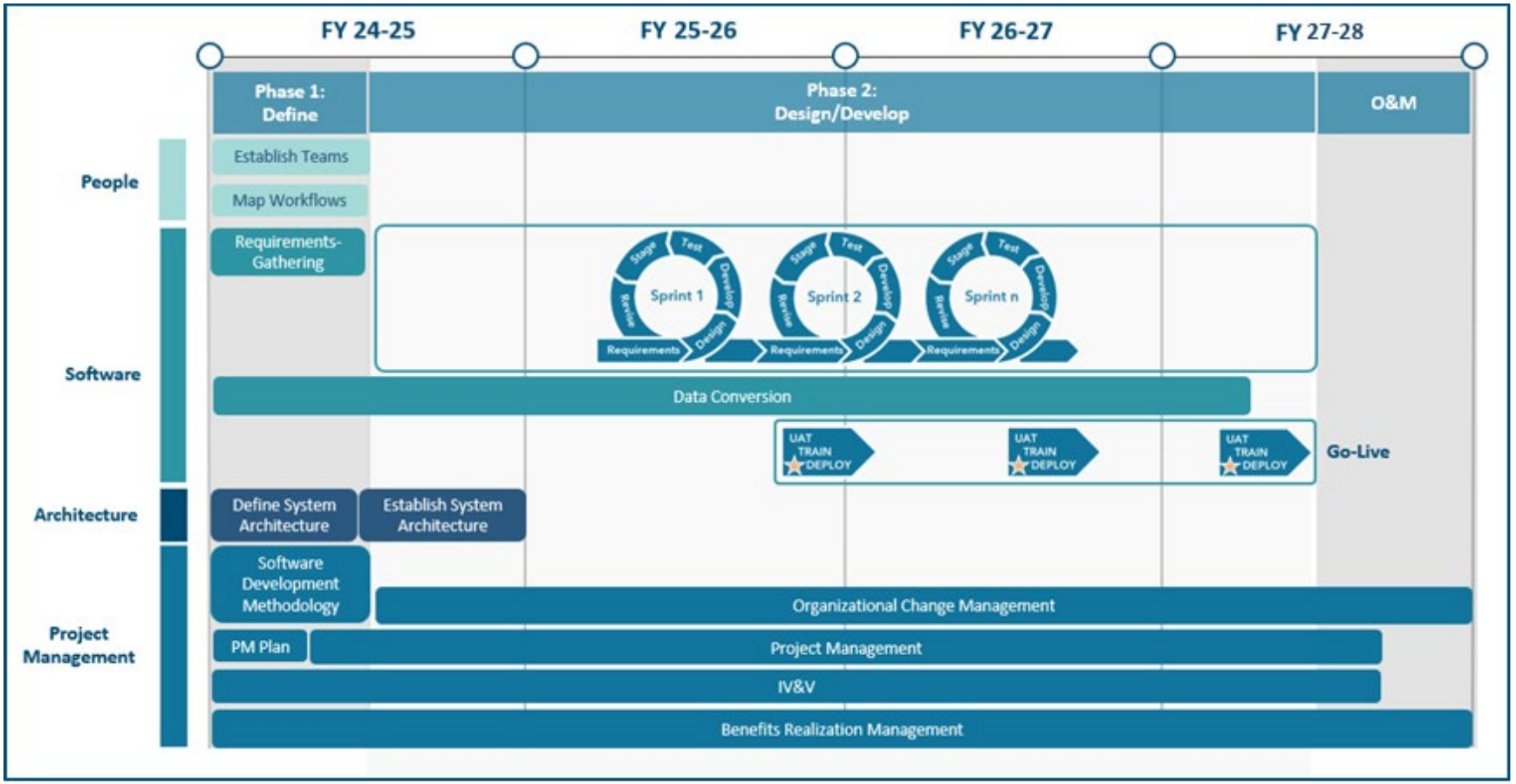


Figure 1 – Proposed Solution Roadmap

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

A. Background and Strategic Needs Assessment

The Florida Department of State (DOS) is a multi-faceted state government agency whose stated mission is to improve the quality of life for all Floridians. The Department collects Florida's vital public records and preserves its rich historical and cultural heritage for future generations. It helps to promote economic development and create a competitive business climate for the state through a business-friendly corporate filing environment, grant programs that benefit all communities, enrichment of public libraries statewide, and support for events that attract tourism. Finally, the Department contributes to the establishment of a stable and open state government by providing access to information and protecting democracy through the oversight of fair and accurate elections.

Under executive direction of the Secretary of State, the Department is comprised of seven organizational units listed below and illustrated in Figure 2: Department of State Organizational Units.

1. Division of Administrative Services
2. Division of Arts and Culture
3. Division of Corporations
4. Division of Elections
5. Division of Historical Resources
6. Division of Library and Information Services
7. Office of Election Crimes and Security

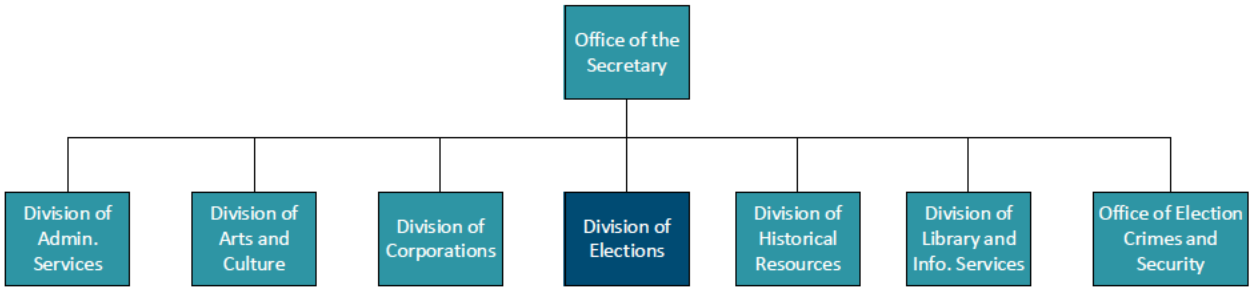


Figure 2: Department of State Organizational Units

The scope of this Schedule IV-B will focus on the business-related need(s) of the current legacy system that support the work performed by the Bureau of Election Records (BER) within the Division of Elections (DOE.

DOE provides administrative support to the Secretary of State, Florida's Chief Election Officer, to ensure that Florida has fair and accurate elections. The division is responsible for uniform interpretation and implementation of Florida's election laws and for promoting public participation in the electoral process. DOE focuses its priorities on three primary areas: electoral participation, election law compliance, and elections administration. As described below and illustrated in Figure 3, the Division of Elections is organized into a director's office and three bureaus.

- **Director's Office** is responsible for the statewide coordination and direction for the interpretation and enforcement of election laws, as required by Florida statutes, and provides supervision to the division's bureaus. The office oversees several programs including constitutional amendment newspaper and booklet publication, initiative petition and circulator registration, special salary qualification, and mail ballot

requests. It also oversees fiscal administration of state and federal grants made available under the Help America Vote Act.

- **Bureau of Election Records** (BER) is highlighted within Figure 3 below for convenience of reference. BER handles candidate and political committee filings, including campaign finance and qualifying papers and conducts audits. It oversees the Public Campaign Finance Program and the Notices of General Elections for statewide elections. BER processes commissions of office for elected and appointed officials on behalf of the Governor. The FES system is the primary operating system for activities performed by BER and includes campaign finance databases to ensure public access to election records and campaign finance transparency. BER also administers the Public Campaign Matching Funds program whereby statewide candidates (Governor, Chief Financial Officer, Attorney General and Commissioner of Agriculture) can receive matching campaign funds.

- **Bureau of Voter Registration Services** (BVRS) coordinates and manages the official statewide voter registration system wherein supervisors of election can register and remove voters. BVRS facilitates ineligibility review and forwards credible findings to the appropriate local Supervisor of Elections (SOE). BVRS provides informational assistance to the general public through the Voter Assistance Hotline and public email inboxes, including general voter registration matters and support for the online voter registration system. BVRS also oversees the voter registration agencies under National Voter Registration Act.

- **Bureau of Voting Systems Certification** implements Florida's voting systems certification standards for all voting systems in Florida and provides technical assistance to county supervisors of elections on voting systems and automated audits.

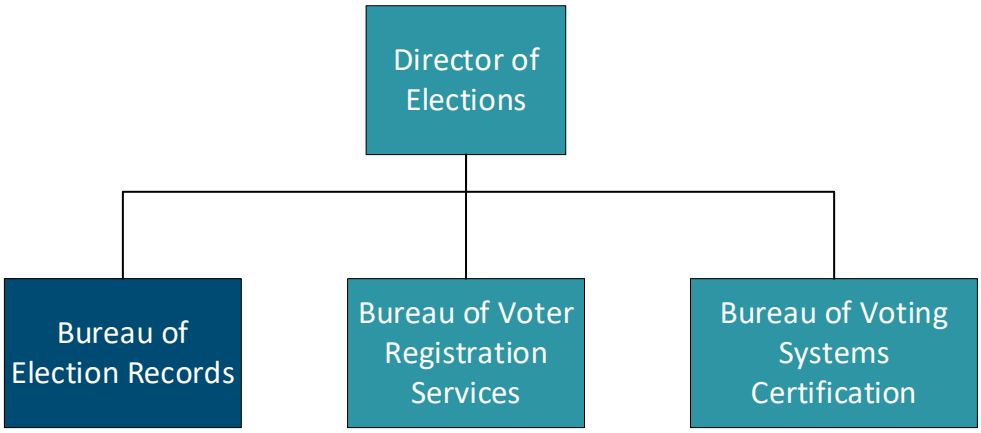


Figure 3: Division of Elections

1. Business Need

This document will focus almost entirely on the business-related needs of the legacy FES system that support the work performed by BER. Work performed within BER is governed by a myriad of state and federal laws and regulations. Chapters 99, 102, 103, 105, and 106 of the Florida Statutes most significantly impact daily operations.

The most basic objective of the FES system is to support work performed by BER in a manner that satisfies compliance requirements of governing laws and regulations. Among back-end component subsystems or applications of the FES system that support mission-critical needs are the following:

- **Candidate/Committee (CanCom) Application** – Registration application that includes names, addresses, telephone numbers for candidates, treasurers, deputy treasurers, chairpersons, and registered agents. Information in CanCom includes registered candidate or entity account by election year, office/district/circuit/group (as applicable), and party affiliation for candidates. CanCom also includes the purpose (e.g., candidates and/or issues) for registered committees.

- **Campaign Finance Database** – A database of registered candidates, committees, electioneering communications organizations, and political parties who are required by statute to electronically file their financial reports. Information related to campaign finance reports is captured, stored, and maintained in the Campaign Finance Database and is made available to the public via a searchable web portal within the Department's DOE web site.

- **User Portal for Filing Campaign Reports** – Candidates and political organizations are required by state law to electronically file certain campaign reports throughout the election cycle via the Electronic Filing System (EFS).

- **Officeholder Statements of Solicitation** – Application that captures required filings that include names of certain officeholders who solicit or accept contributions from organizations exempt from taxation under §527 or §501(c)(4) of the Internal Revenue Code.

- **Public Campaign Finance** – Application and component within FES database. Candidates for governor and cabinet offices can receive matching funds for individual contributions from Florida residents of up to $250.

- **Audits and Untimely Filings** – Applications used to notify filers when they have failed to file a report or assess fines for reports filed late; create and record required compliance audits related to campaign finance reports, run contribution versus expenditure reports, track notices of audits, run petty cash reports, and run excessive contribution reports (contributions for general and primary that exceed statutory limits). Referrals may be made to FEC.

- **Finance** – Application to record funds received for qualifying fees or fine payments.

- **Systems O&M** – Support functions include report definition, candidate petition parameters or thresholds, digital signatures, password and PIN maintenance, imaging, confidentiality, and redacting.

- **Commissioned Officer (ComOff) Application** – Records an entire history of elected or appointed commissioned officers. ComOff records name, residential address, business address, office held, dates of office, board, dates of oath/fee/questionnaire, as applicable. Although not related to Chapter 106, Florida Statutes, (Campaign Financing), this database supports functions of the Office of the Secretary required to be performed pursuant to Chapter 113, Florida Statutes (Commissions), as well as a multitude of statutory provisions that apply to commissioning requirements for appointed officials serving on state, regional, or local boards, commissions, or other public entities.

Public-facing components and key stakeholders of the current legacy system were described in the Executive Summary.

To address limitations and inefficiencies of the current system, functional and technical requirements, success criteria, key performance indicators (KPIs), and benefits of a new replacement system have been organized into the following five categories listed below and illustrated in Figure 4.

- Enhanced User and Customer Interfaces
- Improved Functionality to Accommodate Business Needs
- Modernized System Architecture

- Automated Workflow Management
- Well-Defined Contract Provisions (for design, development, support, and maintenance)

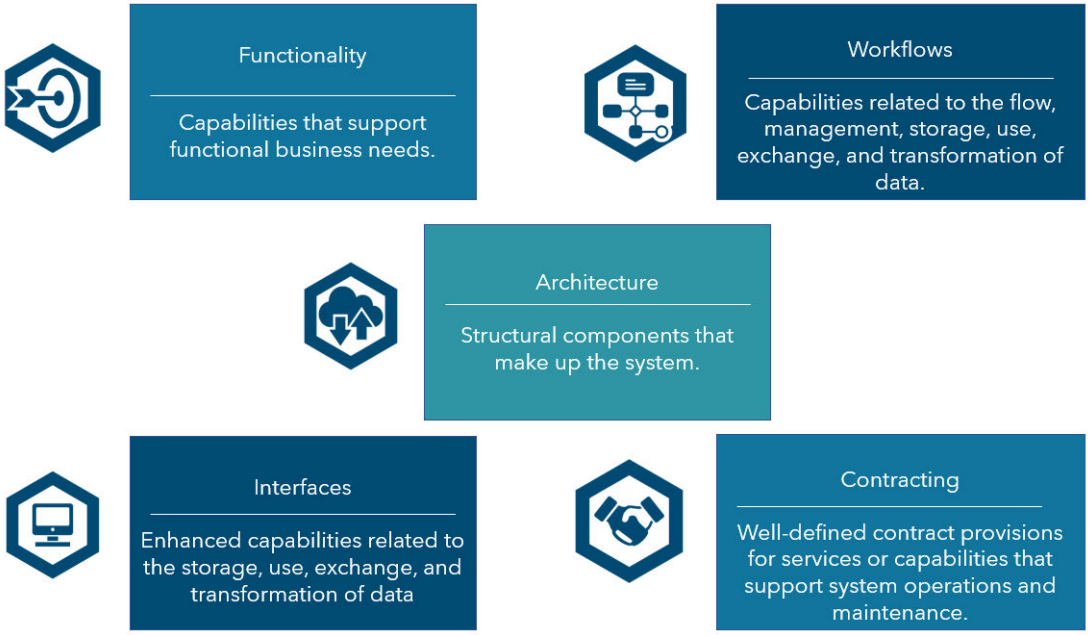


Figure 4 – New System Requirements Categories

2. Business Objectives

Modernization and replacement of the current legacy system is consistent with the Department's strategic direction set forth in its Long-Range Program Plan (LRPP), guided by the state's budget policy, legislative mandates, and the Governor's priorities (which include promoting greater transparency at all levels of government). The following section outlines important business objectives of the proposed project and provides an overview of how the objectives directly relate to DOS goals, policy objectives, statutory requirements, and the measures utilized to track the success of current and future performance. Project scope, governance structure, and estimated timeframes are discussed in future sections.

The overarching business objective of FES system modernization is to better support the Department's mission, vision, goals, and objectives. In furtherance of its mission, it is the Department's objective to continue to bolster its technical infrastructure as needed to implement security enhancements and improve public access to election records and foster campaign finance transparency. The Department's long-range goals related to BER and the associated objectives for each goal are shown in Figure 5 below.

	Goal	Objective
1	Foster campaign finance transparency	**OBJECTIVE 1A:** Modernize web portal and enhance public access to the Campaign Finance Database, Candidates and Races Database, Campaign Documents Database, and Committees Database.
		OBJECTIVE 1B: 95 percent of campaign finance reports audited for completeness within 5 days after due date of the campaign finance report.
2	Bolster the Department of State's technical infrastructure	**OBJECTIVE 2A:** Modernize System Architecture (with security enhancements).
		OBJECTIVE 2B: Improve functionality to accommodate business needs (including elimination of paper forms, letters, and check processing).
		OBJECTIVE 2C: Automate workflow management (including automated compliance controls, system-generated alerts, and customizable deadlines / date ranges for expiring commissions).
		OBJECTIVE 2D: Enhance User and Customer Interfaces.
		OBJECTIVE 2E: Negotiate well-defined contract provisions (for design, development, support, and maintenance).
3	Improve Customer Service	**OBJECTIVE 3A:** Introduce automated user assistance and 24/7 help features such as chat bots.
		OBJECTIVE 3B: Expand sort and filter capabilities to accommodate greater customization of searchable campaign finance, candidate, and committee data.

Figure 5 – Department Goals and Objectives For BER

The Department's goals are directly advanced by implementation of a modernized replacement system, with both tangible and intangible benefits expected. Those benefits are outlined in Section VI of this document. A brief listing of FES system replacement objectives is given below:

- Develop replacement system functionality to accommodate business needs.
- Replace FES with modern system architecture.
- Improve and expand automated workflow management.
- Enhance User and Customer Interfaces.
- Adopt well-defined contract provisions for new system development, support, and maintenance.

The FES system modernization will apply proven best practices and employ state-of-the-art technology to maximize efficiency and improve performance outcomes. In support of these objectives, and with recommended system changes, DOS will:

- Implement a system that continues to fully comply with state and federal laws, regulations, and be able to adapt to changing policy landscapes quickly with less expense.
- Improve internal and external security.
- Standardize and maximize business processes and tools to achieve efficiency and leverage capacity to keep pace with the prevailing workloads.
- Provide report customization capabilities.
- Provide automated data population and cascading of data between input screens to improve productivity and data integrity.
- Implement a system that efficiently interfaces with external integration points to obtain and share data needed to determine compliance, verify information, and streamline the registration and filing processes.
- Provide simultaneous access to data among various users.
- Implement a process or workflow management tools to store data for internal and external users.
- Automate resource assignments and re-assignments for required work based on the process flow.
- Prioritize workflow management alerts to bring important items to the top of alert notifications.
- Allow staff and supervisors to monitor assigned work in real-time to efficiently manage time and staff resources.
- Allow management to monitor the assignments of workers more effectively under their supervision.
- Eliminate duplicative data entry between different systems or different applications within the same system.
- Better support staff training if indicated.

B. Baseline Analysis

1. Current Business Process(es)

For purposes of performing campaign finance functions required to satisfy the provisions of Chapter 106, Florida Statutes, there are currently three high-level functions supported by the current legacy system, including submission, administration, and public reporting. Submission is an initial process by which candidates and committees input their contributions, expenditures, and other required campaign finance data. Second, Administration involves verification, recording, and maintenance of data entered manually by Division of Elections staff. Third, Public Reporting is the public search / lookup application which offers a public window into the campaign finance data submitted by the candidates and committees. All three high-level campaign finance functions (Submission, Administration, and Public Reporting) are visually represented below in Figure 6.

High-level process maps for selected key back-end processes and "Submitting a Campaign Finance Report via EFS" are included in Appendix C.

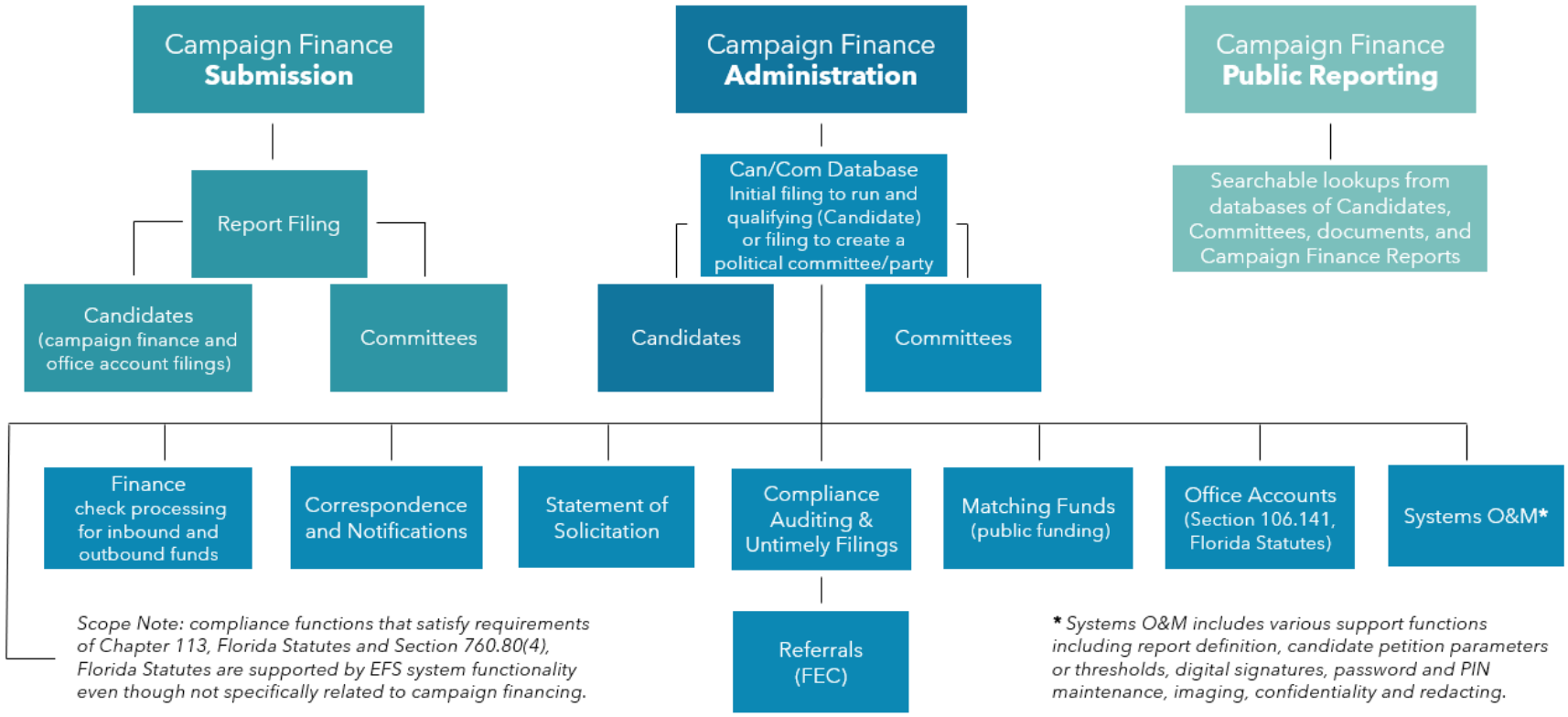


Figure 6 – Processes Supported by Current System Components

Campaign Finance Submission

Functionality related to Campaign Finance Submission supports processes necessary to accommodate timely and accurate filing of statutorily required campaign finance reports by candidates and political committees. Candidates and political organizations are required by state law to electronically file certain campaign reports throughout the election cycle. Electronic filing of required reports is done via a web portal and captured in a Campaign Finance Database (together, the Florida Statewide Electronic Campaign Finance Reporting System). Filings include initial reports, amended reports, termination reports, and office accounts reports required by Section 106.141, Florida Statutes (transfer of surplus funds from a campaign account to an office account).

Campaign Finance Administration

Functionality related to Campaign Finance Administration supports the following business processes:

- Processing and recording of initial filing to run and qualify (for candidates seeking elected office) and filings to create a political committee or political party. Registration includes names, addresses, telephone numbers for candidates, treasurers, deputy treasurers, chairpersons, and registered agents. Information captured in this process can also include registered candidate and entity accounts by election year, office/district/circuit/group (as applicable), and party affiliation for candidates. The CanCom application supporting this process also captures the purpose (e.g., candidates and/or issues) for registered committees. Processing of filing documents is currently done by hard copy (paper) documents either mailed or hand delivered.

- Campaign finance report administration involves a multitude of tasks including email reminders for upcoming reports, notices for failure to file a report or reports filed late, performing required compliance audits related to campaign finance reports, running contribution versus expenditure reports, tracking notices of audits, running petty cash reports, running excessive contribution reports (contributions for general and primary that exceed statutory limits), and monitoring untimely filings. Audit findings may result in referrals to the Florida Election Commission (FEC).

- Processing and recording required filings of Statements of Solicitation that include names of certain officeholders who solicit or accept contributions from organizations exempt from taxation under s.527 or s.501(c)(4) of the Internal Revenue Code.

- Administering provisions of Chapter 106 related to public campaign financing for candidates seeking the office of Governor or statewide Cabinet offices who desire to receive contributions (public matching funds) from the Election Campaign Financing Trust Fund. Functions performed pursuant to Section 106.33, Florida Statutes, include reviewing requests for public matching funds, eligibility determinations, and postelection audits. Functions performed pursuant to Section 106.34, Florida Statutes, include certifying the total number of Florida-registered voters no later than July 31 of each odd-numbered year (for purposes of determining total expenditure limits for candidates who request contributions from the Election Campaign Financing Trust Fund). Functions performed pursuant to Section 106.35, Florida Statutes, include reviewing each requesting candidate's campaign finance report and verifying the amount of funds to be distributed prior to authorizing the release of funds. DOE must also adopt rules providing for the weekly reports and certification and distribution of public matching funds. Such rules shall, at a minimum, provide specifications for electronically transmitted campaign treasurer's reports outlining communication parameters and protocol, data record formats, and provisions for ensuring the security of data and transmission.

- Administering the provisions of Section 106.141, Florida Statutes, involving the transfer of surplus funds from a campaign account to an office account.

- Generating and storing correspondence and required notifications related to business process and required compliance activities.

- Performing finance functions related to inbound and outbound checks, e.g., reconciling checks received for payment of fines, payments for copies, and payments of qualifying fees. Finance functions involving check processing performed under the current system involve multiple manual steps and are cumbersome, outdated, inefficient and susceptible to human error. For example, the applicable candidate or committee account ID must be entered, along with check information. FES pulls the candidate or committee name and report information from the CanCom application. The check is reconciled with the appropriate budget codes and a report is run to attach with the checks. A deposit slip is completed and then routed along with checks to Finance and Accounting (F&A) for deposit. Copies are kept for internal records. Acknowledgement of payment letters and copy of the checks are imaged.

- Systems operations and maintenance (O&M) includes various support functions, including report definition, candidate petition parameters or thresholds, digital signatures, password and PIN maintenance, imaging, confidentiality, and redacting.

Campaign Finance Public Reporting

Pursuant to §106.0705, Florida Statutes, candidates, committees, and electioneering communications organizations registered with this state must file their financial reports in the DOE electronic filing system (EFS). Information related to campaign finance reports is captured, stored, and maintained in the Campaign Finance Database and is made available to the public via a searchable web portal within the Department's DOE web site.

Other Key Business Processes Supported by FES

Although not related to campaign financing, compliance functions related to commissioning of elected and appointed individuals are supported by various Access application. Processing commissions represents a significant, albeit lesser-known work effort within BER, estimated by the Bureau Chief to represent as much as 30% of BER's total work effort per year. The commissioning process described more fully in the paragraphs below primarily involves a series of manual tasks supported almost entirely by FES. Workflows are not automated, and current system functionality is largely limited to data capture and retention.

Compliance functions related to commissioning are governed in large part by Chapter 113, Florida Statutes, and Section 760.80(4), Florida Statutes, but also by an assortment of other statutes, county charters, home rule charters, municipal ordinances, executive orders, Laws of Florida, and sections of Articles within the Florida Constitution. The decentralized governance structure limits the ability of BER to proactively manage commissions and frequently requires BER to react and respond when countersigning commissions.

Another complexity of commissioning occurs when vacancies arise during the term of an elected official. In certain circumstances, a successor is appointed (and must be commissioned) to fill the vacancy of an elected official, but not necessarily for the remainder of the term for the vacated position. In some instances, the appointed successor might only be appointed and commissioned to serve until the next election cycle for that office (which may be prior to the end of the term for the vacated seat). FES does not have a business rules engine or configurable expirations that allow BER to proactively manage such situations and prevent commissioning gaps without manual research and staff input.

Because the commissioning process is not described in any detail within the Department's website or internal documents, its impact and importance may not be understood by the general public, as well other processes directly supporting Chapter 106 campaign finance functions. The impact of the commissioning process (as part of the overall workload of BER) is illustrated in Figure 7, which provides a visual sampling of 11,001 commissioned public officials serving in a broad range of elected and appointed positions and demonstrates how the lives of Floridians are impacted multiple times every day by commissioned public officials. Since there is no public access to commissions via the Division of Elections website, all information requests, including public records requests, must be handled manually by BER staff.

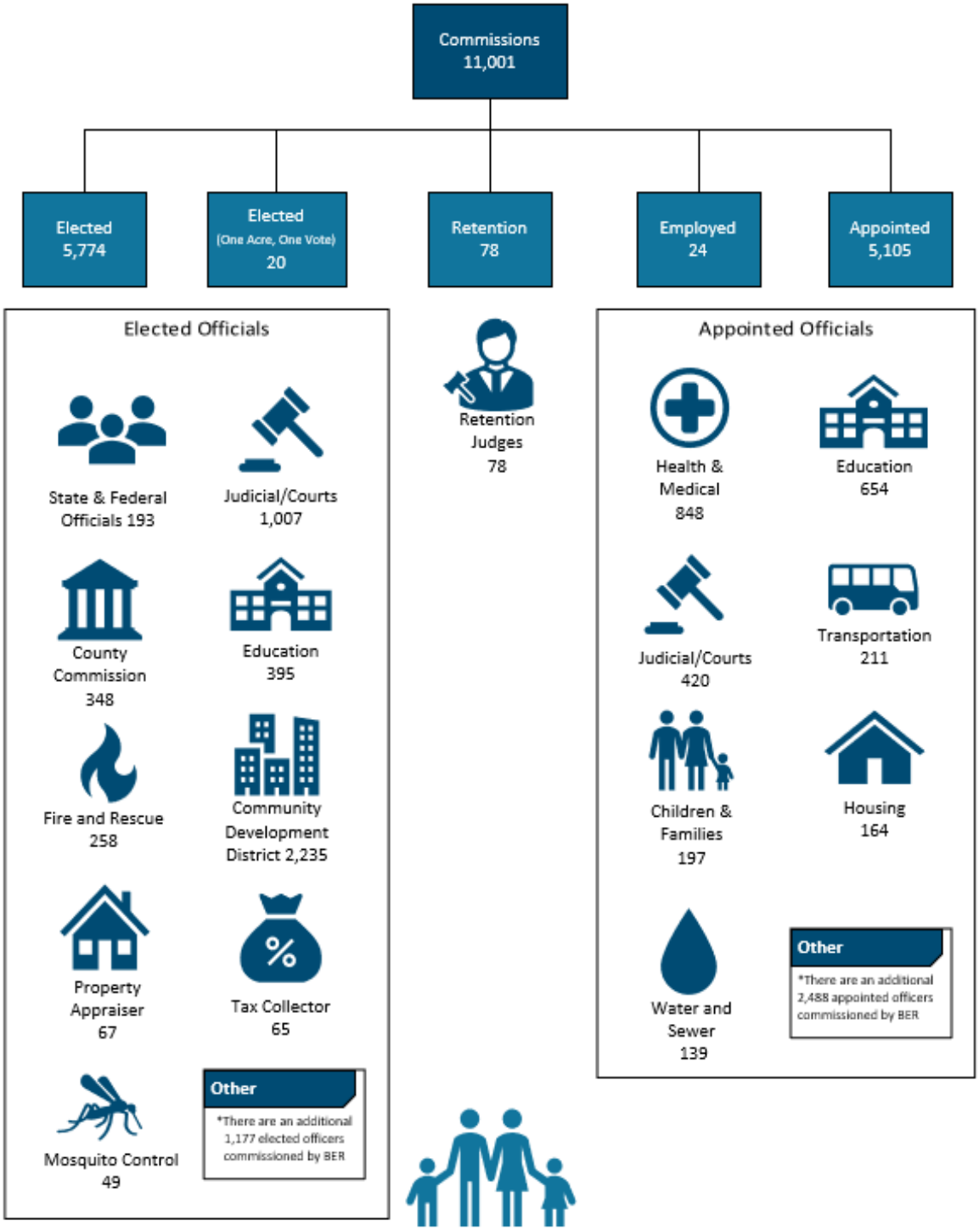


Figure 7 – How Commissions Impact the Daily Lives of Floridians

2. Assumptions and Constraints

This section identifies unique business conditions observed, including any departmental, state, federal, or industry standards that might limit the range of reasonable technical alternatives. Also addressed are assumptions and constraints that might impact expected outcomes of the proposed solution.

Assumptions:

The following assumptions are statements about the project or its environment that are taken to be true and, accordingly, are factored into DOS's plans and analysis for the proposed project.

- Stakeholder commitment to achieving project objectives is assumed.
- The DOS IT staff and program staff will be mutually aligned in their commitment to increase efficiency and effectiveness through process automation, reduce manual steps that rely on the use of ad-hoc tools and processes, enhance workflow management, improve data integrity, data quality, and data security, and allow for more detailed and robust reporting to strengthen operational compliance.
- The DOS will deploy Organizational Change Management (OCM) activities required to successfully implement the recommended solution.[1] Because system and software documentation of the current legacy system does not exist or is incomplete, the OCM process should include a comprehensive impact Analysis (IA) of design details and risks associated with the proposed solution for system modernization. IA scope should encompass both Traceability IA (links between requirements, specifications, design elements, and tests are captured, and these relationships can be analyzed to determine the scope of an initiating change) and Dependency IA (linkages between parts, variables, logic, modules, etc. are assessed to determine the consequences of an initiating change).
- Any gains in operational efficiency that the Department realizes through these efforts will be used to reallocate additional resources to value-added activities such as improving internal system operations and maintenance (O&M), enhancing workflow and caseload management, applying advanced analytics to enhance preventive enforcement efforts, and improving customer service.
- A suitable architecture model can be identified to facilitate timely and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
- The DOS project team will be adequately staffed and augmented if needed to accomplish the project's deliverables, milestones, and infrastructure, manage user involvement, ensure proper testing, produce necessary project planning documents, project status reporting, and complete other project management tasks.
- Migration from multiple systems and/or databases will be required.

[1] Although the central focus of this Schedule IV-B is system modernization, a much broader business transformation effort (supported by system modernization) is indicated by the nature of approved project objectives, success criteria, and functional and technical requirements. Business processes will need to be fundamentally altered and restructured to adapt to present day and foreseeable future business needs. Effectively managing and aligning change between essential business processes and technology modernization will be critical to the overall success of the project and to the achievement of the Department's project goals and objectives. Adherence to tenets of a generally accepted change management model or methodology will help to increase the likelihood of successful execution for business and technology modernization efforts. For additional insights on the importance of effective change management in IT projects, see: McKinsey on Change Management - YouTube; Lessons From 169 SAP Implementations Using Service Providers in North America (gartner.com); Gartner Study Finds Companies Under-Invest in Organizational Change Management – Emergent Journal (emergentconsultants.com);, How to Make and Manage Organizational Change That Lasts - Cask (casknx.com); PUT THE RIGHT CHANGE MANAGEMENT BUDGET ASIDE (linkedin.com). For an example of a change management model and methodology, see: https://www.prosci.com/methodology/adkar

- The Schedule IV-B will result in sufficient funding or spending authority necessary for implementation of the proposed modernized system.
- The required state government and internal staff resources with the necessary skill sets will be available throughout the project.
- Collaborative partnerships will enhance the success of the project.

Foreseeable Constraints:

Constraints are identified factors that will limit the project management team's options and affect the progress or success of the proposed project.

- Project funding is subject to an annual budget process and may also be subject to periodic releases of funds throughout a given fiscal year (depending upon suitable schedule and cost performance).
- All schedules and project timelines are dependent on the continuous availability of funds.
- Full implementation of enhancements related to Election Campaign Financing provisions of §§106.33 – 106.36, Florida Statutes, must occur prior to December 31, 2025.
- Information requests from external oversight agencies and partners may be time-consuming and could materially affect the project timelines.
- State and/or federal statutory changes, changes in administrative rules, and DOS policy changes could materially impact the project outcomes and project timelines.
- If contracted system integration services become necessary for successful implementation of the proposed solution, software tools supporting desired capabilities will be determined or influenced based on needs identified by the selected system integration vendor.
- The current security and privacy control framework must be maintained.

C. Proposed Business Process Requirements

1. Proposed Business Process Requirements

The purpose of this section is to identify the proposed business process requirements for a new system. Though the existing legacy system allows BER to perform required work, it offers limited capabilities for supporting the staff in the most efficient and effective way. Design and functionality of the current legacy system relies heavily upon manual, paper-based processes and procedures which introduce increased risks related to data security and human error. As depicted in the current business processes outlined in the Baseline Analysis above, there are several processes that are currently performed manually that require optimization through automation and system modernization. The future system would encompass a larger suite of functionality that would fully replace the existing legacy system and would provide a scalable, flexible solution for accommodating and managing the flow of incoming information, automating manual processes, enhancing efficiency, improving collaboration with external entities, increasing the ability to meet statutory requirements, improving search and reporting capabilities, affording opportunities to track performance metrics, and improving the overall customer experience. The new modernized system would also be designed in a fashion that would enable BER greater control over managing, maintaining, and enhancing the system without requiring considerable vendor support.

The following section provides an overview of the business process requirements that the system initiatives would support. These high-level requirements are a starting point for a more detailed requirements gathering and elaboration which will be conducted during the Definition Phase of the proposed project.

The information below, depicted as proposed business requirements, describes the necessary activities and initiatives required for the future system to address BER's business needs and goals. Information on how these business process requirements will be satisfied is described in terms of functional requirements.

The proposed business process requirements fall into five high-level categories that were illustrated earlier in Figure 4 – New System Requirements Categories. Those five categories and a description of requirements identified within

each of those categories are provided in section II.D, Table 2: Functional and Technical Requirements.

2. Business Solution Alternatives

The Department analyzed and evaluated alternatives for a solution to modernize or replace the current legacy system and support BER business needs. Technical considerations are addressed in Section VI - Technical Solution Alternatives. The key business solution alternatives contemplated were implementation and rollout method alternatives, including:

- Phased delivery of new system capabilities and functionality
- Single switchover

3. Rationale for Selection

The phased implementation approach is the recommended solution for BER. With a phased system redevelopment in mind, DOS will obtain the highest value based on the timeline needs as well as the requirement to adhere to state statutes with processes and procedures. The phased system redevelopment approach will also minimize risks that might be encountered with the replacement of critical system infrastructure. The opportunity exists to implement a system that more comprehensively encapsulates the activities of BER in a more automated and efficient manner and provides the bureau with more control over configuration of the system.

The selection criteria for a replacement solution are provided below, along with an explanation of criteria listed correlate to business drivers.

- **Risk:** Under a single switchover approach, defects can be deeply embedded before detection and resolution, thereby introducing a greater likelihood of additional re-work. Moreover, with many new processes to learn at one time, the single switchover approach can also present additional challenges in terms of training and change management. These additional challenges can translate into delays or increased implementation costs. As such, the recommended phased approach would more effectively mitigate risks related to time and cost over the course of the modernization project.
- **Change Fatigue:** Change fatigue (i.e., passive resignation or resistance to organizational changes) is a foreseeable factor in any large-scale business or technology transformation effort. Through the application of a generally accepted change management methodology[2] and a phased development approach, change fatigue would be mitigated by allowing the new technology and processes to be rolled out incrementally (rather than all at once which would introduce a greater likelihood to overwhelm staff). The phased approach will also facilitate greater buy-in and adoption of new technology and corresponding modified business processes.
- **Time to Value:** With the phased approach, the time to value is shorter as business value is delivered more quickly than through a single switchover. The phased approach will help to incrementally meet objectives and realize benefits of enhancements such as workflow automation and the elimination of paper and duplicative processes.
- **Flexibility:** Flexibility requires an ability to meet future requirements and adapt to foreseeable and unforeseeable factors that might hinder meeting new requirements. A phased approach offers agility to incorporate required and desired changes throughout the modernization project lifecycle.
- **Fail Safe:** A phased approach will ensure that benefits of project development are realized in any event that work is disrupted or terminated prior to project completion. Modular phasing would allow BER to realize

[2] For an example of a generally accepted change management mode and methodology, see: https://www.prosci.com/methodology/adkar

the value and benefits of the phases completed prior to any potential work disruption or project termination.

- **Complexity:** A phased approach does present additional complexity during development due to a need to simultaneously support current functionality while incrementally rolling out new functionality. Such additional layers of complexity would not be present (or would not be present to the same degree) under a single switchover approach.

Table 1 below provides a comparison of selection considerations between Single Switchover and Phased Implementation approaches.

Table 1: Selection Criteria for Recommended Business Solution

Delivery Methods and Considerations		
Item	**Single Switchover Benefits**	**Phased Implementation Benefits**
Risk	Greater Risk	Less Risk
Change Fatigue	Greater Likelihood	Some Likelihood
Time to Value	Longer time to value	Shorter time to value
Flexibility	Limited Flexibility	Maximum Flexibility
Fail Safe	All or Nothing	Retain Benefits of Incremental Development
Complexity	Moderate Relative Complexity	Greater Relative Complexity

4. Recommended Business Solution

The recommended business solution for replacement of the current legacy system is a phased implementation of a new, modernized system. Details regarding the activities listed within the roadmap are explained further in this section.

PEOPLE

The People swim lane refers to key activities in the design phase of the project that will be critical for project success:

- **Map Workflows:** All business processes that will be incorporated into the modernized system need to be translated into process maps. This will help ensure that all steps, activities, and considerations are taken under advisement for project development activities and planning.
- **Establish Teams:** Identifying internal DOS team members who will be dedicated to the project will set expectations for the time required to be spent on project work, outside of their regular job duties. At both the IT and program levels, consensus needs to be reached with managers and staff as to how the project will impact current work and how the work will continue to get done during the project, whether through reassignment or other methods. Multiple teams will need to be created to reflect the diversity of processes as well as the planning and execution of the modernized solution.
- **Acculturate the Team:** User acceptance testing (UAT) and training will be necessary for the end users of the proposed modernized system. This collaboration of various stakeholders shall include project sponsors, business owners, regulatory specialists, analysts, and the development team will ensure functionality of the system is achieved as well as familiarization with the new system. Specific training will be necessary for the BER staff with the rollout of the new system.

SOFTWARE

The Software swim lane is where the key project development take place and includes the following activities:

- **Requirements Gathering:** During this activity, comprehensive and exhaustive requirements must be gathered for every business process that will be performed in the new system. This includes, but is not limited to, technical specifications, business process details, document storage and transfer, support elements, communication, security, and data capacity and management.
- **Define, Design, Develop, Test, Deploy, (Iterative Sprints):** This cycle represents the actual work of developing the system, with iterative processes to define, design, develop, test, and deploy.
- **Data Conversion:** Data currently existing in the legacy system must be extracted, "cleaned' to be standardized in a manner that is compatible with the new system and DOS standards and loaded into the new system. This effort can be quite large depending upon the DOS data standards and validation process. With the proposed phased approach, the data conversion can be done in parallel with the development of the modernized system.

ARCHITECTURE

The Architecture swim lane in the roadmap depicts the following activities:

- **Define System Architecture:** The process of defining a conceptual model of the proposed system. This includes the attributes, behavior, and purpose of the system components. These components could include subsystems, entire applications, or networks boundaries. The principal purpose is to convert system characteristics like scalability, security, reusability, extensibility, modularity, maintainability, etc. into a complete model that has the best possible chance of supporting the business requirements.
- **Establish System Architecture:** The process of implementing the conceptual model. Through code and configurations, the architecture model is transitioned from conceptual to concrete components such as subsystems, databases, APIs, libraries, etc.

PROJECT MANAGEMENT

The Project Management swim lane within the implementation roadmap includes the following high-level activities:

- **Software Development Methodology:** Early in the project, it is important to establish a software methodology that will guide the development through creation of the new system. There are many different structured processes that can be used, or combined to best fit the team, requirements, and project.
- **Organizational Change Management:** A new modernized system will change business processes and likely, the roles of some staff within DOS, leading to significant organizational change. This level of change will require diligent management, involving transparent communication with all affected staff and partners and strategic deployment of new processes and information. Transparent communication is especially critical when it comes to staffing changes – communicate early and often.

  Because system and software documentation of the current legacy system does not exist or is incomplete, the OCM process should include a comprehensive Impact Analysis (IA) of design details and risks associated with the proposed replacement solution for modernization of the legacy system. IA scope should encompass both traceability IA (links between requirements, specifications, design elements, and tests are captured, and these relationships can be analyzed to determine the scope of an initiating change) and dependency IA (linkages between parts, variables, logic, modules etc. are assessed to determine the consequences of an initiating change).
- **Project Management Plan:** Project management is key to any successful project and is addressed at length in Section VII - Schedule IV-B Project Management Planning. Rule 60GG-1, Florida Administrative Code,

establishes project management standards when implementing Information Technology (IT) projects. State of Florida agencies must comply with these standards when implementing all IT projects. In the first stages of the project, preparations will be required to identify a project management (PM) team or office (PMO) structure, whether internal or contracted. This initial planning phase will also include ensuring all requirements listed in Florida Statutes, Florida Administrative Code, and any other governing entity are defined prior to project commencement. Lastly, the current data in legacy system will need to be reconciled to prevent errors during data conversion.

- **Project Management:** The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes.
- **Independent Verification and Validation (IV&V) –** Once the new system has been planned, contracting services of a third-party IV&V consulting firm is required for projects that exceed $25 million and recommended for projects under that threshold. The primary objective of an IV&V is to provide an objective assessment of products and processes throughout the project management lifecycle. In addition, IV&V will facilitate early detection and correction of issues, enhance management insight into risks, and ensure compliance with project performance, schedule, and budget requirements. The IV&V entity must have no technical, managerial, or financial interest in the project and will not have any responsibility for, or participation in, any other aspect of the project.

Additional Considerations

Additional considerations to be addressed during project development include capacity and resource planning.

Capacity Planning

The scale of the current systems workload for BER is cyclical and is dependent upon elections that transpire within the state to dictate work levels. Because of the current system's reliance upon manual processes and procedures, it is quite plausible that the proposed modernized system will free up the capacity of some BER staff to address other important work within the bureau.

Essential requirements of a modernized system solution are flexibility and scalability. As laws, rules, business processes, and best practices change, technology solutions used by the BER will need to be adaptable. Consideration must be given to how this might impact the system architecture, functionality, interfaces, and workflow.

With the public's interest and desire for greater accessibility to data and information as well as public policy insistence upon the same, it is imperative that the proposed modernized system not only be robust enough to handle the demands of today but also the needs of tomorrow. With the fastest population growth in the nation[3], Florida's BER will be faced with a growing workload of candidate and committee qualifications and campaign finance audits in the future. Special districts, which comprise a significant number of the commissions issued by BER, have more than doubled in number from 944 in 1990 to 2,202 as of January 1, 2023 (an increase of 133%).[4] With the rate of current and projected population growth in Florida, it is reasonably foreseeable that the growth in special districts will continue to increase as well. As such, the proposed modernized system will need to be scalable as well as flexible enough to accommodate this growth and provide DOS staff and customers with a best-in-class solution.

[3] Perry, Marc; Rogers, Luke; Wilder, Kristie. (2022, December 22). New Florida Estimates Show Nation's Third-Largest State Reaching Historic Milestone. *United States Census Bureau*. https://www.census.gov/library/stories/2022/12/florida-fastest-growing-state.html#:~:text=Florida's%20population%20increased%20by%201.9,its%201946%20population%20of%202%2C440%2C000.

[4] Florida Department of Economic Opportunity Special District Accountability Program: https://floridajobs.org/community-planning-and-development/special-districts/special-district-accountability-program/official-list-of-special-districts

Implementation and Maintenance Resource Assignments

Project staffing and resource assignments will be critical to successful project planning as was discussed above under Recommended Business Solution.

Based on the anticipated target dates for deployment activities and project completion, staffing levels will need to be planned carefully to meet project milestone deadlines. While IT resources will be needed for development and implementation, program area subject matter experts will be needed for consultation on business processes and functional needs.

For the project's design, development, testing, and deployment activities, as well as implementation, the Department expects to competitively procure vendor development services via Florida's state term contract for IT equipment, software, and services.[5]

As the project and modernized system develops, consideration must also be given to ongoing resource assignments for system maintenance. With the requirement for the new system to allow for internal O&M, DOS IT will need to determine the amount and type of internal resources to dedicate to ongoing maintenance. This may be mean additional FTEs are needed, or that current FTEs supporting the legacy system can be shifted completely or partially to other priority areas for DOS.

On the program side, BER will need to consider staff resources during the implementation phases and post-implementation landscape of the work. Current job descriptions should be reviewed in consideration of how processes will change current work and how resources can be redirected within the new business processes that will be enhanced with the new system. This is a critical element of organizational change management that will require early and frequent communication with team members, transparent and strategic planning, and intentional collaboration between management, the IT team, and all BER staff.

D. Functional and Technical Requirements

As previously mentioned, a functional requirement describes how the business process requirement, identified in this section, shall be accomplished. Technical requirements also describe how the business process requirement will be accomplished but from the technical perspective.

Table 2 below contains a summary of the functional and technical requirements that must be met by this project. These requirements were developed through interviews as well as analysis of BER documentation of processes and procedures as well as recommendations for best practices in the areas of user interface, functionality, system architecture, workflows, and contracting. Consistent with the process described in Section VII – Project Management Planning, DOS will work collaboratively with the selected PMO team to implement functional and technical requirements for modernization to the extent practicable given operational and business priorities, budgetary factors, legislative or regulatory changes (if any), and other considerations.

Table 2: Functional and Technical Requirements

#	Initiative	Description
Interfaces		

[5] State of Florida Term Contracts: State Contracts and Agreements / State Purchasing / Business Operations / Florida Department of Management Services - DMS (myflorida.com)

Information Technology Staff Augmentation: Information Technology Staff Augmentation / State Term Contract / State Contracts and Agreements / State Purchasing / Business Operations / Florida Department of Management Services - DMS (myflorida.com)

#	Initiative	Description
I1	County Interface	The proposed modernized system shall contain an interface for counties to load candidate and petition signatures (ballot qualification by petition method) through an SOE Portal.
I2	Improved training (for both internal and external users)	The proposed modernized system shall provide user-guided training on its use for both internal and external users that does not require leaving the system or viewing a separate PDF or other training document.
I3	Help/FAQ	The proposed modernized system shall provide a chat feature (chatbot) and/or help area where frequently asked questions are answered.
I4	FEC Interface	The proposed modernized system shall contain and interface for permission-based access by the Florida Election Commission.
Functionality		
F1	Automation	The proposed modernized system shall automate as many processes as practicable to ensure that filing errors are reduced as well as compliance improved. The reduction of time spent on manual, paper-based processes shall be accomplished through the automation of the online candidate/committee qualification process, the creation of online registration and user credentialing, and the automation of compliance audits will help to improve data quality and integrity. Electronic correspondence for notifications with acknowledgment from the entity shall also be automated. The provision of an automated online portal shall also provide secure 24/7 filing access.
F2	Electronic Payment Processing	The proposed modernized system shall include the ability to issue fees, fines, and receive payments electronically and eliminate the need for paper checks that require manual processing. The proposed modernized system shall allow tracking and accounting for fees and fines related to campaign finance reporting. The system will then reduce the processing costs of payments and will reduce or eliminate insufficient funds transactions.

#	Initiative	Description
F3	Reporting	The proposed modernized system shall provide the ability to run reports with different statistical or public records information. Customized, ad-hoc and point in time reporting capability would provide the enhanced search/sort and filtering functionality necessary to provide both internal and public users a best-in-class solution. A management dashboard that is configurable for running common and frequent reports would provide crucial information regarding the metrics and performance of the Bureau.
F4	Enhanced Automated Compliance Audit Functionality	The proposed modernized system shall provide for accelerated statutory audits by building scenarios for automating compliance and ensuring that parameter searches can be performed by the system (rather than requiring manual review).
F5	Data Validation Rules	The proposed modernized system shall require data validation to prevent input errors or invalid values in filings submitted to the BER. Examples would include: • Guide filers to prevent or block entry of data within a report for the wrong reporting period. • Guide filers to prevent submission of the wrong title in an "oath of office" corresponding to a given commissioned office. • Committees could only file special election reports if they have contributed to a special election candidate during a given reporting period.
F6	Online Portal	The proposed modernized system shall provide the capability for customers to access the system via the web and register and maintain authenticated accounts. The customer shall have the ability to submit filings, check on commissions, view statuses, and communicate with BER via an online Self-Service portal. If a user has utilized the system previously, data shall prepopulate for changes or amendments to their information (to not only help the user submit their updated application more quickly but also speed up BER review processes). The system shall enable BER staff to view portal screens with the same data as the customer to provide efficient support.
F7	Public Records Confidential Information Redaction	The proposed modernized system shall enable identification of data that is exempt from public records requests and protect confidentiality where necessary through the automated redaction of PII or other protected information from reports and documents deemed to be public records.

#	Initiative	Description
F8	Workload Management	The proposed modernized system shall provide functionality that can automatically assign work items to BER team members. This would also assist in the tracking of workload and performance metrics.
F9	User Management and Role-Based Security	The proposed modernized system shall continue the practice of role-based authorization so that users can be assigned and limited to only those roles which they are authorized to perform.
F10	Performance Management Business Rules	The proposed modernized system shall maintain configurable business rules and data validation associated with performance management, including tracking time and costs associated with operational activities.
F11	Performance Metrics	The proposed modernized system shall be able to capture performance metrics including timelines of activities and compare them to benchmarks/standards.
F12	Application Import	The proposed modernized system shall continue to provide the ability to scan or import a document with the added-value of auto-populating data to forms within the system.
F13	Candidate Search	The proposed modernized system shall provide the ability for internal system users to search prior candidates/committees including financial reports associated with their data. This would include customizable search parameters with ad-hoc and point-in-time reporting capabilities.
F14	Configurable Correspondence / Notifications	The proposed modernized system shall provide the ability to correspond to applicants throughout the workflow and allow external parties to correspond back to BER through the portal. This would allow for credentialing to be done through this secure system, assist with qualifying to be done in a timelier manner, and reduce human error.
F15	Document Content Extraction	The proposed modernized system shall provide the ability to extract structured data from document content such as forms contained within PDF files.
F16	Customizable Forms	The proposed modernized system shall provide the ability for staff to create, modify, and manipulate forms for internal uses and eliminate the reliance upon IT staff to address form changes.
F17	Export	The proposed modernized system shall provide the ability to export campaign finance report files (including multiple files as a zip file and sending as attachments).
Architecture		

#	Initiative	Description
A1	System Integration	The proposed modernized system shall provide a web-based API to support standardized integration as well as provide a layer of abstraction between client applications and databases.
A2	Cloud Hosting	The proposed modernized system shall be hosted in a DOS owned and maintained private cloud.
A3	Enhanced System Security	The proposed modernized system architecture shall be able to function with current operating system and web server versions to ensure all recent security patches are available.
A4	Operating System Agnostic	The proposed modernized system shall use a container deployment suitable for a [redacted] implementation. [redacted] automates operational tasks of container management and includes built-in commands for deploying applications, rolling out changes to applications, scaling application up and down to fit changing needs, monitoring applications, and more – making it easier to manage applications.[6]
A5	Sustainable / Manageable	The proposed modernized system shall provide a pattern-based solution architecture with clear delineation/separations of concern. This includes having separate architectural components for the user interface, business logic, and database access.
A6	Modular Improvement Support	The proposed modernized solution shall provide the ability to add new feature sets without significant downtime.
A7	Disaster Recovery Mitigation	The proposed modernized system shall provide a function for reporting both hardware health and software system performance reports. The proposed modernized system shall also provide a System monitoring function sophisticated enough to detect infrastructure-level outages or changes.
A8	Integration of FES with FVRS	The proposed modernized system shall integrate the FES and FVRS systems to allow for candidate matching and unique client ID. The modernized system shall allow for a single profile implementation using voter identification number as the key identifier.
A9	Browser Compatibility	The proposed modernized system shall function with the latest versions of commonly available present-day web browsers.

[6] [redacted] Definition: [redacted]

#	Initiative	Description
A10	Configurable Objects	The proposed modernized system shall provide the ability to configure components of the application in-house, without requiring a third-party vendor.
A11	Single Sign-On	The proposed modernized system shall implement single sign-on for internal users.
A12	External User Authentication	The proposed modernized system shall provide self-service authentication to ensure that only authenticated users are granted access while allowing external users to maintain their account authentication credentials.
A13	Cloud Services	The proposed modernized system shall provide ability for the use of cloud services that maintain high availability, security, analytics, storage, and data integration.
A14	Payment Customizations	The proposed modernized system shall provide a configurable payment system integration that allows multiple payment providers to be utilized.
A15	Integrated Document Management	The proposed modernized system shall provide for robust document management, including uploading and removing attachments (in various media types) from the public-facing portal to various types of cases including applications and investigations as well as the ability to easily index, search, access, and view those attachments. The system shall maintain the capability to handle high volume, high retrieval, full context search, and multiple multimedia types. The system shall allow record retention standards.
A16	Flat File Import	The proposed modernized system shall allow file uploads within the system.
A17	API and Real-Time Data Calls	The proposed modernized system shall use a modern API framework to integrate with external systems for real-time data transfer and shall also provide all capabilities that are available through the public portals through APIs.
A18	RSS Feeds	The proposed modernized system shall allow the use of RSS Feeds for integration.
A19	Relational Database	The proposed modernized system shall integrate with a relational database to store, extract, transform, and load data.
A20	Real-Time Reporting Database	The proposed modernized system shall provide direct and real-time access to operational data with minimal to no lag or delay.
A21	Batch Processing	The proposed modernized system shall continue to include batch processing functionality.

#	Initiative	Description
A22	System Uptime	The proposed modernized system shall remain available 99.99% of the time, excluding planned and mutually agreed upon maintenance.
A23	Redundancy	The proposed modernized system shall provide redundancy such that the failure of a single system component will not result in overall lack of availability of the system (high availability, automatic failover).
A24	Web-based Interface	The proposed modernized system shall allow usage with only a web browser installation requirement on the client.
A25	Job Scheduler	The proposed modernized system shall provide a scheduling capability to perform time-based internal updates as well as time-based or dependency-based external interactions.
A26	Mobile Compatibility	The proposed modernized system public portal shall be responsive such that it can be used on mobile devices and tablets without the need for horizontal scrolling.
A27	Environments	The proposed modernized system shall provide the ability for the use of multiple "mirror" environments, including a development, testing, and production environment.
A28	Hardware Scaling	The proposed modernized system shall provide automatic scaling of hardware resources to ensure capacity is increased and decreased to match load.
A29	Navigation	The proposed modernized system shall provide intuitive navigation for public and back-end users. Web applications and portals shall be designed to guide users when completing or submitting applications, reports, or other required forms. Users shall be able find what they are looking for with ease (not having to toggle or go through multiple webpages/links to locate pertinent information).
A30	ADA compliant	The proposed modernized system user interface shall be ADA compliant.
A31	Responsive design	The proposed modernized system user interface shall have a responsive design and shall support mobile devices. The user interface shall be responsive to user interaction without noticeable delay.
A32	Design consistency	The proposed modernized system shall have a consistent style.
Workflows		

#	Initiative	Description
W1	Data Exchange Integration	The proposed modernized system shall decouple the user interface and data integration points from the back-end services utilizing application programming interfaces (APIs).
W2	Simplified and Streamlined Process Flows	The proposed modernized system shall provide streamlined process flows, including automated flows in situations where human intervention is not required.
W3	Workflow Enhancements (in-app guidance)	The proposed modernized system shall have the ability to provide instructions and guidance to public users within applications, in line with fields for submission.
W4	Establish Clear Change Control Approvals	The proposed modernized system shall allow for the creation of clear change control processes and protocols.
W5	Reduce Duplicative Work	The proposed modernized system shall aid in the ability to reduce the duplicative work of staff.
W6	Eliminate Parallel File Systems	The proposed modernized system shall eliminate the need for email, phone, and parallel file systems. More functions will be provided to end users via online features.
W7	Modern Platform	The proposed modernized system shall be built upon a modern, flexible, and configurable platform with a user interface (UI).
W8	Issue Tracking	The proposed modernized system shall provide a support intake capability so that any system issues can be logged and tracked until resolved.
W9	User Support Screen Viewing	The proposed modernized system shall provide the ability for BER staff to view portal screens with the same data that a customer is viewing in real-time (to enable better support).
W10	Reporting Functions	The proposed modernized system shall provide a central repository to create, modify, and view reports. Reporting functionality shall include scheduled and automated reports, canned reports, customizable reports, and configurable dashboards. The system shall also provide automated reminders for upcoming due dates or deadlines applicable to candidates and committees.
W11	Reporting / Data Visualization	The proposed modernized system shall allow for the ability to use a visualization tool such as [redacted].

#	Initiative	Description
W12	Data Conversion	The proposed modernized system shall include converted user and campaign finance report data for all current candidates/committees as well as campaign reports that fall within retention timeframes governed by applicable state records retention laws or regulations.
W13	Data Conversion Downtime	The proposed modernized system downtime shall be limited to 48 hours and should be completed over a weekend when data is converted from the current system to the modernized solution.
W14	System Data Control	The proposed modernized system shall allow BER to fully control access to the data both during and after usage of the implemented modernized solution.
W15	Data Replication	The proposed modernized system shall provide real-time data replication to avoid any data loss in the event of a system failure.
Contracting		
C1	System and Software Documentation	The proposed modernized system shall include ”as-is” and “to-be” visualizations of the system with detail sufficient to make future network and application changes. The proposed modernized system shall include software documentation and maintenance logs to support O&M. Software maintenance logs shall be updated in real-time and kept current.
C2	System Reliability	The proposed modernized system shall be easy to maintain by the DOS O&M Team. The number of work hours per reported “bug” spent on ramp up, solutioning, and testing shall be measured easily.
C3	System Cost	The proposed modernized system shall have a year-over-year cost of ownership that is constant or near zero. Critical measures for this requirement include monthly hosting costs for any cloud services, and maintenance costs.
C4	Continuous Quality Improvement	The proposed modernized system shall support working a backlog of future features, updates, and enhancements.
C5	Contract Compliance	The proposed modernized system solution shall provide weekly/monthly/quarterly/annual reports to establish and document compliance with all contractual and service-level requirements.
C6	Capacity Monitoring	The proposed modernized system shall provide the capability for monitoring via server volume/capacity and network volume/capacity monitoring.
C7	Application Exit Strategy	The proposed modernized solution contractual service provider, if any, shall maintain the source code in escrow with a mutually agreed upon third party.

#	Initiative	Description
C8	Cost Visibility	The proposed modernized system shall be provided in a method that allows full visibility of costs incurred in a real-time fashion.
C9	UI-based O&M	The proposed modernized system shall allow completion of all routine operation and administration activities through the user interface as opposed to requiring direct database interaction or scripted activities.
C10	Issue Tracking	The proposed modernized system shall provide a support intake capability so that system issues can be logged and tracked until resolved.
C11	Release Scheduling	The proposed modernized system shall accommodate controlled release scheduling.

II. Success Criteria

The success of the FES modernization project will be based on a number of quantitative and qualitative factors. Each of these factors are in alignment with the business objectives and proposed business process requirements outlined in the Background and Strategic Needs Assessment section of this document, as well as the overall vision and mission of DOS and BER. Although the criteria and indicators proposed for the system completion will be reviewed, they are broadly strategic and align to state performance and compliance requirements and may or may not change. As this modernization is technological at its core, the EFS modernization also needs to be accompanied by the successful transformation of business processes. As such, this modernization effort must include principles of organizational change management to ensure its overall success.

The major success criteria for the project, along with the Key Performance Indicators (KPIs), are listed in Table 3 below. The success criteria and the KPIs form the basis of any contracts pursued to implement the final modernized solution. BER anticipates the project management team responsible for the implementation of the solution will develop a benefit realization strategy and plan. The benefit realization plan will be designed to contemplate a baseline measurement and several interim measurements before the final benefit realization report is produced.

Table 3: FES Success Criteria and KPIs

SUCCESS CRITERIA TABLE				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	**Functionality:** • Automation ○ Reduced paper, snail-mail, and manual touch points	• Reduction of time spent on manual and paper-based processes • Reduction in mailing costs • Reduction in checks processed manually • Reduced paper filings • 24/7 access from	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	Post Implementation

SUCCESS CRITERIA TABLE				
	○ Real-time or near real-time processing ○ Online registration (qualifying) & user credentials (self-maintained credentialing w/online PW resets) ○ Online commissions filings ○ Electronic correspondence for notifications (w/acknowledgement from entity) ○ Eliminate manual data entry by Division staff to improve data quality and data integrity • Electronic Payment Processing • Reporting ○ Reporting enhancements ○ Dashboard for management ○ Enhanced search/ sort/ filter functionality ○ Automate "report definition" per statutory requirements ○ System architecture/functionality must increase Division's ability to report and collect information ○ Need interface with FEC for electronic data transfer ○ Need interface for counties to load local candidates electronically	anywhere • Reduction or elimination of checks processed manually • Reduction of processing costs (paper, ink, labels, envelopes, staff time, postage) • Reduction or elimination of insufficient fund transactions • Increased percentage of data exchanges being run and/or automated that improve processing time • Increased ability for internal and external statistical searches • Reduced Help Desk calls and public records requests • Reduction of staff hours responding to public records requests • Compliance with statutory mandates • Accelerated statutory audits		

SUCCESS CRITERIA TABLE				
	• Enhanced automated compliance audit functionality			

2	**Workflows**:
	• Linked to automation notes in functionality section
	  ○ Eliminate need for email, phone, and parallel file systems
	  ○ Push more input functions to end-users via online features
	• Simplify and streamline process flows (currently overcomplicated and contributes to errors)
	• Data exchange integration
	• Workflow enhancement (prompts / notifications and "in-app" help/instructions to guide users)
	• Establish clear change and control processes and approvals
	• Reduce duplicative work
	• Integrate FVRS and EFS systems (for multi-factor candidate match)
		• Reduce processing time
		• Reduce manual errors
		• Reduced paper filing
		• Streamlined filing processing
		• Improve data accuracy
		• Increased filing verification rates
		• Extensive use of APIs
		• Improved data accuracy
		• Ease load on staff to answer questions/train
		• Reduce Help Desk calls
		• Streamlined processes
		• Single profile implementation (voter ID as key)
			• DOS Staff
			• Other Agency Staff
			• The Governor's Office
			• Public Users
				Post Implementation

3	**Architecture:**
	• System integration
	  ○ Integration of multiple programs (including Microsoft Access™ applications)
	  ○ Microsoft Access™ admin functionality integrated into comprehensive new system
	• Cloud-based
	• New solution must be operating system agnostic
	• Must be sustainable / manageable (so that junior developers may understand and contribute)
	• System architecture must support modular improvements
	  ○ Must address modular rule validation (so that changes to statute will be less challenging to implement)
	• Enhanced system security
	• Modernization must couple hardware health with software and system design/reports
	• Integrate FES with FVRS for
		• Reduced processing times
		• Reduced manual errors
		• AD integration
		• System architecture should reside on private cloud infrastructure
		• Kubernetes implementation
		• Pattern based solution architecture with clear delineation/separations of concern. Solution does not use a third-party DLL black-box, for example
		• Any selected solution must support the ability to add new feature sets without significant downtime
		• System architecture supports at least a 2019 server platform
		• The system shall
			• DOS Staff
			• Other Agency Staff
			• The Governor's Office
			• Public Users
				Post Implementation

SUCCESS CRITERIA TABLE				
	candidate matching/unique client ID • Modernization must lay foundation for future enhancements (infrastructure)	provide a system monitoring function sophisticated enough to detect infrastructure-level outages or changes • User driven • Similar to having junior developers engaged, any selected solution must support the ability to add new feature sets without significant downtime		
4	**Interfaces:** • Interface for counties to load candidate and initiative petition signatures • Help ("chat") / Frequently Asked Questions • Improved training (for both internal and external users)	• Decrease processing times • Improved data accuracy • Ease load on staff to answer questions/train	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	Post Implementation
5	**Contracting:** • System documentation • System reliability; ease of maintenance by O&M team • System year-over-year cost of ownership must be constant or "near" zero • Continuous quality improvement	• "As-is" and "To-be" visualizations of the system with sufficient detail to make future network and application changes • Number of work hours per reporting bug spent on ramp up, solutioning, and testing • Critical measures here include monthly hosting costs for any cloud services (power/air at the data center, floor space, etc.) maintenance costs should be tracked year over year • Solution must support working a backlog of future features, updates, and enhancements	• DOS Staff	Post Implementation

III. 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. See Table 4 below.

Table 4 - Benefits Realization Table

#	Description of Benefit	Who Receives the Benefit?	How is the Benefit Realized?	How is the Realization of the Benefit Measured?	Realization Date (MM/YY)
1	Enhanced User Interface	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• Interface for counties to load candidate and initiative petition signatures • Help ("chat") / Frequently Asked Questions • Improved training (for both internal and external users)	• Decreased processing times • Improved data accuracy • Reduced load on staff to answer questions/train	• Post-Implementation
2	Improved Functionality	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• Automation of manual processes • Reduce paper, "snail mail," and manual touch points • Automated/electronic payment processing (eliminate paper checks) • Real-time or near real-time processing • Online registration (qualifying) & user credentials (self-maintained credentialing w/ online PW resets) • Online commissions filings • Electronic correspondence for notifications (w/ acknowledgement from entity) • Eliminate manual data entry by Division staff to improve data quality and data integrity • Reporting (standard "canned" reports) • Reporting enhancements to include customizable on-demand, ad hoc and point-in-time reports for internal staff	• Reduction of time spent on manual and paper-based processes • Reduction in mailing costs • Reduction in checks processed manually • Elimination or reduction of paper filings • Reduction of mailing costs (paper, ink, labels, envelopes, staff time, postage) • 24/7 filing access from anywhere • Reduction in Help Desk calls • Reduction or elimination of checks processed manually • Reduction of processing costs (paper, ink, deposit slips, BER, finance and Comptroller's office staff time) • Reduce or eliminate insufficient funds transactions • Increased percentage of data exchanges being run and/or automated that improve processing time • Increased ability for internal and external statistical searches	• Post-Implementation

#	Description of Benefit	Who Receives the Benefit?	How is the Benefit Realized?	How is the Realization of the Benefit Measured?	Realization Date (MM/YY)
			• Automate "report definition" per statutory requirements • Enhanced search / sort / filters functionality (internal and public facing) • System architecture/functionality must increase Division's ability to report and collect information (e.g., BI tools, descriptive analytics) • Need interface with FEC for electronic data transfer • Need interface for counties to load local candidates electronically • Enhanced automated compliance audit functionality • Workflows to include dashboards, etc. • Configurable management dashboards • Automated workload management • Automated redaction of confidential filing information • Performance management metrics compilation • Website work with all present-day web browsers • 24/7 Help Desk and Chat feature • Public search functions on website (currently difficult to use)	• Reduction in Help Desk calls and public records requests • Reduction of staff hours responding to public records requests • Compliance with statutory mandates • Accelerated statutory audits	
3	Modern System Architecture	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• System integration • Integration of multiple programs (including Microsoft Access™ applications) • Microsoft Access™ admin functionality integrated into a comprehensive new system • Cloud-based • New solution must be operating system agnostic • Must be sustainable / manageable (so that junior developers may understand and contribute)	• Reduced processing times • Reduction in manual errors • AD integration • System architecture should reside on private cloud infrastructure • Container deployment suitable for a Kubernetes implementation • Pattern-based solution architecture with clear delineation/separations of concern. (e.g., solution does not use a third-party dynamic link library (DLL) "black box") • Selected solution must support the ability to add new feature sets without significant downtime	• Post-Implementation

#	Description of Benefit	Who Receives the Benefit?	How is the Benefit Realized?	How is the Realization of the Benefit Measured?	Realization Date (MM/YY)
			• System architecture must support modular improvements • Must address modular rule validation (so that changes to statute will be less challenging to implement) • Enhanced system security • Modernization must provide a function for reporting both hardware health and software system performance reports (disaster recovery mitigation) • Modernization must lay foundation for future enhancements (infrastructure) • Scalable storage capacity • Navigation should be intuitive for public and back-end users. • User interfaces shall be ADA compliant • User interface shall have a responsive design and shall support mobile devices. • User interface shall be responsive to user interaction without noticeable delay. • User interface shall have a consistent style.	• System architecture supports at least a 2019 server platform • System monitoring must be sophisticated enough to detect infrastructure-level outages or changes and either alerting IT staff or taking a configured action • Container deployment suitable for Kubernetes implementation • User-driven • Similar to having junior developers engaged, any selected solution must support the ability to add new feature sets without significant downtime • Web applications and portals will guide users when completing or submitting applications, reports, or other required forms • CX/UX design should allow users to find what they are looking for with ease (not having to go through multiple webpages/links to find pertinent information) • Website, Web applications, and portals will be mobile optimized	
4	Workflow Management	• DOS Staff • Other Agency Staff • The Governor's Office • Public Users	• Linked also to automation notes in functionality section • Eliminate need for email, phone, and parallel file system • Push more input functions to end-users via online features • Simplify and streamline process flows (currently overcomplicated and contributes to errors) • Data exchange integration • Workflow enhancement (prompts / notifications and "in-app" help/instructions to guide users, e.g., "info" icon) • Establish clear change control processes and approvals • Reduce duplicate work	• Reduced processing times • Reduced manual errors • Reduced paper filing • Streamlined filing processing • Improved data accuracy • Increased filing verification rates • Extensive use of APIs • Improved data accuracy • Reduction in Help Desk calls • Reduced load on staff to answer questions/train • Improved data accuracy • Streamlined processes • Reduced processing time • Single profile implementation (voter id as key?)	• Post-Implementation

#	Description of Benefit	Who Receives the Benefit?	How is the Benefit Realized?	How is the Realization of the Benefit Measured?	Realization Date (MM/YY)
			• Integrate FVRS and modernized system to include automated multi-factor ID for candidates • Built upon a modern, flexible, and configurable platform		
5	Well-Defined Contract Provisions or Service-Level Requirements (for internally managing operations and maintenance)	• DOS Staff	• System documentation • System reliability; ease of maintenance by O&M team • System year-over-year cost of ownership must be constant or "near" zero. • Continuous quality improvement • User Interface-based operation and maintenance capabilities • Issue tracking intake capabilities	• "As-Is" and "To-Be" visualizations of the system with sufficient detail to make future network and application changes • Number of work hours per reported bug spent on ramp up, solutioning, and testing • Critical performance measures include monthly hosting costs for any cloud services (power/air at the data center, floor space, etc.) • Maintenance costs should be tracked year-over-year • Solution must support working a backlog of future features, updates, and enhancements	• Post-Implementation

B. Cost Benefit Analysis (CBA)

The Schedule IV-B prescribes a standardized Cost-Benefit Analysis Workbook to explain the anticipated relative costs and benefits associated with the recommended solution to replace the FES. The workbook is embedded below in Appendix A - Cost Benefit Analysis Workbook.

The replacement system implementation will require migrating the current legacy system into a more modern technology framework. This includes the development of custom code and updated architecture that will align with the State of Florida's "Cloud-First" policy. DOS will procure vendor based programming services to obtain subject matter expertise needed to implement best practices related to design and development for software and architecture before engaging in a three-year project to rewrite the legacy system code.

As detailed in a required Cost-Benefit Analysis (CBA) Workbook included as Appendix A, the Department's total estimated costs for the recommended modernized system solution over the timeline illustrated in Figure 9 are $4,980,000 above current legacy system costs for the same period.

Table 5 below summarizes the required CBA Forms to be included as Appendix A on the Florida Fiscal Portal and must be completed and submitted with the Schedule IV-B.

Table 5 - CBA Forms

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 1 - Net Tangible Benefits	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. 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.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

Figure 9 below provides a graphical depiction of the proposed solution roadmap with projected costs and budgetary

considerations.[7] It provides a description of staff augmentation necessary to build the modernized solution over a three-year period, as well as the additional costs for hosting the new solution in a secure cloud environment. Finally, the graphic lists high-level activities that will occur during each year of the implementation.

[7] Estimated costs shown for Organizational Change Management (OCM) are based on a Gartner research recommendation that companies allocate an average of 15% of the program budget to OCM, inclusive of training. In an article published in 2020, a Microsoft Manager of Customer Success noted that OCM costs can range from a minimum of 10-15% up to 40% of an overall project budget. See: PUT THE RIGHT CHANGE MANAGEMENT BUDGET ASIDE (linkedin.com). OCM cost estimates provided in the CBA and Figure 9 contemplate that OCM activities will be a component of Project Management and will include change impact analysis (IA) relating to traceability and dependency.

	FY24-25	FY25-26	FY26-27	FY27-28	
Non-Recurring Development Costs	$622,560	$622,560	$622,560	$622,560	
Project Management	$200,000	$200,000	$200,000	$200,000	
IV & V	$200,000	$200,000	$200,000	$200,000	
Hosting/Licenses	$12,000	$12,000	$12,000	$12,000	
Total	$1,034,560	$1,034,560	$1,034,560	$1,034,560	
			Total Project Cost	**$4,138,240**	• Ongoing maintenance and operation of new system. • Existing legacy system has already been fully depreciated.
Milestones:	• Existing legacy system maintains operation. • DOS conducts preparation activities for new system including detailed process mapping and data prep.	• Existing legacy system remains in operation and acts as authority of source. • New system architecture is implemented. • Cloud hosting is established for the	• Iterative development of the new system continues using iterative sprints. • Production environment is established.	• Final post-development is completed. • Operational transition is completed. • Instructional content is developed. • Agency training	

		new system as development and testing environments are developed. • Modernization is driven by sprints consisting of the full SDLC.		begins. • Existing legacy system is formally depreciated.	

Figure 8: Proposed Solution Roadmap with Budget Considerations

IV. Schedule IV-B Major Project Risk Assessment

The Risk Assessment Tool and Risk Assessment Summary are included in Appendix B on the Florida Fiscal Portal and must be completed and submitted with the agency's Schedule IV-B. After answering the questions on the Risk Assessment Tool, the Risk Assessment Summary is automatically populated.

A required risk assessment of the FES Modernization Project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool evaluates risk characteristics of the project based on responses to 89 questions in a Microsoft EXCEL workbook organized into eight assessment categories (tabs). After completing questions in all eight tabs, the Risk Assessment Summary is automatically populated. A completed Risk Assessment Tool and Risk Assessment Summary for this project are included as Appendix B of this Schedule IV-B and Appendix B on the Florida Fiscal Portal.

A fundamental limitation of the Risk Assessment Tool and Risk Assessment Summary in its current design is that it presupposes the completion of certain activities that are not likely to be completed (as a practical matter) prior to approval and funding of major technology initiatives. Consequently, the overall risk assessment rating for this project appears in the assessment tool as "High," which aligns with expectations for a project of this size and scope regardless of solution or approach. A risk rating of "high" for a system replacement of a complex and mission-critical system is not unreasonable. All categories in which risk is classified as "High" are manageable and unlikely to undermine expected success or benefits of the program. Categories with high classification risks are expected to see a material reduction in in the overall project risk profile within months of project start when a formal project management program, stakeholder sign-off and requirements finalization activities are completed. Until the project and funding are approved, it is unlikely that additional time and effort to reduce identified risks would be prudent or pragmatic.

A. Risk Assessment Summary

As noted above, the overall risk assessment for this project is rated as High. This rating reflects assessment ratings of High in all eight assessment areas. Specific factors that contributed to the overall risk assessment rating of High include the following items that are anticipated to be addressed within the first year of the project. The overall project risk level will decrease when the following items from each of the eight assessment categories are addressed. Additionally, addressing these items will shift the current position of the project in the risk quadrants of the Risk Assessment Summary to reflect a more accurate alignment with business strategy not currently represented due to limitations associated with the design and premature assumptions of the risk assessment tool.

B. Project Risk Area Breakdown

The primary drivers for a high-risk rating are factors within the following categories determined to be high risk based on the Project Risk Area Breakdown within the risk assessment tool:

- Strategic Assessment
- Technology Exposure
- Organizational Change Management
- Communication Planning
- Fiscal Assessment
- Project Organization
- Project Management
- Project Complexity

Specific categories that contributed to the current risk assessment rating of High will be addressed within the first year of the project. These include:

- **Strategic Assessment**
  - Necessary statutory or regulatory changes (if any) will be defined and documented, and draft legislation or proposed rulemaking will be drafted.

- **Technology Exposure**
  - The Department will obtain resources with experience operating or supporting a prototype or system that is substantially similar to the proposed technical solution in a production environment.
  - Detailed hardware and software capacity requirements will be detailed and documented.
- **Organizational Change Management Assessment**
  - Business process changes will be defined and documented.
  - An Organizational Change Management Plan will be approved.
- **Communication Assessment**
  - A Communication Plan (CP) will be approved.
  - CP will promote the routine use of feedback (at a minimum).
  - Stakeholders will be included in the CP.
  - Key messages will be documented in the CP.
  - Desired message outcomes and success measures will be documented in the CP.
  - CP will identify and assign needed staff.
- **Fiscal Assessment**
  - A Spending Plan will be documented and approved for the project lifecycle.
  - Project expenditures will be identified and documented in the Spending Plan.
  - Cost estimates for the project will be accurate within +/- 10%.
- **Project Organization Assessment**
  - Project organization and governance structure will be defined and documented.
  - Project staffing plan will identify and document all staff roles and responsibilities.
  - A change review and control board (or project governance team) will include representation from all stakeholders.
- **Project Management Assessment**
  - Requirements and specifications will be defined and documented.
  - Requirements and specifications will be traceable to specific business rules.
  - Project deliverables and acceptance criteria will be identified and documented.
  - A Work Breakdown Structure will be defined to the work package level.
  - The project schedule will specify all project tasks, go/no-go decision points, milestones, and resources.
- **Project Complexity Assessment**
  - Project complexity will be mitigated by the following measures:
    - Project objectives will be clearly aligned with the Department's mission and statutory charge.
    - Project objectives will be clearly documented and signed off by the stakeholders.
    - Project charter will be signed by the executive sponsor.
    - Project requirements, assumptions, constraints, and priorities will be clearly defined and documented.
  - The Department will secure third-party consulting services for project support, including IV&V services.

As explained above, the overall project risk level will decrease from High when the above items are addressed and should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented. Additionally, addressing these items will shift the current placement of the project within the risk quadrant of the Risk Assessment Summary in the Project Assessment Tab of the workbook to reflect a more accurate alignment with the Business Strategy (not currently represented as such due to inherent limitations associated with the design of the risk assessment tool).

V. Schedule IV-B Technology Planning

A. Current Information Technology Environment

1. Current System

The legacy FES operates as a multifaceted system. The current system enables the Department staff to complete tasks and processes related to campaign finance. The current legacy system is composed of many stand-alone applications that are designed for a single purpose. Examples include the following:

- The Commissioned Officer database (ComOff) is used to track the entire history of commissioned officers including name, address, offices held, and appointment.
- The Confidential database is used to track data that is exempt from public records disclosure, such as Personally Identifiable Information (PII) protected by statute. PII in this database is redacted from public records, as well as the address for all individuals who have filed a confidential request with the Department.
- Matching Funds, another mission-critical application, is used to administer public campaign financing for gubernatorial and cabinet candidates pursuant to provisions of §§106.33 – 106.36, Florida Statutes.

a. Description of Current System

The current system configuration, which includes a set of web applications as well as many Microsoft Access applications and databases, is illustrated below in Figure 10.

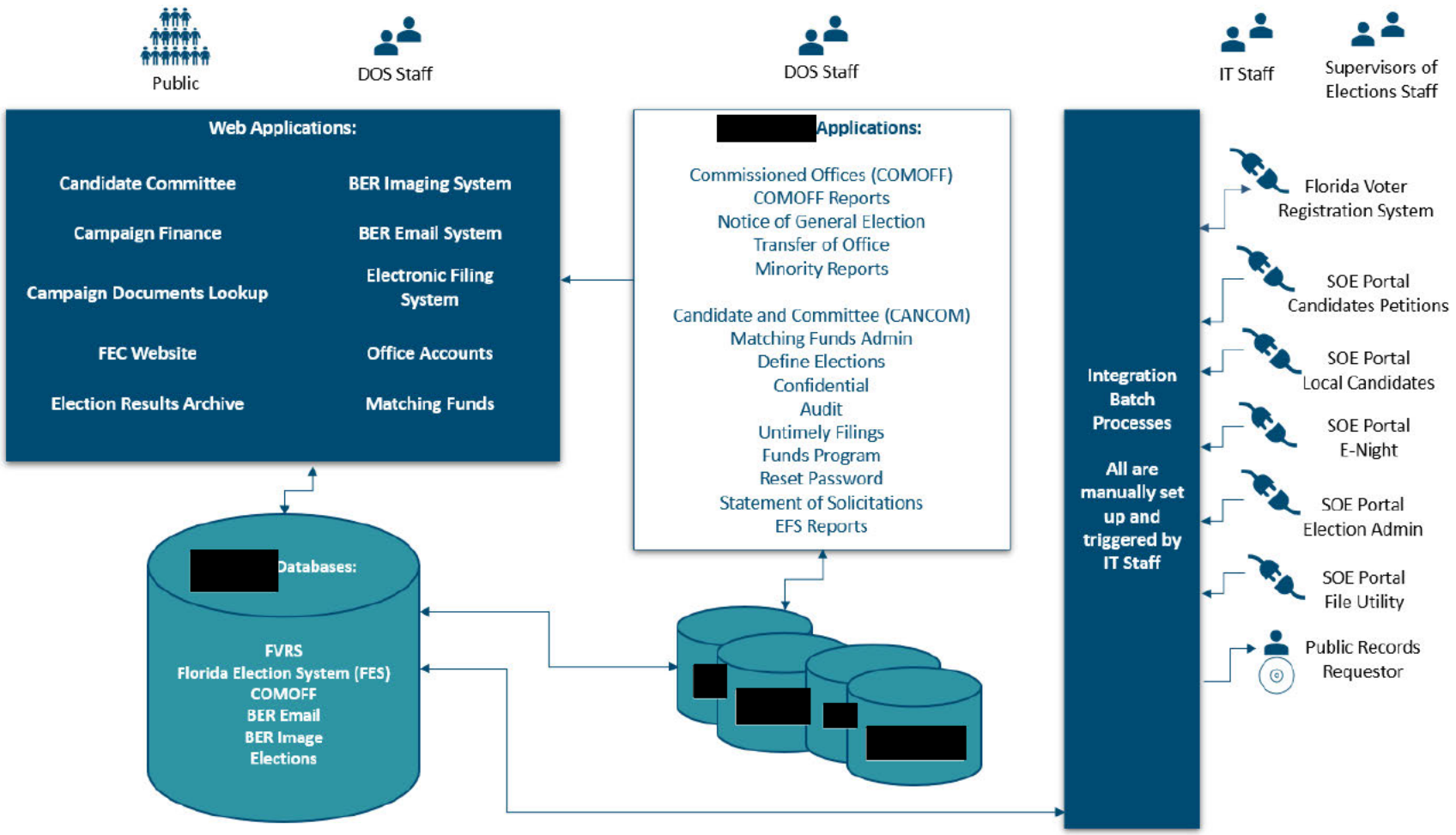


Figure 9– Current System Configuration

Integrations:

It is vital that the proposed modernized system solution be able to collect data from the counties. This occurs through the integrations the current legacy system has with the SOE portal. These integrations are currently facilitated by either batch processing or by direct database access. The following are the areas of the SOE portal that integrate with the current legacy system.

- Candidate Petitions (direct database access)
- Local Candidates (direct database access)
- E-Night (direct database access and batch process)
- File Utility (direct database access)

Additionally, the current system exports data for the purpose of addressing public records requests.

Storage:

The current system employs two types of databases which are [redacted] and [redacted]. [redacted] databases are used by the web applications and the [redacted] applications. Candidate, Committee, and Commissions scanned documents are stored on an on-premises file server. The [redacted] Portal [redacted] application, which enables the exchange of documents between the Division and the Counties, uses [redacted] storage.

b. Current System Resource Requirements

A complete listing and description of FES legacy system software and hardware components is provided in the Section V, Subsection B - Current Hardware and/or Software Inventory below.

c. Current System Performance

FES consists of a multitude of [redacted] programs, the candidate and committee campaign finance reporting electronic filing system (EFS) website and public websites. The current FES system is 18 years old and was launched in 2005. Some of its [redacted] programs date back to 1995 with upgrades occurring periodically (the last being to [redacted] 2016). Modernization is needed and requires modification to improve system security, accommodate user needs, and be sustainable for the foreseeable future. FES legacy system capabilities are no longer capable of efficiently and effectively supporting current business functions or future business needs.

The FES platform is not scalable and is unable to support integration with current or emerging technology. Workflows are not automated, and many essential business functions supported by legacy system applications and databases still require the performance of manual tasks (e.g., processing paper registrations, oath documents that require original signatures, check processing, and data entry from paper forms). Technical constraints and inefficiencies of the legacy FES applications largely dictate current business procedures and workflows. BER desk procedures are written more as guidance for navigating FES screens and applications than for describing operating policies, procedures, and process outcomes.

The legacy FES system currently operates as a multifunctional system with many back-end and public-facing components. The most basic objective of the FES system is to support work performed by BER in a manner that satisfies compliance requirements of governing laws and regulations.

There are several factors driving national trends for the replacement and modernization of information systems. System modernizations generally result in benefits such as increased customer self-service, increased staff efficiency, and updated security among others. DOS could reasonably expect to reap similar benefits through the modernization of the legacy FES system. Furthermore, DOS could rid itself of the burdens of working with and maintaining outdated systems. The following list includes important justifications for this proposed modernization:

- **Growing need to increase usability and efficiency** – systems that are designed to be streamlined and efficient are paramount to any organization. As the business processes of organizations evolve to satisfy

current and future needs, modern systems that are engineered with high usability and efficiency are required to empower these organizations to reach their business goals.

- **Loss of technical skills and resources** – In today's fast paced digital world, agencies are facing the challenge of trying to compensate for an ageing and retiring workforce. Resources with skills in older technologies are increasingly difficult to find. Training and support for these technologies are often no longer available or prohibitively expensive to acquire.
- **Aging hardware and software** – The Department supports FES and EFS with information systems that were built decades ago, with some component functionality dating back to 1995. These systems have become increasingly difficult to operate, maintain, and enhance. The age of the legacy system and its component functionality also increases security risks.
- **Data quality and customer expectations -** In an era of advanced technologies, Floridians, as well as DOS staff, have come to expect systems that better support an automated self-service business model. Given technologies currently available in the general marketplace, users expect the Department to provide an improved level of service, faster response times, and more comprehensive access to information in real-time. It is not possible to meet user expectations with the older technologies currently in use.

2. Information Technology Standards

FES and its supporting systems are governed by the following Information Technology Standards and Rules:

- Rule 60GG-2, F.A.C., which establishes the state standards relating to Information Technology security
- Rule 60GG-4.001, F.A.C., directs state agencies to show a preference for cloud-computing solutions
- Americans with Disability Act, Section 508 Accessibility Compliance

B. Current Hardware and/or Software Inventory

CURRENT SOFTWARE INVENTORY:

Name	Description
BER Imaging Website	This program is used as a document management system. Documents are scanned and attached to an account number. This system is also used to post documents to the web. It utilizes information from candidates, committees, commissioning, and confidentiality.
BER Email Website	This program is used to communicate with candidates and committees regarding reporting deadlines, special elections, and other general information. It utilizes information from candidates, committees, election report definition and filed campaign reports.
Electronic Filing System Website	This program is used by candidates and committees to file campaign finance reports.
Supervisor of Elections Portal - Candidates Petitions Website	This program is used by Supervisors of Elections (SOE) to report to DOE the number of petitions verified for federal and state candidates. The data from this program is also displayed on the public website under each candidate's information.
Supervisor of Elections Portal - Local Candidates Website	The names of county candidates are entered in this program by the Supervisors of Elections (SOE). This information is transferred to the Commissioned officer database - access program using an [redacted]

Name	Description
	program application named [redacted] so that commissions can be generated for elected county officials.
Supervisor of Elections Portal – E-night SOE Website	This program is used by SOE staff to upload election results which subsequently are displayed on the Florida Election Watch web site. It is used to create the unofficial and official county canvasses. It is also used by BER to generate the State Canvass for the Elections Canvassing Commission and the Election Certificates for the Senate, and House of Representatives based upon election results uploaded by the counties.
Supervisor of Elections Portal - Election Admin Website	This program is used to load the qualified candidate to the Election Results database located in [redacted]. It also loads the number of registered voters from book closing. It is used to create ballot certifications for the Supervisors of Elections (SOE). The ballot certifications are provided to the SOEs via the [redacted] program in the Supervisor of Elections Portal.
EFS Admin Internal Website	This is an internal web-based application BER staff use to manage the EFS system used by candidates and committees.
EFS Batch Internal Website	This is an internal web-based application BER staff use to view the campaign treasurer reports.
Supervisor of Elections Portal - File Utility Website	This program allows the SOEs to access ballot certifications from the Division. It is also used to upload the precinct level results to the Division.
Office Accounts Website	This program is used by elected officials to file quarterly reports showing how funds deposited into an office account are spent. BER staff uses the Office Accounts Admin site to monitor for correct reporting.
Matching Funds Website and [redacted] Application	This program is used to process requests from candidates for Governor and Cabinet offices for public campaign financing. The system utilizes the campaign finance reports filed via the EFS.
DOE Public Websites	There are various website links for public access to view information relating to election results, candidates, committees, and campaign finance reports.
Florida Election Commission Website	Used to view report filing information for candidates and committees.
Candidate and Committee [redacted] Application	The CanCom application includes names, addresses and telephone numbers for candidates, treasurers, deputy treasurers, chairpersons, and registered agents. It includes account by election year, office/district/circuit/group (as applicable), and party for candidates, and purpose (candidates and/or issues) for committees.
Commission of Office [redacted]	Used to commission individuals elected or appointed to offices.

Name	Description
Application	Information includes the name, residential address, business address, office held, dates of office, board, dates of oath/fee/questionnaire, as applicable.
Confidential [redacted] Application	Used to track exemptions from public records. On creation of a new confidential record, the system searches for matches by name and city for candidate, committee chairperson, treasurer, and commissioned officers. Those that are matched are marked confidential in the account record. The information for records marked as confidential is redacted when imaged.
Audit [redacted] Application	Used to create campaign report audits, run contribution versus expenditure reports, track notices of audits, run petty cash reports, run excessive contribution reports (contributions for general and primary), etc.
Untimely Filings [redacted] Application	This system is used to create failure to file, fines, and late filed waiver letters. The database then maintains the records for each notice sent. Filers who fail to comply are referred to the Florida Election Commission. This is also used to track payments of fines, FEC referrals for failure to file, fines and repeated late filings, and issuance of FEC final orders regarding same.
Funds [redacted]ccess Application	This system is used to reconcile checks for fine payments, payments for copies and qualifying fees. It also calculates the distributions to the Political Parties.
Reset Password [redacted] Application	Used to issue credentials to candidates and committees.
Statement of Solicitations Website	Used to search candidates and or sitting officials that have filed a Statement of Solicitation to indicate they will be soliciting funds for a particular committee. This information is linked to either their current candidacy or, if they are not currently a candidate, to their official commission number.
Solicitations [redacted] Application	Used by BER staff to record solicitation statements.
Commission Funds [redacted] Application	Used by BER staff to process checks for the commission fee.
Notice of General Election [redacted] Application	Used by BER staff to generate the notice of general election which is noticed in newspapers across the state. This information is utilized in the Election Admin web application to the Ballot Certification for the 67 counties.
Transfer of Office [redacted] Application	Used by BER staff to transfer elected officials from the FES database into the commissioning database.

Name	Description
Minority Reports [redacted] Application	Used by BER staff to do minority reporting.
Define Elections [redacted] Application	Used by BER staff to define future elections and the reports that go with the election.
EFS Reports [redacted] Application	Used by BER staff to run various reports on pending and filed campaign reports, state or local candidate, and committee.
Commission Reports [redacted] Application	Used by BER staff to run various reports on commissioned officers.
Vendor Test [redacted] Application	Access program used by BER staff to set up candidate/committee accounts for vendors to use on the test site.
Local Candidate Admin [redacted] Application	Used by BER staff to run reports to determine which counties have not checked the completion box and to reset that checkbox if a county needs to update information in the Local Candidate website.
Testimonials [redacted] Application	Used by BER staff to store candidate/committee testimonials.
Logs - Mail [redacted] Application	Used by BER staff to log and track incoming mail to the Division of Elections. Commissions, election records.

CURRENT HARDWARE INVENTORY:

Name	Description
[redacted] Virtual Server [redacted], Win [redacted] RAM, [redacted] CPU [redacted]	Web Server hosting four websites: [redacted]
[redacted] Virtual Server [redacted], Win [redacted] RAM, [redacted] CPU [redacted]	Application Server
[redacted] Virtua [redacted] 2003 SP2 [redacted] RAM, [redacted] CPU [redacted]	Application Server
[redacted] Virtual Server [redacted], Win [redacted] RAM, [redacted] CPU [redacted]	Database Server [redacted] 2 production and 1 development
[redacted] Virtual Server [redacted], Win [redacted]	File Server

[redacted] RAM, [redacted] CPU [redacted]	Houses the [redacted] applications

C. Proposed Technical Solution

1. Technical Solution Alternatives

When performing any modernization effort, the "build versus buy" decision must be considered. Whether to "build" a custom solution or acquire third-party software product components or libraries is a choice many governmental agencies, as well as private companies, must make. Oftentimes, neither solution alone works well enough to completely satisfy all of business needs, therefore hybrid solutions are evaluated and considered.

The following are technical solution alternatives considered for the modernization of the legacy FES system.

- **Third-Party Software Product Components and Libraries** – This solution alternative would involve implementing third-party software product components and libraries to completely provide the required capabilities, with some customization as needed.
- **Custom Solution** – A custom solution can be implemented by writing the modernized version of the applications using a completely custom-developed solution.
- **Hybrid Solution** – A hybrid solution would utilize a combination of third-party software products components and libraries in conjunction with custom developed software to construct a solution that best satisfies the requirements and constraints of the business.

Delivery method is another aspect of modernization that must be considered. For example, a decision must be made on whether the entire solution should be delivered all at once or whether the individual components of the solution should be delivered in phases.

The following are the delivery methods considered for the proposed system.

- **Phased Delivery** – Through planning, system components that can be stand-alone programs are identified. These systems are implemented with backward compatibility in mind. For instance, the new system components must be compatible with the older components. This process is repeated until the entire new system is in place.
- **Single Switchover Approach** – The system is planned, implemented, and tested. Then at a particular date, the entire system is deployed.

2. Rationale for Selection

Below is a high-level summary of considerations and decision factors for each technical solution alternative:

- **Third-Party Software Product Components and Libraries Solution** – This solution alternative might provide reduced implementation time and complexity, and ability to scale as needed, but would not fully satisfy DOS requirements without substantial customization (see Hybrid solution). Maintainability with this solution is limited to the configuration options provided. Furthermore, costs are recurring and variable (dependent on vendor support fees). As such, a full deployment of this alternative is not likely to be a viable option for DOS.
- **Custom Solution** - A full custom solution would require significantly more development effort, hardware costs, time, and application support burden, as compared to other options. While a custom solution does provide considerable flexibility and capability to meet the business need, it comes with a prohibitive cost and on-going maintenance burden. A full custom solution is not recommended for this modernization effort.
- **Hybrid Solution** – Based on the scope and breadth of DOS requirements, the unavailability of a complete

package of third-party software to fully satisfy the requirements, and the complexity and cost of a full custom solution, a hybrid solution is recommended. A hybrid solution will allow the Department to capitalize on the advantages of both types of software while also mitigating their disadvantages. This is accomplished by using a combination of existing software products and custom software development to construct a solution that more closely fits the business needs. Note that these existing software products can include software libraries as well as independent applications with customization capabilities.

A phased implementation approach for delivery of a hybrid solution is also recommended for FES modernization. With a phased system modernization in mind, DOS will obtain the best value based in light of project objectives and business needs. The phased hybrid solution approach will also minimize risks that might be encountered with the modernization of critical system infrastructure. The opportunity exists to implement a system that comprehensively encapsulates the activities of BER in a more automated and efficient manner and provides the Bureau with more control over configuration of the system. Selection criteria for delivery options considered, along with an explanation of how the listed criteria correlate to business drivers, are provided below.

- **Risk:** Under a single switchover approach, defects can be deeply embedded before detection and resolution, thereby introducing a greater likelihood of additional re-work. Moreover, with many new processes to learn at one time, the single switchover approach can also present additional challenges in terms of training and change management. These additional challenges can translate into delays or increased implementation costs. As such, the recommended phased approach would more effectively mitigate risks related to time and cost over the course of the modernization project.
- **Change Fatigue:** Change fatigue (i.e., passive resignation or resistance to organizational changes) is a foreseeable factor in any large-scale business or technology transformation effort. Through the application of a generally accepted change management methodology[8] and a phased development approach, change fatigue would be mitigated by allowing the new technology and processes to be rolled out incrementally (rather than all at once which would introduce a greater likelihood to overwhelm staff). The phased approach will also facilitate greater buy-in and adoption of new technology and corresponding modified business processes.
- **Time to Value:** With the phased approach, the time to value is shorter as business value is delivered more quickly than through a single switchover. The phased approach will help to incrementally meet objectives and realize benefits of enhancements such as workflow automation and the elimination of paper and duplicative processes.
- **Flexibility:** Flexibility requires an ability to meet future requirements and adapt to foreseeable and unforeseeable factors that might hinder meeting new requirements. A phased approach offers agility to incorporate required and desired changes throughout the modernization project lifecycle.
- **Fail Safe:** A phased approach will ensure that benefits of project development are realized in any event that work is disrupted or terminated prior to project completion. Modular phasing would allow BER to realize the value and benefits of the phases completed prior to any potential work disruption or project termination.
- **Complexity:** A phased approach does present additional complexity during development due to a need to simultaneously support current functionality while incrementally rolling out new functionality. Such additional layers of complexity would not be present (or would not be present to the same degree) under a single switchover approach.

[8] For an example of a generally accepted change management mode and methodology, see: https://www.prosci.com/methodology/adkar

Table 6 below provides a comparison of selection considerations between delivery methods.

Table 6: Selection Criteria for Recommended Business Solution

Delivery Methods and Considerations		
Item	**Single Switchover Benefits**	**Phased Implementation Benefits**
Risk	Greater Risk	Less Risk
Change Fatigue	Greater Likelihood	Some Likelihood
Time to Value	Longer time to value	Shorter time to value
Flexibility	Limited Flexibility	Maximum Flexibility
Fail Safe	All or Nothing	Retain Benefits of Incremental Development
Complexity	Moderate Relative Complexity	Greater Relative Complexity

3. Recommended Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a combination of third-party software product components and libraries and custom development that will satisfy the requirements for each component of the system.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed solution will result in a strategic rewrite and replacement of the technical software components of the current system using a hybrid approach of custom development and deployment of third-party software product components or libraries if or when they are applicable. The Department's desire to maintain possession and control of the code base for functionality related to data capture, storage, and retention is a policy imperative that will limit the scope of options involving third-party software product components or libraries. The resulting application will meet the Department's business needs for a system that is seamlessly integrated with external entities to help facilitate required information sharing. Furthermore, the resulting system will be more cost effective and secure than its predecessor. It will be built upon a modern architecture foundation, enhancing efficiency, and greatly reducing the risk of technical obsolescence that exists in the current legacy system. The resulting system will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements. Figure 11 below provides an overview of the proposed technical solution.

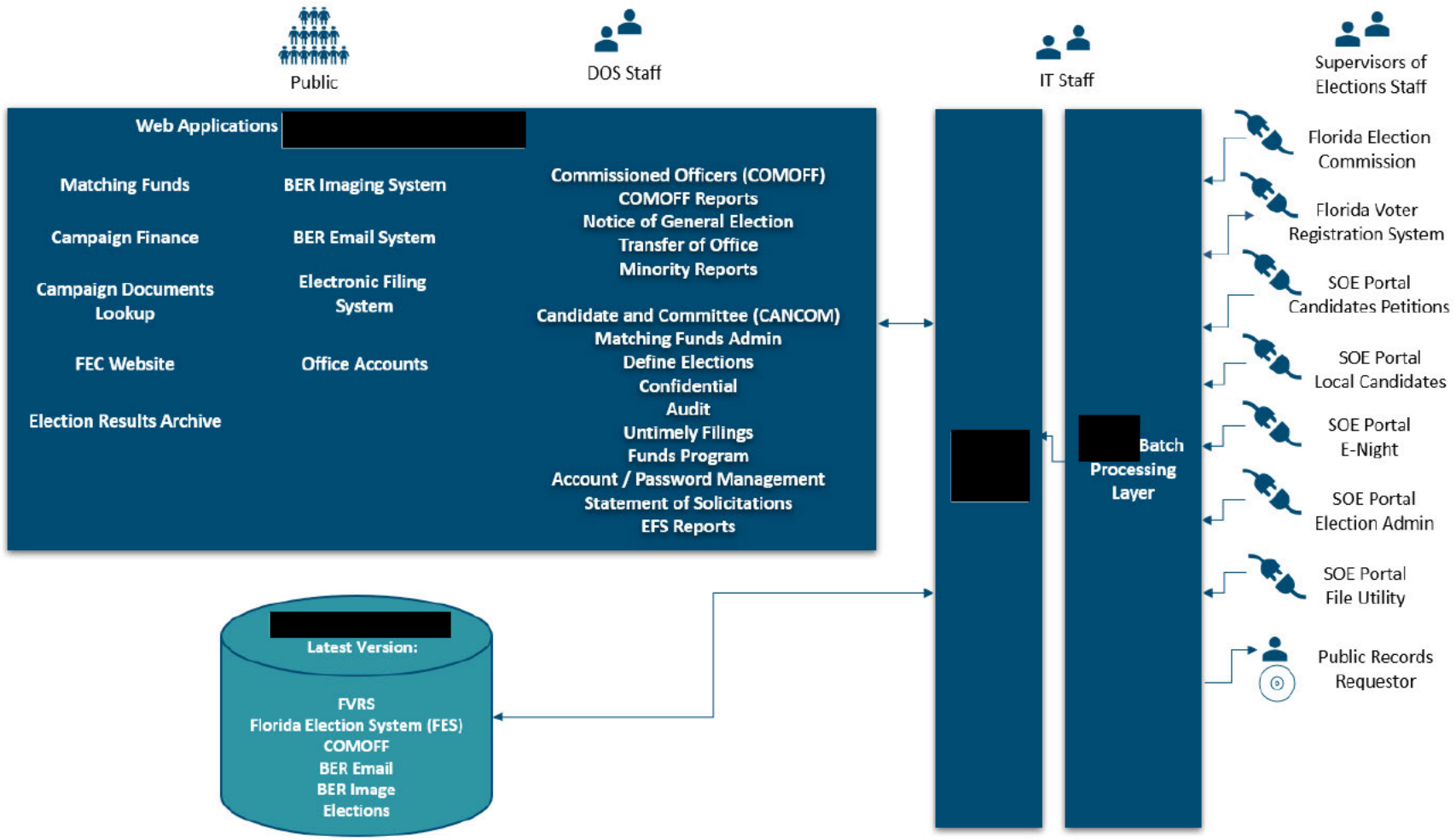


Figure 10 – Proposed Modernized System Solution

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

Based on target dates for deployment and project completion, staffing levels will need to be planned carefully to meet project milestone deadlines. While IT resources will be needed for development and implementation, program area subject matter experts will be needed for consultation on business processes and functional needs.

For the project's design, development, testing, and deployment activities, as well as implementation, the Department will seek a vendor, competitively procured, to fulfill all project deliverables and features.

As the project develops, consideration must also be given to ongoing resource assignments for system maintenance. With the requirement for the new system accommodate internal O&M, DOS will need to determine the amount and type of internal resources to dedicate to ongoing maintenance. This may require additional FTEs or that current FTEs supporting the legacy system can be shifted completely or partially to other priority areas for DOS.

On the program side, BER will need to consider staff resources during the implementation phases and post-implementation landscape of the work. Current job descriptions should be reviewed in consideration of how processes will change current work and how resources can be redirected within the new business processes that will be enhanced with the new system. This is a critical element of organizational change management that will require early and frequent communication with team members, transparent and strategic planning, and intentional collaboration between management, the IT team, and all BER staff.

All required information related to "Resource and Summary Level Funding Requirements for Proposed Solution" is provided in Appendix A- Cost Benefit Analysis Workbook.

E. Capacity Planning

The scale of the current systems workload for BER is cyclical and is dependent upon elections that transpire within the state to dictate work levels. Because of the current system's reliance upon manual processes and procedures, it is quite plausible that the proposed modernized system will free up the capacity of some BER staff to address other important work within the bureau.

Essential requirements of a modernized system solution are flexibility and scalability. As laws, regulations, administrative rules, business processes, and best practices change, the technology and systems used by the BER also need to be adaptable. As such, consideration should be given to how such changes impact the system architecture, functionality, interfaces, and workflow.

With the public's interest and desire for greater accessibility to data, it is imperative that the proposed modernized system not only be robust enough to handle the demands of today but also the needs of tomorrow. With the fastest population growth in the nation,[9] Florida's BER will be faced with a growing workload of candidate and committee qualifications and campaign finance audits in the future. Special districts, which comprise a significant number of the commissions issued by BER, have more than doubled in number from 944 in 1990 to 2,202 as of January 1, 2023 (an increase of 133%).[10] With the rate of current and projected population growth in Florida, it is reasonably foreseeable that the growth in special districts will continue to increase as well. As such, the proposed modernized system will need to be scalable as well as flexible enough to accommodate this growth and provide DOS staff and customers with a best-in-class solution.

[9] Perry, Marc; Rogers, Luke; Wilder, Kristie. (2022, December 22). New Florida Estimates Show Nation's Third-Largest State Reaching Historic Milestone. *United States Census Bureau*. https://www.census.gov/library/stories/2022/12/florida-fastest-growing-state.html#:~:text=Florida's%20population%20increased%20by%201.9,its%201946%20population%20of%202%2C440%2C000.

[10] Florida Department of Economic Opportunity Special District Accountability Program: https://floridajobs.org/community-planning-and-development/special-districts/special-district-accountability-program/official-list-of-special-districts

VI. Schedule IV-B Project Management Planning

In accordance with guidelines established for this section of the Schedule IV-B, DOS will leverage its experience with similar engagements and follow a project management methodology that includes the following requirements:

- **Project scope** – provide the baseline definition of the project's objectives and what the project will deliver.
- **Project phasing plan** - for projects greater than one fiscal year, provide a project phasing plan that defines, where possible, independent phases/subprojects.
- **Baseline schedule** – identify the high-level tasks and major milestones for the project to include, where appropriate, procurement, analysis, design, development, configuration, data conversion, testing, training, and implementation.
- **Project organization** – define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams.
- **Quality assurance plan** – describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and independent verification & validation (IV&V).
- **Risk management** – describe the agency's processes for identifying, documenting, and mitigating project issues and risks.
- **Implementation plan** – describe approach for placing the system into production and retire current system(s). Tools may include a transition plan, knowledge transfer plan, and change management.

Predictability, accountability, and flexibility are key elements that must be embraced by the overall project management approach to ensure DOS's satisfaction and project success. Successful project management must include active and visible leadership, multiple controls and checkpoints with measurable outcomes, and engagement with all stakeholders. DOS believes effective project management is critical throughout the project life cycle.

In alignment with the DOS goal to bolster its technical infrastructure, it is continuing its modernization efforts for multiple systems. These modernization projects will enhance the services DOS is statutorily charged to provide to the state of Florida, including strengthening elections integrity and security. For this project, the Department intends to utilize a project portfolio management (PPM) approach for oversight of the following three system modernization projects:

- FVRS modernization (Florida Voter Registration System)
- FES modernization (Florida Statewide Electronic Campaign Finance Reporting System)
- FLRules.org (site and system supporting administration of the Florida Administrative Register, Florida Administrative Code, and the Laws of Florida)

PPM is a process by which multiple projects are evaluated and executed to ensure strategic alignment with organizational goals. PPM provides executives, project managers, team members, and stakeholders an overarching view of their projects, including how they fit into the organization's directives and strategy, thereby lending insights into the potential returns and risks involved. Under this PPM approach, the three system modernization projects are managed centrally through the PMO's strategic oversight and management infrastructure, as well as at the individual project level through the modernization Project Manager. In this manner, PPM provides a mechanism for aligning an organization's project management approach to its goals. PPM also drives the following positive outcomes:

- Clarity of purpose
- "Big-Picture" thinking
- More effective resource allocation and management
- Increased efficiency and productivity (cost effectiveness)
- Improved agility
- ROI maximized

The Department's project management approach will utilize the technical skills, tools, and techniques needed to succeed, as well as the dedication to accountability, resource commitment, and organizational focus. Project success will be the result of active communication among all individuals, understanding everyone's role in the project, and clear delineation of responsibilities.

The Department believes successful project management is substantially dependent on the following factors:

- Clearly established project goals and requirements
- Ongoing assessment of quality against established standards
- Constant measurement of success against established deliverables and milestones
- Personal presence and commitment of key project leadership
- Proactive identification and communication of risks and issues

The primary project management methodology used by DOS is based on the Project Management Institute's Project Management Framework. The DOS Project Manager, along with any contracted vendors supporting the FES Modernization Project, will determine an appropriate project management methodology. The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific project management methodology employed, certain management and control mechanisms will be relevant to all phases of this project, including:

- Project Charter that clearly conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- Project Management Plan (PM Plan)
- Baseline project schedule
- Independent Verification and Validation (IV&V)
- Change Management Procedures
- Project Issues Register
- Project Risk Register
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the PM Plan, will assist both the Project Manager and Project Sponsor in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress, identifying, documenting, evaluating, and resolving project related problems that may arise.
- Reviewing, evaluating, and making decisions regarding proposed changes; changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders.
- Monitoring and taking appropriate actions regarding risks as required by the risk management plan.
- Monitoring and tracking issues as required by a documented issue reporting and management process.
- Monitoring the quality of project deliverables and taking appropriate actions regarding any project deliverables that are deficient in quality.

The sections below expand upon elements of the PM Plan that will be in place at project initiation. The PM Plan is compliant with Rules 60GG-1.001 through 60GG-1.009, F.A.C., known as the Florida Information Technology Project Management and Oversight Standards.

A. Project Charter

The project charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the Department's purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for enterprise-level project management of the FES modernization project.

The subsections that follow explain the project management approach for the FES modernization component of the overall PPM process described above. Project management for modernization of the FVRS and Florida Rules systems as part of the PPM process described above is addressed in separate Schedule IV-B's.

1. Project Name

This project will be referred to as the FES Modernization.

2. Purpose and Objectives

The Florida Election System (FES) consists of a multitude of [redacted] programs, the candidate and committee campaign finance reporting electronic filing system (EFS) website and public websites. The current FES system is 18 years old was launched in 2005. Some of its [redacted] programs date back to 1995 with upgrades occurring periodically (the last being to [redacted] 2016). Modernization is needed and requires modification to improve system security, accommodate user needs, and be sustainable for the foreseeable future. FES legacy system capabilities are no longer capable of efficiently and effectively supporting current business functions or future business needs.

The FES platform is not scalable and is unable to support integration with current or emerging technology. Workflows are not automated, and many essential business functions supported by legacy system applications and databases still require the performance of manual tasks (e.g., processing paper registrations, oath documents that require original signatures, check processing, and data entry from paper forms). Technical constraints and inefficiencies of the legacy FES applications largely dictate current business procedures and workflows. BER desk procedures are written more as guidance for navigating FES screens and applications than for describing operating policies, procedures, and process outcomes.

Among back-end component subsystems or applications of the FES system that support mission-critical needs are the following:

- **Candidate/Committee (CanCom) Application** – Registration application that includes names, addresses, telephone numbers for candidates, treasurers, deputy treasurers, chairpersons, and registered agents. Information in CanCom includes registered candidate or entity account by election year, office/district/circuit/group (as applicable), and party affiliation for candidates. CanCom also includes the purpose (e.g., candidates and/or issues) for registered committees.

- **Campaign Finance Database** – A database of registered candidates, committees, ~~and~~ electioneering communications organizations, and political parties who are required by statute to electronically file their financial reports. Information related to campaign finance reports is captured, stored, and maintained in the Campaign Finance Database and is made available to the public via a searchable web portal within the DOE web site.

- **User Portal for Filing Campaign Reports** – Web portal and database that make up the Florida Statewide Electronic Campaign Finance Reporting System (EFS). Candidates and political organizations are required by state law to electronically file certain campaign reports throughout the election cycle.

- **Officeholder Statements of Solicitation** – FES application that captures required filings that include names of certain officeholders who solicit or accept contributions from organizations exempt from taxation under s.527 or s.501(c)(4) of the Internal Revenue Code.

- **Public Campaign Finance** – Application and component within FES database. Candidates for governor and statewide offices can receive public campaign financing in the form of public matching funds.

- **Audit** – Database used to create and record required compliance audits related to campaign finance reports, run contribution versus expenditure reports, track notices of audits, run petty cash reports, and run excessive contribution reports (contributions for general and primary that exceed statutory limits).

- **Commissioned Officer (ComOff) Database** – Data captured in the ComOff database includes an entire history of commissioned officers from first appointment or election. ComOff also records name, residential address, business address, office held, dates of office, board, dates of oath/fee/questionnaire, as applicable. Although not related to Chapter 106, Florida Statutes, (Campaign Financing), this database supports functions of the Office of the Secretary required to be performed pursuant to Chapter 113, Florida Statutes (Commissions), as well as a multitude of statutory provisions that apply to commissioning requirements for appointed officials serving on state, regional, or local boards, commissions, or other public entities.

Highly visible, public-facing components of the FES system accessible via the Department's website include:

- Campaign Finance Database – searchable database that provides Information on campaign finance and access to campaign finance records.
- Candidates and Races Database – database to track candidates for federal, state, judicial, multi-county, and special district offices for future and past elections.

- Campaign Documents Database – searchable database of filed campaign documents that include qualifying documents, correspondence, audits, and Florida Elections Commission activity on file with DOE.

- Committee Database – searchable database containing records of political committees and other registered groups.

Key stakeholders of the current legacy system were described in the Executive Summary.

To address limitations and inefficiencies of the current system, functional and technical requirements, success criteria, key performance indicators (KPIs), and benefits of a new replacement system have been organized into the following five categories listed below and described more fully in Section II - Schedule IV-B Business Case – Strategic Needs Assessment.

- Enhanced User and Customer Interfaces
- Improved Functionality to Accommodate Business Needs
- Modernized System Architecture
- Automated Workflow Management
- Well-Defined Contract Provisions (for design, development, support, and maintenance)

Modernization and replacement of the FES system is consistent with the Department's strategic direction set forth in its Long-Range Program Plan (LRPP), guided by the state's budget policy, legislative mandates, and the Governor's priorities (which include promoting greater transparency at all levels of government).

The overarching business objective of FES system modernization is to better support the Department's mission, vision, goals, and objectives. In furtherance of its mission, it is the Department's objective to continue to bolster its technical infrastructure as needed to implement security enhancements and improve public access to election records and foster campaign finance transparency. The Department's long-range goals related to BER and the associated objectives for each goal were listed and illustrated previously in Figure 5 – Department Goals and

Objectives For BER.

The Department's goals are directly advanced by implementation of a modernized replacement system, with both tangible and intangible benefits expected. Those benefits were previously outlined in Section IV - Benefits Realization Table. A brief listing of FES system replacement objectives is given below:

- Develop replacement system functionality to accommodate business needs.
- Replace FES with modern system architecture.
- Improve and expand automated workflow management.
- Enhance User and Customer Interfaces.
- Adopt well-defined service level provisions for new system development, support, and maintenance.

The FES system modernization will apply proven best practices and employ state-of-the-art technology to maximize efficiency and improve performance outcomes. In support of these objectives, and with recommended system changes, DOS will:

- Implement a system that continues to fully comply with state and federal laws, regulations, and be able to adapt to changing policy landscapes quickly with less expense.
- Improve internal and external security.
- Standardize and maximize business processes and tools to achieve efficiency and leverage capacity to keep pace with the prevailing workloads.
- Provide report customization capabilities.
- Provide automated data population and cascading of data between input screens to improve productivity and data integrity.
- Implement a system that efficiently interfaces with external integration points to obtain and share data needed to determine compliance, verify information, and streamline the registration and filing processes.
- Provide simultaneous access to data among various users.
- Implement a case management system to store data for internal and external users.
- Automate resource assignments and re-assignments for required work based on the process flow.
- Prioritize workflow management alerts to bring important items to the top of alert notifications.
- Allow staff and supervisors to monitor assigned work in real-time to efficiently manage time and staff resources.
- Allow management to monitor the assignments of workers more effectively under their supervision.
- Eliminate duplicative data entry between different systems or different applications within the same system.
- Better support staff training.

3. Project Phases

This project will be developed in four phases (Pre-Implementation, Define, Design/Develop, and Deploy).

A. **Pre-Implementation** – this phase will include the following activities:

   i. Develop and Execute Procurement
      a. Development Staff Augmentation
      b. Project Management
      c. IV&V or QA Services

B. **Define** - this phase will include the following activities:

   i. Map Workflows

ii. Establish Teams
iii. Define System Architecture
iv. Change Impact Analysis (IA) for Traceability and Dependency
v. Requirements Definition
vi. Business Rule Development and Definition
vii. Determine Software Development Methodology
viii. Procurement of Third-Party Software Components and Libraries
ix. Develop Project Management Plan

3. **Design/Develop -** this phase will put into place the core solution functionality. Modernization efforts will cover the following initiatives:

i. Establish System Architecture
ii. Data Conversion
iii. Iterative Module Development (Define, Design, Develop, Test, Deploy)
iv. User Acceptance Testing
v. Staff Training
vi. Project Management
vii. Organizational Change Management
viii. Independent Verification and Validation or QA Services
ix. Benefits Realization Management

4. **Deploy (Production Deployment and Operations and Maintenance)** – This phase will include the final rollout of the full, modernized solution developed for business processes within each of the three system modernization efforts previously described. Following full implementation, DOS will move into in-house operations and maintenance.

B. Project Scope

The vision for all three system modernization efforts encompassed within this project is to implement immediate system performance and functional improvement needs while positioning DOS with secure, scalable, cost-efficient, and sustainable system architecture and agile support processes.

To realize this vision for immediate improvement and long-term sustainability, technology and resource investments are necessary in fiscal years 2024-25 through 2027-28. These investments will result in long-term benefits to Floridians in the form of immediate service improvements and long-term benefits to DOS in reduced system maintenance time and cost.

To ensure the most efficient and effective implementation of projects included in the modernization project, it is the Department's intention to acquire the services of a contracted Project Manager ("PMO") experienced in the planning and oversight for implementation of multi-year system modernization initiatives, as well as IV&V services (or comparable QA services) to ensure that projects are executed with minimal cost and schedule variance. Modernization project teams will be comprised of a combination DOS and third-party resources.

The Department will oversee a governance process ensuring that there is an integrated process, vertically and horizontally, for requesting new projects and funding. Specifically:

- Vertical integration requires receiving bottom-up input on the costs and status of each project element and top-down prioritization and approval of prospective projects.
- Horizontal integration requires the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

The FES Modernization Project Team will work in conjunction with the PMO to achieve the FES modernization project goals and objectives. The FES Modernization Project Manager will coordinate with the PMO for budget, schedule, scope, and status reporting.

Project scope will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation the FES modernized system to support the following teams and activities:

- Project Management Team
- Organizational change management
- IV&V
- Solution architecture
- Integration of business units
- Data conversion and integration
- External interfaces (full SDLC)
- Self-service portal (full SDLC)
- Case and workload management (full SDLC)
- Reporting functions (full SDLC)
- System implementation
- Content development for training materials
- End-user training
- Operations and maintenance planning

C. Implementation Plan

The Implementation Plan describes the proposed steps needed to implement the FES Modernization Project , including all system replacements and enhancements. The plan begins with the initial procurement of external resources needed to achieve project outcomes, outlines initial deliverables for the overall project, and finishes with a communication plan for the project. All three elements of the Implementation Plan are subject to change as the enterprise modernization project evolves, the systems develop, and the corresponding program areas identify any additional requirements or changes. The final Implementation Plan will be incorporated into the Project Management Plan and approved by the DOS Project Manager, Project Sponsor, and Executive Committee.

1. Procurement Management Approach

The procurement management plan seeks to outline how the project will procure resources necessary to complete project objectives for the FES Modernization Project included within this project charter. It will define the procurement methodology for this project, lay out the process for managing procurement throughout the life of the project, and will be updated if and when project needs change. When finalized, this plan will identify and define the goods and services to be procured, the types of contracts to be used in support of this project, the contract approval process, and the decision criteria. Coordinating the procurement activities, establishing firm contract deliverables, and setting metrics in measuring procurement activities are critical to project success.

The DOS Purchasing Office and any external resources contracted for procurement support will provide oversight and management for all procurement activities under this project. The FES Modernization Project Team, in conjunction with the PMO, will review and refine all procurement needs prior to approving the development of final procurement documentation.

The following subsections propose details for the FES procurement management approach, which must be approved by the Project Sponsor and Purchasing Manager prior to inclusion in the project.

Table 7: Procurements Essential for FES Modernization Project's Success proposes the goods and services

determined to be essential to the FES portion of the DOS Modernization Project that must be obtained outside of or in addition to in-house resources. These items may change as the project evolves and initial planning activities are conducted within DOS.

Table 7: Procurements Essential for FES Modernization Project's Success

Procurement	Description	Justification	Needed By
Project Management Office (PMO)	The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes.	The DOS intends to use a central PMO for all concurrent system modernization projects. A single PMO will ensure project alignment and resource maximization. A contracted PMO will provide management resources not available within DOS due to limited staff resources to be dedicated to a special, long-term project.	July 2024
Vendor Selection	Vendors will be procured based on the current state term contract for IT project development resources.	Vendor development staff will be used to ensure project completion within the established schedule.	September 2024
IV&V (or Quality Assurance services)	IV&V services will provide independent oversight of the project activities.	Outsourcing these services is essential for an independent, unbiased perspective on project activities.	July 2024
Organizational Change Management (OCM)	The new modernized systems will require diligent management, involving training and transparent communication with all affected staff and partners and strategic deployment of new processes and information. Because system documentation of the current system is incomplete, the OCM process should include a comprehensive review of how the design and functionality of the new system will impact current processes and staffing (i.e., Change Impact Analysis for Traceability and Dependency).	External OCM will provide DOS the comprehensive resources needed to manage the changes brought about by the modernization project, including partner liaising, staff training, communication planning, and policy updates.	January 2025

2. Project Deliverables

Table 8: Project Deliverables below contains a preliminary list of project deliverables related to modernization efforts included within this project charter. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected PMO vendor and will be appropriate to the technology solution chosen.

Table 8: Project Deliverables

Name	Deliverable Description
Project Management Status Reports	Regular status reports to project management team per the project schedule.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Summaries	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the DOS Legislative Budget Request for follow-on phases.
Project Charter	Issued by the Project Sponsor and formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
Project Management Plan	Includes the following documents as required by the DOS Project Director: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.

Name	Deliverable Description
To-Be Business Process Flows	Represents the future state of election records business processes, as reengineered by the vendor in conjunction with DOS subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specifications	Detailed technical design for data and information processing in the new business system to include: • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design. This includes the processes of detailed data conversion mapping data extraction, transformation, and migrating data.
OCM Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Regular status reports from the OCM vendor per the project schedule.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to "go live" with the project and identifies action plans to remedy any lack of readiness.
IV&V (or QA) Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V (or QA) Status Reports	Quarterly reports to the Executive Management Team.
IV&V (or QA) Periodic Assessments	Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to: • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary

Name	Deliverable Description
	• Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Test Plans and Cases	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing. Test cases will include documented sets of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation and post- implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

a. *Project Milestones*

It is anticipated project milestones determined to be essential to the FES portion of the DOS Modernization Project will be managed according to Table 9 below. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require Project Sponsor sign-off prior to commencing the next activity.

Table 9: Project Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Vendor Procurement	• Post bid for PMO Service • Post bid for IV&V Service • Post bid for Development Services

Milestone	Deliverable(s) to Complete
Vendor Selection and Contract Execution	• Select PMO Vendor and Execute Contract • Select IV&V Vendor and Execute Contract • Select Development Service Provider and Execute Contract
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed for Each Phase	• As-Is Business Process Flows • To-Be Business Process Flows
Acceptance of Functional and Technical Requirements for Each Phase	• System Requirements Document • Validated Functional Requirements Document • Requirements Traceability Matrix
Acceptance of User Interface Prototypes for Each Module	• User Interface Prototypes
Acceptance of Each Phase's Functional and Technical Design Specifications	• Functional and Technical Design Specification documents
User Acceptance Testing for Each Module Completed	• NA
End User Training for Each Module Completed	• On-site training sessions • Training materials
Final System Deployment Approval	• IV&V system readiness certification
System Deployment Phases	• Functional system released into production
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklists • Project Close-out Checklist

b. *General Project Approach*

The following activities are required to finish the FES Transformation project:

- Submit a Legislative Budget Request
- Perform Schedule IV-B Feasibility Study update
- Execute procurement(s)
- Execute contract(s)
- Execute the project
- Monitor and control the project
- Develop and test the proposed solution as described in the Technology Planning section per the plan outlined in Figure 12- FES Modernization Solution Roadmap

- Implement the proposed solution modules as completed and validated (iterative)
- Conduct Organizational Change Management and Communications activities (iterative)
- Develop and Conduct Training (iterative)
- Deploy the system to trained users who are fully prepared to use the new system and are supported by on-screen help (iterative)
- Conduct knowledge transfer
- Continued operations, administration, and support of the system via in-house operations and maintenance
- Close Out the project
- Operate and enhance the system throughout its service life

c. *Change Request Process*

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the Project Team in accordance with a documented change management plan or documented change management procedures. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request by the Project Sponsor and its validation by the Project Team, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned, and the request will be scheduled accordingly.

3. Project Communication

Communication management seeks to provide a comprehensive framework for all communication necessary to keep stakeholders informed about the project's direction and status. The purpose of the project communication plan is to put into place infrastructure to facilitate clear and timely communication of project objectives and promote successful project outcomes.

a. *Communication Plan*

The communication plan is designed to provide the right information, at the right level, to the right audience, at the right time. The plan addresses key audiences, messages, frequency, and methods of communication.

This plan, depicted in Table 10 below, describes the various forms of communication, appropriate channels of communication, and target audiences for this project. The communication matrix identifies the different tools that will be used to guide the planning for communication about the project to various audiences and purposes. It should be considered a general guide for the effective dissemination of information that is received, understood, and utilized by the target audiences for successful completion of the project. This communication matrix will be customized for each project to reflect the various communication forms, frequencies, and audiences that will actually be used during the course of the project and to ensure communication channels are properly maintained throughout the project and updated if communication needs to change.

Table 10: Project Communication Matrix

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Status Reports	Provide detailed information on the progress of the project against the plan	Email	Per project schedule	Mandatory	FES Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Status Meetings	Review the status report, resolve issues, and make decisions	Meeting	Per project schedule	Mandatory	FES Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Sponsor Meetings	Review project progress, resolve issues, and make decisions at an executive level	Meeting	Monthly	Mandatory	DOS CIO	DOS Leadership (Project Sponsor)	Verbal and follow-up email
Project Deliverables	Provide deliverables to Modernization PM	Email	Per project schedule	Mandatory	FES Modernization Project Team Member	FES Modernization Project Manager and Deliverable Review Team, PMO	Written vetted, consolidated, and actionable comments
Deliverable Review Feedback	Provide vetted, consolidated, and actionable written comments	Email	Per project schedule	Mandatory	Deliverable Review Team	FES Modernization Project Team Member (Deliverable Developer)	Written /email follow-up using Deliverable Review Comment Form
Deliverable Review Meetings	Confirm mutual understanding of desired deliverable changes	Meeting	As needed	Informational	FES Modernization Project Team Member (Deliverable Developer)	FES Modernization Project Manager, Deliverable Review Team, subject matter experts (SMEs), PMO	Verbal or written

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Work Sessions	Gather information from subject matter experts (current providers)	Meeting	Per project schedule	Mandatory	FES Modernization Project Team Member	SMEs	Verbal and follow-up email
Work Session Follow-Up	To answer questions or clarify information gathered	Email	As needed	Informational	FES Modernization Project Team Member	FES Modernization Project Manager, Deliverable Review Team, SMEs	Verbal or email follow-up
Project issues	Documentation of project issues	Email	As needed	Mandatory	Any Stakeholder	FES Modernization Project Manager Vendor Project Manager PMO	Written/email follow-up
Project issues escalation	To resolve project issues	Email	As needed	Mandatory	FES Modernization Project Manager or PMO	DOS Leadership (Project Sponsor)	Written/email follow-up
Change requests	Document project changes to scope of work	Email	As needed	Mandatory	FES Modernization Project Manager and PMO	DOS Leadership (Project Sponsor)	Written/email follow-up
Project closeout and lessons learned	Formal project closeout meeting	Email	Per project schedule	Mandatory	Modernization Project Manager	DOS Leadership (Project Sponsor) and PMO	Written/email follow-up

b. Status Reporting

Third-party providers will be required to submit status reports throughout the project at several levels. The primary source of status information is the recurring (at regular intervals per the project schedule) written status report, which will communicate, at minimum, the information listed below. The PMO will preside over the regularly scheduled DOS Modernization Project Meetings, which will be attended by the Project Managers from the three modernizations. Status reports will be collected by the PMO ahead of the meeting, reviewed, and discussed at the regularly occurring meetings.

Project Status. This section depicts the project status at a summary level using a red/yellow/green method

supported by two to three essential questions that are answered to determine summary status. The red/yellow/green method is not meant to be a grading system but instead it is a way to easily identify the areas of the project that need the most attention to make the project successful.

Overview of Project Progress. This section describes significant accomplishments achieved in the reporting period.

Project Milestones, Deliverables, and Latest Tasks. This section contains the major deliverables of the project, their planned and actual completion dates, and their status.

Risks, Action Items, Issues, and Decisions. This section will link to the project risk, action item, issue, and decision tracking tool. The project tracking tool contains all items tracked during the project.

D. Project Schedule

Schedule Management is to be conducted at both the portfolio and individual project levels. Schedule management consists of the following three areas: schedule development, schedule administration, and schedule change control. The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the FES Modernization Project Manager and the PMO. The PMO's primary schedule management responsibility is to develop an Integrated Master Schedule (IMS), which will encompass the three individual modernization project schedules. It is important to maintain a centralized view of the schedules, especially given that the Department will be leveraging shared resources across projects.

The proposed system modernization project will be four years in length, with planning during the first six months and full production deployment during the last six months. The remaining three years consist of iterative development executed through sprints of two-to-four weeks covering the full Software Development Life Cycle (SDLC). In accordance with the State of Florida's cloud-first policy set forth in Rule 60GG-4.001, F.A.C., technology enhancements will focus on updating the code base and migrating to the cloud. The proposed replacement system and its components should be developed and refreshed in iterations to allow for user testing and modifications.

1. Schedule Development

Schedule development is the process of taking the project scope of work and breaking it down into activities and tasks that can be assigned and managed in project management software capable of tracking tasks. Tasks that are dependent on others are linked using the predecessor and successor columns.

A schedule baseline establishes the expected delivery dates of project activities at a point in time. Baselines are used to track variances from original approved plans for the project. The FES Modernization Project Team uses the baseline feature of the project management software to establish a snapshot of the established dates for tasks. A schedule baseline will be updated only if needed to correct errors and adjust for any approved change requests. Once a change request is approved, the project schedule manager performs a re-baselining of specific tasks impacted.

The FES Modernization Project Team reviews the progress of tasks against the baseline dates to monitor project progress and identifies areas of schedule slippage requiring corrective action to ensure the project remains on schedule.

The Project Schedule is developed with various project management software "views" that are configured by the modernization project team for specific purposes. A project management software view is a defined combination of schedule columns and graphic chart display attributes (task bar types, bar colors, text font, etc.). Most project management software includes "out-of-the-box" views that the user can customize or copy to define new views. The main custom view (Modernization-Default) is used for generating a basic task list for general dissemination to project stakeholders. The columns displayed within the Modernization-Default view are:

- **ID:** A sequential number to denote a line number.

- **Unique ID:** A number that is assigned to a created task (row) and is carried within that task, regardless of a change in its line number.
- **Task Name:** A text descriptor of the task.
- **% Complete:** A percentage representation of the task's completion based on its duration.
- **Duration:** A number (in days) denoting the length of a task from start to finish.
- **Start Date**: The date the task is scheduled (planned) to begin.
- **Finish Date:** The date the task is scheduled (planned) to complete.
- **Start Variance:** The amount of time (in days) representing the difference between the baselined start date and the current planned start date.
- **Finish Variance:** The amount of time (in days) representing the difference between the baselined completion date and the current planned completion date.
- **Predecessor:** The ID (line number) of the task that precedes a given task.
- **Successor:** The ID (line number) of the task that follows a given task.
- **Notes:** A free-form text column that is used to capture any comments or information about a task.

2. Schedule Administration

The schedule will be kept up to date as specified in the PM Plan. Task progress and percent completion will be input into the schedule. Variances between planned and actual progress will be managed with particular attention to the critical path. The PMO will evaluate the baselined schedule against current progress, identifying the following at a minimum:

- Overdue tasks and computation of the percentage of late tasks related to total tasks to date (number of overdue tasks divided by number of total tasks).
- Overall task completion trending towards an overall project variance equal to or greater than 10%.

The FES Modernization Project Manager will communicate the variance explanation to the key stakeholders. This information will be used as input into recurring status reporting. Any variance where the critical path is significantly behind will automatically result in an action item for discussion at the the recurring status meeting or earlier.

Corrective actions will be developed as needed to resolve schedule variances. Schedule management techniques of crashing, fast-tracking, and compression will be considered as will other solutions like resource shifting or work rescheduling. Schedule forecasting will be used to look beyond the current status so that, to every extent possible, corrective actions can be applied before there are schedule variances.

Below are quality control checks that will be followed to maintain a functional and reliable Project Schedule.

Task Traceability:

All non-summary project tasks have at least one predecessor to depict relationships between different project tasks and outputs so project subcomponents can be fully traced through project completion. Task traceability demonstrates that the schedule responds dynamically to date shifts, i.e., delayed activities.

Critical Path Monitoring:

Project management software will calculate the Critical Path based on how the tasks are connected in sequence. The Critical Path is considered accurate if the necessary dependencies among tasks are correctly established using predecessors and successors. The PMO is responsible for validating the calculated Critical Path at regular intervals per the PM Plan. The PMO also reviews the Critical Path as new tasks are added or reconnected with other tasks.

Schedule Management Best Practices Checks:

The PMO will conduct Best Practices checks regularly and follow guidelines provided by Florida Digital Service as

part of its quality checklist.

3. Schedule Changes

Once the schedule has been developed, approved, and baselined any significant changes (impacting the Critical Path, deliverable milestone dates, or the project completion date) will have to be approved through the Change Management process. All other schedule changes can be made at the discretion of the FES Modernization Project Manager and the PMO. Such changes will be reported in the Status Report and discussed at the Status Meeting.

E. Project Organization

The purpose of this section is to outline how the enterprise DOS modernization project will manage staffing requirements and resource tasks appropriately. This project plan calls for additional staffing for most project initiatives through staff augmentation contracts. The needs for each project have been estimated before the project and will be refined during requirements gathering and procurement of services.

Successful implementation of the proposed solutions requires establishing a model of governance by applying a structured decision-making process. Functions critical to project success within this governance process will include measures to document and maintain requirements and compare solutions in advance of implementing architectural change. Such a process will also facilitate decision-making and manage all aspects of the modernization efforts.

The Department's enterprise approach and governance structure ensures that there is an integrated process, vertically and horizontally, for requesting new projects and funding.

- Vertical integration requires receiving bottom-up input on the costs and status of each project element and top-down prioritization and approval of prospective projects.
- Horizontal integration requires the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

The Project Team will serve as the single point of contact for budget, schedule, scope, and status reporting. A critical role and function of the Project Team will be to ensure that approved projects effectively engage stakeholders and maintain a high level of efficient, coordinated, and productive collaboration.

Effective collaboration is essential to the successful implementation of the proposed solution. Collaboration provides visibility to stakeholders, produces the necessary exchange of information, coordinates work efforts, and produces useful information about stakeholder needs. The Project Team will establish guidelines for effectively managing collaboration with project stakeholders before, during, and between projects or project phases.

The Department's governance structure will be developed to make coordinated IT decisions at an enterprise level and align business decisions with strategic objectives. Roles and functions within the proposed organizational governance structure will evolve over time to ensure organizational agility and continuous modernization. Initial governance structure, roles, responsibilities and/or processes are outlined in Table 11 below.

Table 11: Proposed Governance Structure

Project Role	Potential DOS Actor(s)	Responsibilities
Executive Committee	Assistant Secretary/Chief of Staff Chief Operating Officer Elections Division Director Director of Administration	• Communicate policy objectives that will drive or materially impact IT strategy • Receive and review communications or reports from the IV&V and meet regularly with IV&V • Make go/no-go decisions, provide written approvals for proposed projects, and, to the extent required in a given Project Management Plan, provide approvals for individual project phases

Project Role	Potential DOS Actor(s)	Responsibilities
		• Provide final approval for acceptance of all active project deliverables • Make recommendations to close or terminate an active project
Project Sponsor	Director of IT (OIS)	• Approve scope and objectives, schedule and resources, roles, and responsibilities • Review progress and provide strategic direction along with executive team • Make and enforce decisions as appropriate • Obtain resources as needed • Authorize change request analysis • Approve project change requests • Set priorities and resolve conflicts • Provide input on the requirements of the project • Review project plan and relevant documents • Ensure staff participates in work sessions • Promote project buy-in
PMO Project Manager	Contracted PMO Lead	• Provide full support for project logistics, staff participation/reviews and communications • Verify work products meet contractual / service-level requirements • Participate in recurring status meetings • Obtain project sponsor's approval of project deliverables • Serve on Project Team • Participate in project update meetings and other recurring IT or program area meetings as directed by DOS • Monitor and recommend change management activities for DOS and program areas • Conduct a comprehensive review of how the design and functionality of the new system will impact current processes and staffing • Identify issues that may arise due to system modernization and develop plan(s) to mitigate risk and ensure a smooth transition from current to future state • Collaborate with Project Team and program areas to develop needed changes to policies, processes, and work protocols • Develop and implement training for all areas impacted by system changes • Advise IT and program leaders on communication planning and activities
PMO Team	Contracted PMO Staff	• Analysis and preparation required for procurement documents • Project management oversight • Quality management oversight • IV&V oversight
IT Project Lead	CIO	• Serve as member of the DOS Project Team • Provide oversight and input to align DOS system projects and project activities with broader goals and

Project Role	Potential DOS Actor(s)	Responsibilities

		support objectives of FES system Services
		• Provide management and oversight for the following work activities:
		  ○ Information architecture
		  ○ Technical architecture
		  ○ Software Development Life Cycle (SDLC) management
		  ○ Software documentation management
		  ○ SSAE 18, SOC 1 – Type 2 and SOC 2 – Type 2 reports (as may be required)
		  ○ Systems testing / UAT
		  ○ Data Security
		  ○ System Security
		• Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include:
		  ○ Checkpoints – Strategic meetings with system and project management teams to identify needs and resolve concerns
		  ○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities

Program Project Lead	FES – BER Chief	• Serve as member of Project Team
		• Provide oversight and input to align system projects and activities with broader goals and performance objectives of the program's business processes
		• Provide necessary input and documentation regarding functional requirements and functional specifications for system projects and project activities
		• Validate business process workflows, diagrams, descriptions, and other program-specific documentation
		• Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include:
		  ○ Checkpoints – Periodic meetings with program and project staff to provide updates on proposed project planning, active project progress, and upcoming activities
		  ○ Regular stakeholder meetings – Periodic briefings with external stakeholders, including county and partner agencies, legislative and executive branch staff, and others as appropriate

Vendor Manager (as may be applicable)	Purchasing Manager (or designee)	• Procurement oversight and management • Vendor contract management
IV&V or QA	TBD	IV&V is required for all projects with a total budget over all years of greater than $10 million per 216.023(4)(a)10,

Project Role	Potential DOS Actor(s)	Responsibilities
Vendor		F.S. The selected IV&V contractor shall perform ongoing project monitoring activities and will review and validate issues/deficiencies/risks identified with the project. Minimally required project monitoring activities and deliverables include, but are not limited to: • Providing an independent, objective, third-party view of project efforts with the intent of protecting the State's interests • Providing personnel, processes, approaches, and tools to perform IV&V services (or comparable QA services) for Florida information technology projects • Performing assessments on both project and program management processes and work products • Providing objective observations and recommendations • Assessing and reporting overall project performance, extrapolating future project progress and success, and identifying any possible impediments to successful project completion • Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures and methodology • Assessing the effectiveness of project communication, assessing Customer involvement • Developing performance metrics that facilitate the tracking of progress / completion of project tasks and milestones • Reviewing all project cost and expenditure documentation and making recommendations for efficient use of funds • Validating identified risks and issues and proposed response(s) and assessing impact to the project progress or success • Verifying and validating the quality of project work products (deliverables) • Reviewing statements-of-work, solicitations, and contracts to verify alignment between requirements and solicited or contracted terms • Providing guidance and training on standards and best practices for project management • Ensuring project teams follow required standards, including, but not limited to, Administrative Rule, Florida Statutes, and federal requirements

F. Project Quality Control

Whether DOS executes project tasks with internal resources, or oversees deliverables provided by contracted providers, Quality Management will be a key factor for project success. Quality Management details the processes to ensure quality services and deliverables. The modernization project team will use disciplined quality assurance processes and inspections to confirm quality throughout the life of the project. These inspections are performed at key points in the creation and review of documents and confirmation of the value of services the project team provides. Quality Management includes two components, deliverable quality control and services quality. The purpose of this section is to provide instructions on these processes. The modernization project team commits to the highest quality in project execution and project team members' performance. To achieve a positive outcome, these processes will be carried out, so expectations are understood, aligned, and met.

The project will follow Quality Management processes and procedures to ensure the highest level of execution. The primary responsibility of the project quality manager (a role within the PMO) is to provide oversight and ensure the modernization objectives are met by meeting regularly with project stakeholders and Department leadership.

The FES Modernization Project Manager is responsible for understanding project requirements and DOS expectations. A preliminary internal project meeting is held near the start of the project with all stakeholders. This meeting will include a discussion(s) of task assignments to clarify the scope of work and how it will be accomplished. The following quality management activities will be completed for the project:

- **Internal Kickoff Meeting –** Prior to project commencement, the FES Modernization Project Manager will ensure all team members understand the project's requirements, scope, and quality control processes. This meeting includes a discussion of task assignments to clarify the scope of work and how it will be accomplished. This awareness is maintained throughout the duration of the project within ongoing and as necessary project team meetings.
- **Sponsor Checkpoints –** The FES Modernization Project Manager will schedule regular contact with the Project Sponsor. This allows the Project Manager to voice their perspective on assignment progress and communicate any relevant risks, action items, issues or decisions made or encountered during the project.
- **Deliverable Reviews –** Prior to submission to the FES Modernization Project Manager and designated deliverable review team, all deliverables are required to first undergo a thorough quality review. This review includes technical editing, validation, clarity, and ensuring conformance to DOS standards and expectations.

G. Project Tracking

This section describes the "RAID" methodology for tracking risks, action items, issues, and decisions. The modernization project will follow a centralized approach that minimizes miscommunication or misinformation among project stakeholders. DOS will diligently maintain a "master" project tracking log for the project (a Microsoft Excel workbook with multiple tabs intended to capture the details of items tracked by Project Managers.

See the link below for the project tracking "RAID" log. Each tab is fully explained below.

RAID Template.xlsx

1. Risk Management

Risks are characteristics, circumstances, or features of the environment that may have an adverse effect on the project or the quality of the work products. The risk management plan outlines the process to identify and analyze the effects of uncertainties on the project. This plan establishes a framework of working practices, which enables project team members to identify, analyze, respond to, monitor, and communicate risks before they become issues and jeopardize the success of the project. If a risk becomes an issue, the modernization project management office will work with the involved stakeholders to assess its impact on the project and assign responsibility for issue resolution, including a target date for closure.

Risks will be managed in the following manner:

- During status meetings, any stakeholder can raise a risk for discussion.
- The Project team will discuss the risk and determine if it warrants being monitored in the risk log.
- The project management office staff will enter the item in the risk log.
- The team will discuss response strategies and assign who will own the risk item.
- At each subsequent status meeting, the risk(s) will be reviewed until the risk(s) can be closed.

2. Action Items

Action items are unplanned tasks that occur during a project that are too small to be added to the schedule. These items must be within the scope of the project and are often tasks that support scheduled tasks, issue resolution, risk management, or some other aspect of the project. The action item log is created and maintained as part of the project tracking log.

Action items will be managed in the following manner:

- During status meetings, any stakeholder can raise an action item for discussion.
- The project team will discuss the action item and determine if it warrants being monitored in the action item log.
- The project management office staff will enter the item in the log.
- The team will set the priority for the action item (high/medium/low), assign an action item owner, and set a planned completion date.
- At each subsequent status meeting, the action item(s) will be reviewed until they can be closed.

3. Issue Management

An issue is defined as a current situation or event that must be resolved to avoid adverse impact to the project. Issues can originate from a risk that has materialized. The project management office will document all issues that are brought up in meetings.

When issues arise, they need to be resolved in a disciplined manner in order to maintain the quality of the work products and control the schedule and costs. The issue resolution process verifies differences, questions, and unplanned requests are defined properly, escalated for management attention, and resolved quickly and efficiently.

The issue resolution process is intended to handle technical problems, requirements, or issues/conflicts, as well as to address process, organizational, and operational issues of the engagement.

Issues will be managed in the following manner:

- During status meetings, any stakeholder can raise a potential issue for discussion.
- The project team will discuss the potential issue and determine if the item is indeed an issue.
- If the team determines the item is an issue, the project management office staff will enter it in the issue log.
- The team will discuss resolution steps, assign ownership to each item, and set a target date for resolution.
- At each subsequent status meeting, the issue(s) will be reviewed until they can be closed.

4. Decisions

Decisions are leadership answers to questions that arise during the project. The decision log is created and maintained as part of the project tracking log.

Decisions will be managed in the following manner:

- During status meetings, any stakeholder can raise a question that requires a decision.
- If the team determines a decision needs to be made, the project management office staff will enter it in the decision log.
- The team will discuss the impact to the project, assign a decision maker, and set a date for when the decision is needed.
- At each subsequent status meeting, the decision item(s) will be reviewed until they can be closed.

VII. Appendices

Number and include all required spreadsheets along with any other tools, diagrams, charts, etc. chosen to accompany and support the narrative data provided by the agency within the Schedule IV-B.

A. Risk Assessment Workbook

FES Modernization Risk Assessment.xlsx

B. Selected High-Level Process Maps

Selected high-level process step-by-step lists are provided in the Excel file inserted below. Maps are provided in the PDF object inserted below.

Process descriptions and maps are provided for the following six back-end processes:

- CanCom New Registrations (Candidates and Committees)
- ComOff
- Matching Funds
- Statement of Solicitations
- Expense Report Compliance Audit
- CanCom Qualifying (Candidates)

A process description and high-level map is also provided for "Submitting a Campaign Finance Report via EFS."

FES Process Maps.pdf

FES High-Level Process Descriptions.x

SCHEDULE IV-B FOR FLORIDA RULES MODERNIZATION PROJECT

For Fiscal Year 2024-25

September 15, 2023

FLORIDA DEPARTMENT OF STATE

The Department of State has determined that material in the redacted copy that is marked for protection is exempt from disclosure pursuant to §119.0725(2)(b), Fla. Stat.

Contents

I. Schedule IV-B Cover Sheet

A. Acronym Table

Acronyms	Definition
ACR	Administrative Codes and Register Staff
ADA	Americans with Disabilities Act
[redacted]	[redacted]
CBA	Cost Benefit Analysis
CIO	Chief Information Officer
DOS	Florida Department of State
FAC	Florida Administrative Code
FAR	Florida Administrative Register
FLRules.org	Florida Rules Website
FS	Florida Statutes
FTE	Full-time Employee
IT	Information Technology
IV&V	Independent Verification and Validation
JAPC	Joint Administrative Procedures Committee
KPI	Key Performance Indicator
LRPP	Long Range Program Plan
O&M	Operations and Maintenance
OCR	Optical Character Recognition
PMO	Project Management Office
PPM	Project Portfolio Management
PM Plan	Project Management Plan
SDLC	Software Development Life Cycle
SLA	Service Level Agreement(s)
SME	Subject Matter Expert
[redacted]	[redacted]
UI	User Interface

B. Executive Summary

This Executive Summary provides a high-level overview of the Schedule IV-B for the modernization of the Florida Department of State's Florida Rules system (Florida Rules). The summary includes the problem statement, key issues with the current system, and the recommended solution for system modernization.

1. Statement of the Problem

The Florida Department of State (DOS) is responsible for publishing the Florida Administrative Code (FAC) and Florida Administrative Register (FAR) on a singular website named FLRules.org. Publication of administrative rules by government entities is statutorily required under Chapter 120, Florida Statutes (F.S.). The website has been available to the general public and state agency users on the current platform since 2006. As technology advances, user expectations and security considerations are driving a need to update the system. The DOS is seeking to modernize the system and create a scalable platform that streamlines and automates existing workflows and enhances user experiences.

Florida Rules was built almost 17 years ago using [redacted] is [redacted] language and engine for web pages. This precursor to the [redacted] was first introduced in 1996. Over the years, incremental maintenance has resulted in additional technology updates to a "patched" system with additional maintenance needs.

Florida Rules is a high-visibility website. Traffic averages 340,000 visits, and a total of five million page views per month. The website provides services stipulated in Section 120.54, F.S., and must be continuously available to stakeholders throughout the administrative rulemaking update process.

Key stakeholders include:

- Florida DOS (DOS leadership), including the Assistant Secretary / Chief of Staff, the General Counsel, and the Director of Information Technology;
- Staff from the FAC and FAR sections, named the Administrative Code and Register (ACR) staff, who manage and use the site daily;
- Joint Administrative Procedures Committee (JAPC) staff and attorneys, who oversee rulemaking; and
- Other stakeholders include state agency users, who contribute to the publication (staff of all State of Florida agencies, city and county government, and legal consulting firms), and end users, or "consumers," from the general public who access the site and rely on accurate information.

This Florida Rules Modernization Project will require new business processes and technology to operate and maintain the Florida Rules website. The proposed business and technological changes will enable staff to streamline processes, publish and edit rules and laws, make it easier for users of the site and system, allow agencies to submit and monitor their administrative documentation (as defined in Chapter 120, F.S., the Administrative Procedures Act), and ensure the site is compliant with the Americans with Disabilities Act (ADA), all while using any web browser.

Florida Rules recently terminated a maintenance contract in June 2023. The system modifications are limited and constrained by outdated technology. While recent updates have expanded the number of browsers the system is compatible with, in some instances, functionality is reduced. For example, Florida Rules supporting processes and functionality require the use of word processing documents, it is only compatible with MS Word 97-2003. New technology options should be considered to place Florida's administrative rules site among the top-tier of similar sites in the United States.

Incidental benefits of the proposed technology modernization solution include simplification and streamlining of the rulemaking process, making the process easier and more intuitive for state agencies. The functionality of the system will dictate new processes and filing requirements and therefore the system modernization will necessitate DOS to initiate rulemaking to amend Chapter 1-1, FAC.

2. Key Issues to Be Addressed

The key issues involved in this Schedule IV-B relate to technology upgrades which can be grouped under five broad categories: User and Customer Interface, Functionality, System Architecture, Workflow Management, and Contracts.

- **User and Customer Interface** – The existing interface is difficult for users to navigate and operate. Fields requiring data entry are misleading to users and lack sufficient clarity as to information that needs to be populated. Search functionality is limited and complicated, making it difficult to retrieve desired information.
- **Functionality** – System functionality is currently hindered due to its age and mix of [redacted] code base. Most of the custom code is written in [redacted] a programing framework that is no longer supported and requires highly skilled resources to maintain. Operations and maintenance are further complicated by recent attempts to expand functionality written in [redacted]. While [redacted] is newer than [redacted], having a combination of programming frameworks in a single system increases its complexity and vulnerability. Updating the code base will enable DOS to address a backlog of desired enhancements.
- **System Architecture** – The existing architecture has remained unchanged since the 2006 implementation. On-premises servers are running an outdated database engine that requires skillful resources and customization, and is out of alignment with state information technology (IT) policies, such as the cloud-first policy embodied in Rule 60GG-4.001, F.A.C.
- **Workflow Management** – The primary work performed by ACR staff is done outside of the system and involves manual effort for repetitive, time-consuming tasks; many of these tasks are workarounds for system shortcomings.
- **Contracts** – While the modernization effort looks to reduce DOS reliance on contracts, any required contracts must have clear Service Level Agreements (SLA) with well-defined terms and conditions to ensure that DOS requirements are met by all contracted resources.

3. Recommended Solution

The proposed solution is to replace the current system with a modernized architecture and code base that will enable a best-in-class user and agency experience by leveraging the benefits of efficient business processes with modern technology for Florida DOS and Florida Rules. The Florida Rules Modernization Project will focus on transitioning to a user-friendly interface that is responsive and compatible with commonly-used word processing software. The site will allow for authenticated downloads of digital media, including rule text and material incorporated by reference in a public-facing ADA compatible PDF format. A self-service portal with multiple levels of administrative capabilities (administrator, editor, etc.) will be incorporated for DOS, other agency, and public users providing dashboards, automated workflows, and notices to keep users updated on workflow milestones. State agency users will have access to submit notices and other materials for publication. The general public will have access to an intuitive subscription-based email notification system as well as an effective keyword search facility for the entire site. The posting process for FAR and FAC will be integrated into a single, seamless automated workflow incorporating online billing. Automation will minimize unnecessary manual steps so DOS staff can focus on providing new and expanded services to Florida citizens and agencies, e.g., a chat feature or expedited authorization of emergency rules.

The replacement solution will be a cloud-based hybrid solution which will allow DOS to take advantage of the benefits of existing software packages, by using a combination of third-party products and custom development to fully meet the business need. The project will be three years in length, consisting of iterative development executed through sprints containing the full Software Development Life Cycle (SDLC).

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

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

DOS strives to improve the quality of life for all Floridians. The Department collects Florida's important public records and preserves its rich historical and cultural heritage for the benefit of generations to come. They help to promote economic development and create a competitive business climate for the state through a business-friendly corporate filing environment, grant programs that benefit all communities, enrichment of public libraries statewide, and support for events that attract tourism. Finally, they contribute to the establishment of a stable and open state government by providing access to information and protecting democracy through the oversight of fair and accurate elections.

Under the executive direction of Secretary of State, the Department is comprised of six divisions listed below.

- Division of Administrative Services
- Division of Arts and Culture
- Division of Corporations
- Division of Elections
- Division of Historical Resources
- Division of Library & Info Services

Within DOS, and outside of the divisions listed above, is the General Counsel's office. The duties of the Office are diverse and include providing advice and counsel to the Secretary of State and departmental managers on a broad range of administrative, legislative, and policy matters. The office also provides advice, oversight and representation with regard to departmental litigation. Additionally, the ACR staff operates and manages Florida Rules under the direction of the General Counsel's Office.

Figure 1, below, illustrates the Office of Secretary of State organizational units, as well as the General Counsel team.

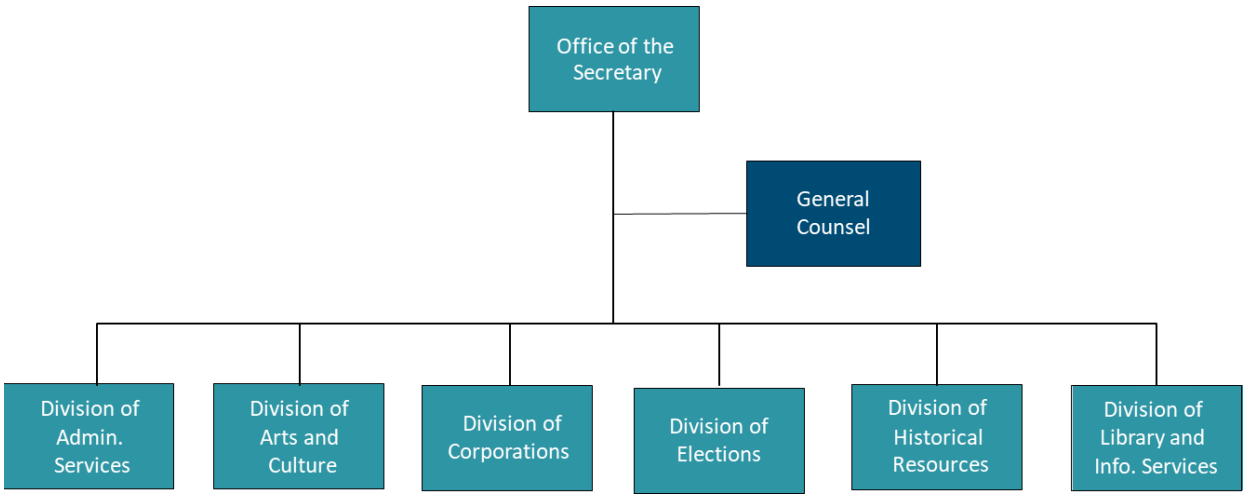


Figure 1: Office Secretary of State, Divisions

Figure 2, below, show the ACR team structure within the General Counsel.

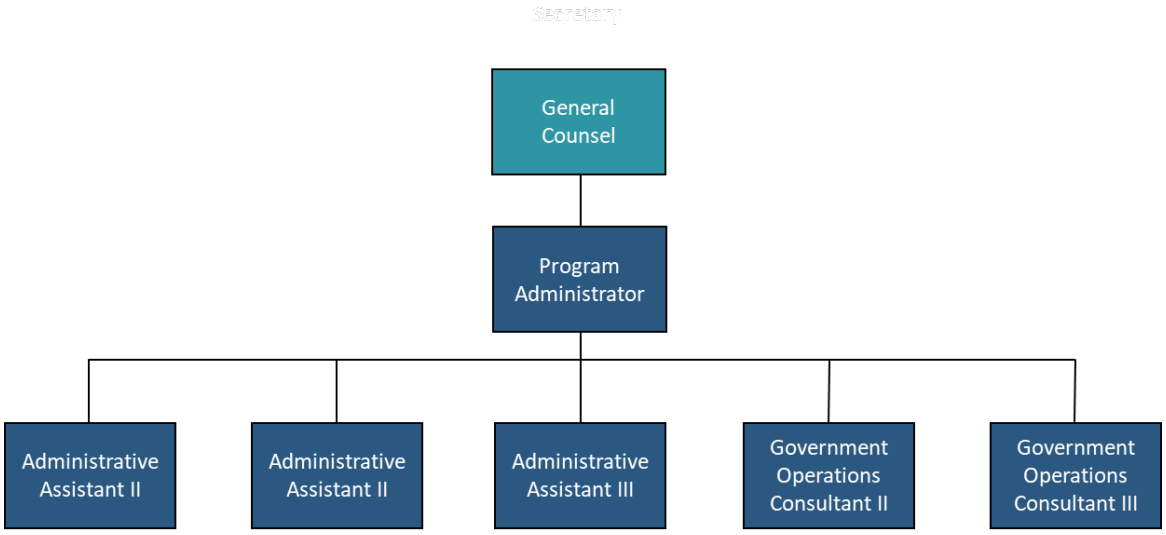


Figure 2: ACR Team Structure

The scope of this Schedule IV-B is to focus on the business and technical requirements and needs for Florida Rules for DOS. Florida Rules is the singular website where the Florida DOS publishes the FAC and FAR. Publication and public access are statutorily required under Chapter 120, F.S. The website has been available to the general public and state agency users, on the current platform, since 2006. 17 years of technological advances, user expectations, and security considerations are driving the need to update the system. The DOS is seeking to modernize the system and create a progressive platform to allow electronic filing of official records.

The site is a high-visibility website, which averages 340,000 visits and a total of five million page-views per month. The website provides services stipulated in Section 120.54, F.S., and must be continuously available to stakeholders throughout the update process. The portal allows the public to review and comment on administrative rules at every stage of the rulemaking process, per Section 120.55, F.S.

All Florida state agencies file statutorily required notices for daily publication in the FAR (including Variances/Waivers, Meeting/Hearings, Declaratory Statements, Petitions/ Dispositions, Policy Challenges, JAPC Action, Bids, Notices of Rule Development, Notices of Proposed Rules, and Notices of Change, Rules Filed for Adoption, and Miscellaneous Notices).

Within DOS, the ACR Staff operates and manages the site, which provides access for state agency users to submit notices and materials for the final review by ACR staff. The DOS is considered to be the end-agency for the rule-making process.

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The ACR staff focuses on three primary components within the Florida Rules site, FAR, FAC, and Laws of Florida:

Florida Administrative Register is the title of a daily publication which gives the public current information about the status of rules moving through the rulemaking process including proposed rules; emergency rules; and notices of change, corrections, and withdrawals. The Register also includes notices of agency public meetings, workshops and hearings, and miscellaneous actions required to be published by statute.

The online publication of the FAR can be seen as a portal through which users are able to view the activity of all state agencies. Through publication of meetings, Floridians also have the opportunity to participate in government initiatives, including administrative rulemaking.

Florida Administrative Code is the official compilation of administrative rules for the state of Florida. The Department of State oversees the publishing of the FAC and updates it weekly.

Laws of Florida are a compilation of all the laws, resolutions, and memorials passed during a legislative session. They are divided into two broad categories--General Laws and Special Laws. Bills vetoed by the Governor are not included.

The following illustration, Figure 3, below, shows the three components of the Florida Rules system that are managed by the ACR staff within DOS.

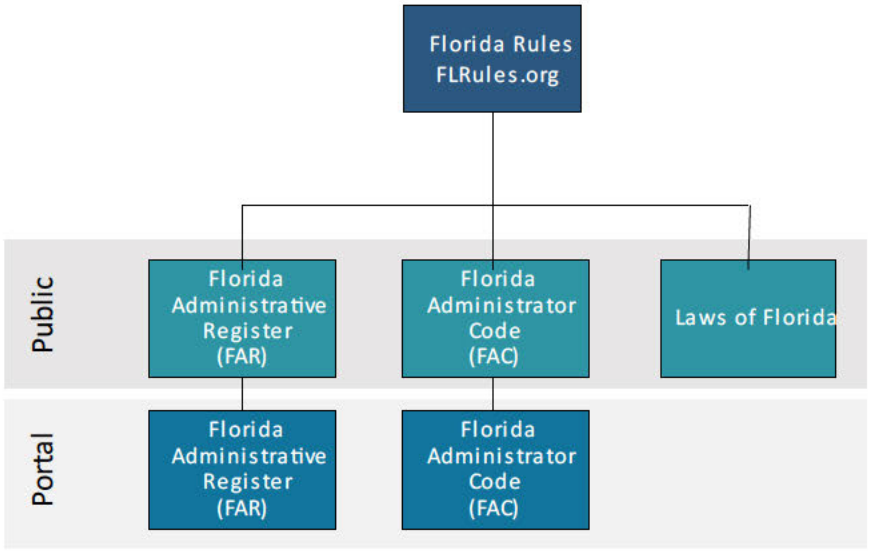

Figure 3: Florida Rules Components

1. Business Need

The focus of this document is the business and technical requirements and needs for Florida Rules, with respect to FAR, FAC, and Laws of Florida. The ACR staff publishes and is the final reviewing agency of notices and rules prior to publication on the site. Florida Rules provides an opportunity for Floridians to interact with multiple state government agencies through one site.

The current site was last updated in 2006 and after 17 years in production requires modification to accommodate user needs and be sustainable for the future. The legacy system is no longer capable of efficiently and effectively supporting current business functions or meeting foreseeable future business needs. The platform is not scalable and is unable to support integration with emerging technology.

The priority for the Florida Rules site is to enhance user experience and to increase functionality, while making all online publications ADA compliant and accessible, as required in Section 282.603, F.S. The current system would require retrofitting technology to satisfy business needs and scalability, provide protection of critical systems and sensitive information, and ensure processes meet DOS requirements. For example, the current system requires the staff to upload documents in MS Word 97-2003, only, for notices and rule documents. The proposed Florida Rules Modernization Project would address this priority upgrade while also opening possibilities for more intuitive business processes and capabilities for rules.

Technical limitations of the current system also dictate the provisions set forth in Chapter 1-1, FAC. Some existing provisions and rulemaking language would need to be amended to accommodate any new processes enabled by the Florida Rules Modernization Project that would impact current Administrative Rules governing the rulemaking process.

The team has recognized that within the past year, they have either directly encountered or received notice of issues that are a direct result of the dated technology currently in use. The ACR staff manually track and report activities, which could be tracked more accurately through an online system. Currently, the Florida Rules system does not have the export of analytical data function, particularly for the generation of Section XIII of the FAR, Index to Rules Filed During Preceding Week.

DOS/ACR business components to be reviewed are:

- Workflows, Sites and Pages
    - **Florida Rules** – main landing page for all users
    - **FAC** – official compilation of administrative rules for the state of Florida
    - **FAR** – daily publication which gives the public current information about the status of rules moving through the rulemaking process including proposed rules
    - **Laws of Florida** – compilation of all the laws, resolutions, and memorials passed during a legislative session

Business Approach

To address limitations of the current system, business objectives, success criteria, key performance indicators (KPIs), and functional and technical requirements of a new replacement system have been organized under the following five categories.

- Enhanced User and Customer Interfaces
- Improved Functionality to Accommodate Business Needs
- Modernized System Architecture
- Automated Workflow Management
- Well-Defined Contract Provisions (for design, development, support, and maintenance)

2. Business Objectives

NOTE: For IT projects with total cost in excess of $10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

The Florida Rules Modernization Project is closely aligned with the current administration's priorities as described in the Florida Department of State, Long Range Program Plan FY 2023-2024 through FY 2027-2028. As stated,

"…the State will promote government transparency and accountability by identifying, collecting, and preserving tens of thousands of cubic feet and gigabytes of historically valuable government records and state publications from past governors, legislative sessions and state government agencies. These records and publications document government actions, decisions and expenditures and are freely available for public research and inspection."

In compliance with Section 282.318, F.S, DOS must provide access to information through the publication of the FAR and FAC. Information is available to everyone, and the integrity of the information is maintained through document authentication.

The fiscal benefits of the Florida Rules Modernization Project will be predominantly realized through efficiencies that result in cost savings (e.g., manual processes will be reduced or eliminated). Implementation of a site and technology modernization initiative will therefore be translated into taxpayer savings by making government processes more efficient and less costly over the long-term.

Updating the site architecture will also improve the overall user experience, making the information more widely available and accessible. The modernization of technology will elevate DOS's ability to provide an efficient and effective government service.

In summary, the Florida Rules Modernization Project will improve the integrity of data and provide access to accurate and secure information for everyone, while opening the door for future possibilities, such as e-filing for rules. Business objectives will be grouped into five broad categories illustrated below in Figure 4: DOS Florida Rules Business Objectives Illustration.

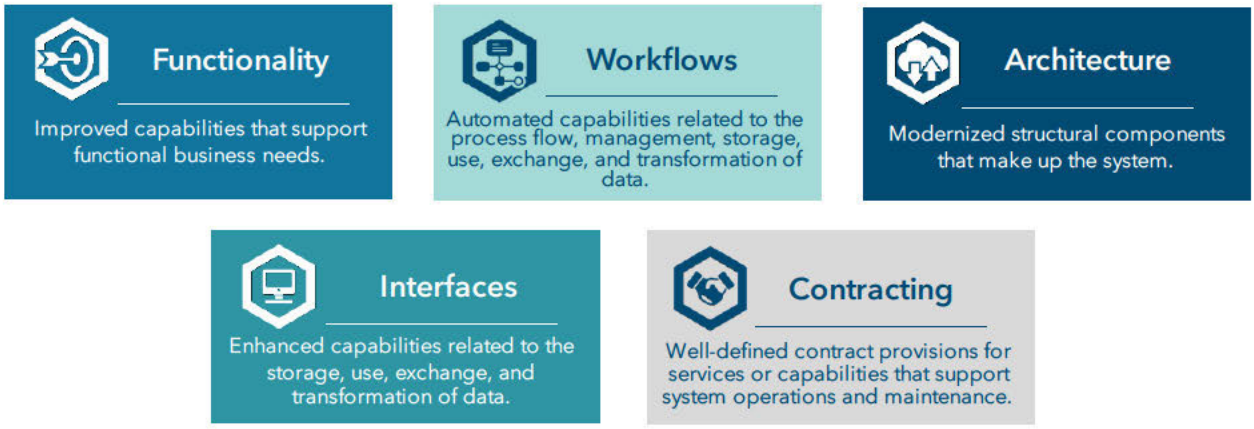

Figure 4: DOS Florida Rules Business Objectives Illustration

DOS has defined the overall business objectives, which include but are not limited to:

- The system must allow for the creation of invoices for billing entities engaged in the publication of notices in the FAR and electronic payment processing (not limited to use of a state government P-card).
- The system must support public access 24/7 via the Web to all public rulemaking documents and rulemaking actions through an intuitive, user-friendly interface.
- The system must support customized public email notification regarding rulemaking actions, meetings and other public notices and provide user customized tracking tools, including browser independent searches and other tools to allow users to quickly locate notices, rules, and regulatory actions. A public user should be able to specify preferences based on subject area and/or keyword and have ready access to any information from the Florida Administrative Register.
- The system should accommodate an integrated public meeting calendar to accommodate posting of meeting agendas, meeting minutes, and digitally recorded transcripts.
- The system should accommodate public comments on issues pertinent to proposed rulemaking during designated public comment periods and provide public access to filed comments via a search engine. The system should provide tools to help agencies manage and respond to comments.
- The system must provide a wide range of information access functions suitable for a large, distributed community that includes DOS Division staff, State Agency staff, Legislative staff, and the general public.
- The system must be able to manage files in all common standard formats, including but not limited to [redacted].
- The system should provide a common interface to resources under its control and facilitate consistency in data and services. The interface must be web-based with both basic and expert functions supporting public, state agency, and DOS Division staff views.
- The system must include or interface with personal productivity functions such as the ability to cut and paste, copy, save, print, mail, download, update, and search.
- The system must be a forward-looking, extensible system built on a cost-effective hardware and software platform for Web access. The system must provide a platform for future development in response to changing requirements and advancing technologies.
- The solution should leverage existing software packages, products when practicable. In these cases, the PMO must coordinate the system update with the product vendors and the system users to ensure reliability with no interruption of service.
- The system must integrate and interoperate with the network infrastructure, security scheme, and systems platform currently maintained by the DOS.
- The system should meet performance standards for response time and availability.
- The system must meet ADA Section 508 requirements for accessibility.

- The system must be standards-based in principle and in practice.
- The system must manage e-commerce accounts for agencies and other governmental clients who rely on the Florida electronic rulemaking system.

Performance Measures

The success of the Florida Rules Modernization Project will be based on quantitative and qualitative factors or success criteria. Each of these success factors and criteria are in alignment with the business objectives, proposed business process requirements (set forth in Proposed Business Process Requirements Section II.C.1 below) and to federal and state performance and compliance requirements, as well to the overall vision and mission of Florida Rules.

Success criteria for the project, along with the KPIs, are listed in Table 1 below. The success criteria and the KPIs form the basis of any contracts pursued to implement the final solution. The DOS anticipates the implementation team assigned will develop a future-state strategy and requisite plans. Success criteria are grouped into the five categories illustrated in Figure 4: DOS Florida Rules Business Objectives Illustration.

Table 1: Success Criteria and KPIs

SUCCESS CRITERIA AND KPIS		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
Functionality Improved capabilities that support functional business needs	Automated/online billing and payment processing for FAR notices (currently, PO, check, or P-card) Add automation Workflows to include dashboards, etc. Website must work with current versions of word processors and web browsers Chat feature Public search functions on website (currently difficult to use) Automate the public display for other filings: city and county ordinances Section for active emergency rules that automatically go into history or archive link when they expire Ability to turn approvals off in emergency events	• Agencies will be able to successfully remit electronic payment and reduces staff involvement in the creation and emailing of invoices. • Manual workflows performed by both staff and agencies will either be eliminated or significantly reduced such as tracked changes for rule amendments from FAR to FAC. • Main hubs on the agency and staff pages to perform primary functions will improve usability. • The website will be able to accept all document types and versions and will be able to perform all functions on all browsers and versions. • Correspondence between agencies and staff can take place in real-time and any problem solving can be done through this designated communication portal. • Staff will receive less inquiries about how to use the search function and the public will receive more comprehensive search results. • Requests for copies of city and county ordinances will be reduced as they will be accessible online to the public. • Staff, agencies, and the public will be able to find information regarding Emergency Rules in one designated space on the website and requests for finding such information will be reduced. • Presence of an approval bypass.

SUCCESS CRITERIA AND KPIS		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
 **Workflows** Automated capabilities related to the process flow, management, storage, use, exchange, and transformation of data	Business unit must be able to complete all current tasks/workstreams Automate the process when internal program staff receive documents Automate FAR to final FAC process Streamlined process for Florida Rules staff to edit and publish FAR & FAC (follow notice of rule development to adoption filing) (automating versioning) Automatically generate notices into FAR based on type Resolve the current issue with uploading PDFs (allow users to easily upload documents) Modernized/streamlined process for state agencies to publish notices to FAR Workflow management	• No disruptions in what staff is tasked with currently completing. • Less emails will be created to exchange documents between staff and agencies. • The intention is to make the rulemaking process easier for agencies especially where coded rule text is concerned. A major indicator will be the requirement of less replacement pages for adoption packets. • This will eliminate the need for a staff member to manually delete stricken language and to copy and paste new language into an ongoing version of a rule. Reduction in errors that require staff members to fix. • This will no longer require a staff member to manually place a notice into a PDF. • Users will be able to upload all document types without staff assistance. • Agencies will require less staff support to perform an essential function of their rulemaking process. • Staff will be able to perform key tasks in one designated area on the website and reduce the amount of workflow that is performed manually.
 **Architecture** Modernized structural components that make up the system	System should be able to be maintained by junior DOS staff System security must be maintained, vendor code must account for updates System's architecture should not be proprietary Scalable storage capacity System architecture must allow for modular functionality (future) Cloud-based solution	• Ongoing system maintenance will be completed and tested quickly. • Amount of new feature bugs will be reduced. • System maintenance training will be more efficient. • Metrics will be established for the number of maintenance hours in comparison to legacy operations and maintenance efforts • Allows for system portability • System is able expand and ingest necessary data and documents. • Ease system maintenance • Allow for portability to like systems • Complies with cloud first initiative • Reduces hardware modernization costs • Improves data backup and recovery functionality

SUCCESS CRITERIA AND KPIS		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
 **Interfaces** Enhanced capabilities related to the storage, use, exchange, and transformation of data	More streamlined, intuitive interface for users Access to subscriber accounts and interface User base should manage their own account (self-service)/User profile management Enhanced search features Help/FAQ training for system use Reorganization of information on the website for more intuitive navigation Additional, details for comments on rules, like adding location and organization affiliation to just name	• The public will be able to rely less on staff to assist with finding information on the website. • Staff will have full access to subscriber accounts and be able to provide support to users if needed. • Users will have full control over their own accounts with less assistance from staff to perform basic functions as finding a password. • The public, staff, and agencies will be able to find information easier and have better results without a simple search quickly becoming a research request. • All website users will be able to find answers to frequently asked questions regarding the site and rulemaking. • Information will be easier to consume and will be organized more intuitively into key sections thereby requiring less time for staff to explain navigation of the site. • Agencies will experience better communication with those who have input in their rulemaking process.
 **Contracting** Well-defined contract provisions for services or capabilities that support system operations and maintenance	If vendor is to provide maintenance, contract must have clear terms and conditions System's procurement structure must fall within budget	• Financial consequences should be sufficient to inspire quality customer service. • Measurement of a cost performance index.

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

Baseline Analysis

The DOS ACR Section is the filing point for rules promulgated by state regulatory agencies. Agency rulemaking is governed by Chapter 120, Florida Statutes, and the Administrative Procedures Act. Rules are published in the FAC, and the program is also responsible for publishing the FAR.

The section's mission is to file, preserve, and make available to the public the rules, laws, notices, and other public records it receives. Section staff provides consultation to guide state agencies concerning the requirements for filing rules and publishing notices. Finally, the section provides continued access to materials that have long-term value.

ACR has three core objectives: maintaining the FAR, the FAC, and the Laws of Florida.

The current business processes involve facilitating the rulemaking process for state agencies, for notifying the public of state agencies' activity related to rulemaking and status of rules currently in development and publishing new and amended rules. They also include the Laws of Florida, where laws are published for public consumption. Emphasis has been given to any known problems or challenges the project will address. Florida Rules is part of the Secretary's Office under the General Counsel. The program and team administrator provided input on the primary functions of Florida Rules as a whole.

Beyond the system development, it is known that the outcome of the Florida Rules Modernization Project will facilitate a new perspective on the rulemaking process (submission and required document formats, etc.), which is likely to have an impact on all agencies and organizations that use the system.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

This section provides information for the current-state business processes for DOS Florida Rules. The DOS provides access to information through the publication of the FAR, FAC, and Laws of Florida to users. Information is available to everyone, and the integrity of the information is maintained through document authentication. Figure 5: FAR High-level Business Process Map and Figure 6: FAC High-Level Business Process Map, below, illustrate the current-state business processes for Florida Rules.

FAR – Florida Administrative Register

The primary function for FAR, in Figure 5, is the daily publication which gives the public current information about the status of rules moving through the rulemaking process, including proposed rules, emergency rules, and notices of change, corrections, and withdrawals. FAR also includes notices of agency public meetings, workshops and hearings, and miscellaneous actions required to be published by statute. Below is a list of notices required to be published in the FAR:

- Notices of Rule Development
- Notices of Proposed Rules
- Notices of Change, Correction, and Withdrawal
- Emergency Rules
- Petitions and Dispositions Regarding Rule Variance and Waiver
- Notices of Meetings, Workshops, and Public Hearings
- Notices of Petitions and Dispositions Regarding Declaratory Statements
- Notices of Petitions and Dispositions Regarding Non-rule Policy Changes
- Announcements and Objection Reports of JAPC

- Notices Regarding Bids, Proposals, and Purchasing
- Miscellaneous

Agencies fill out a template to submit a notice to the FAR component of the site. The process begins when the agency files a notice in HTML format, the editors update and format the changes, and convert it to an [redacted] document. When finalizing the document, the agency must submit the final version to the staff by 3:00 pm for it to be published the next day. From Monday through Friday, the Department has a daily publication. Once the editors have their documents ready, they compile and convert them into a PDF format, with all the information required for publishing. Finally, a batch file is generated, at midnight, and published to the site the following morning.

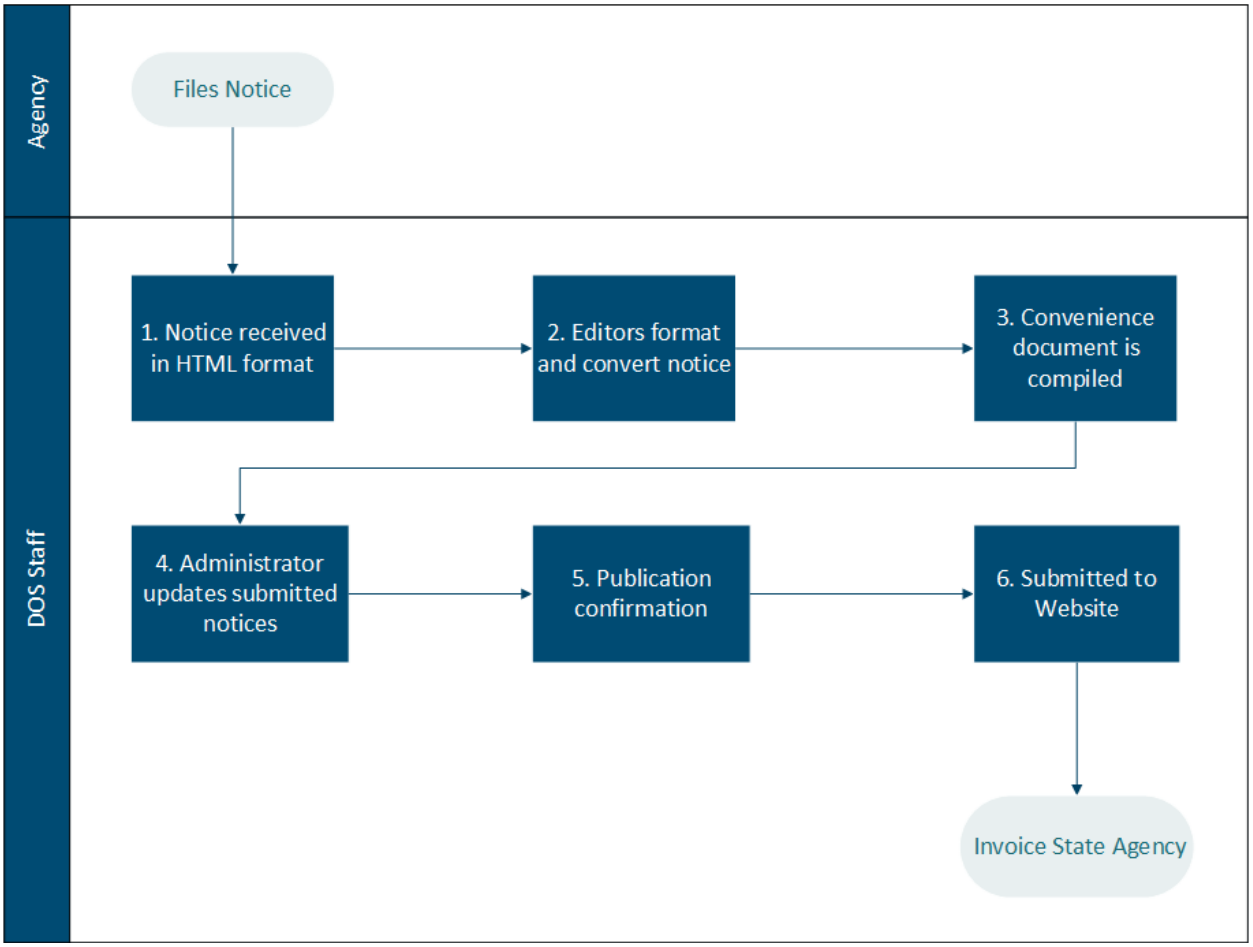

Figure 5: FAR High-level Business Process Map

FAC – Florida Administrative Code

The ACR staff oversees the publishing of the FAC and updates it weekly, as depicted in Figure 6. The ACR staff works with state agency contacts to edit and finalize rule language, which is then uploaded to the Florida Rules site. ACR staff manage the advertising and invoicing for the state agencies as part of a function of the website. State agencies must follow the FAC process to create rules. The Department is the final location for the prescribed "adoption packet", which is reviewed by the editor for completion. New rules are published every Tuesday from the previous week.

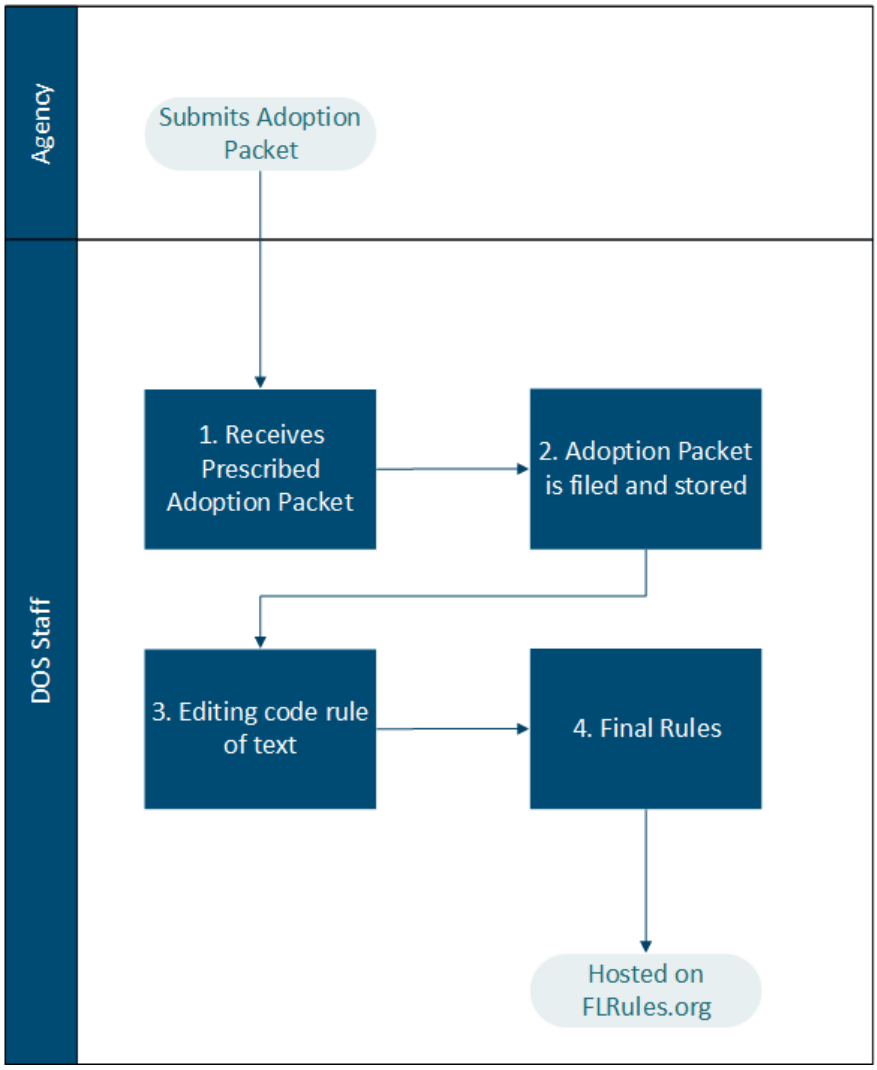

Figure 6: FAC High-Level Business Process Map

Other Key Business Process Supported by ACR Staff

Laws of Florida

During or after Legislative Session, any time the Governor signs off on a bill, it is filed with DOS, and the Department assigns the law numbers and publishes them in a different section on their website. In doing so, DOS, assigns a law number, and scans the bill into a PDF file; which is then sent to the Division of Law Revision. The Division of Law Revision edits and converts the law into an RTF file which is subsequently sent back to the Department and uploaded to the website.

Invoicing

In addition to managing Florida Rules and its components, the Department invoices agencies for publishing to the site. Once the document is published, the site prompts for the number of notices and words; the site then generates an invoice based on relevant data. On a monthly basis, the invoices are manually sent to the agency by email. Agencies currently pay invoices by sending a physical check or credit card by contacting Administrative Services, who processes the payments.

Filing of City and County Ordinances

The Department currently files city ordinances as hard copies, which also remain with the Department for three years. The Department files county ordinances through emails, not hosted on the website. The ordinances hard

copies remain with the Department for three years, afterwards are transferred to State Archives.

2. Assumptions and Constraints

This section will identify unique business conditions observed, including any departmental, state, federal, or industry standards that might limit the range of reasonable technical alternatives. This section will also address any assumptions and constraints that might impact expected outcomes of the proposed solution.

Potential Assumptions:

The following assumptions are statements about the project or its environment that are taken to be true and factored into DOS's plans and analysis for the proposed project.

- Stakeholder commitment to achieving project objectives is assumed. The DOS has acknowledged the large group of stakeholders. Florida Rules stakeholders include the users (general public), the customers (staff of all State of Florida agencies, city and county government, and legal consulting firms), and the ACR staff.
- DOS will have a Project Manager, under the requirements of Rule Chapter 60GG-1, F.A.C. This initiative will require the Department to hire a PMP Certified Project Manager.
- DOS IT and program staff will be mutually aligned in their commitment to increase efficiency and effectiveness through process automation, reduce manual steps that rely on the use of ad-hoc tools and processes, enhance workflow management, improve data integrity, data quality, and data security, and allow for more detailed and robust reporting to strengthen operational compliance.
- Any gains in operational efficiency that the Department realizes through these efforts will be used to allocate additional resources to value-added activities such as improving internal system operations and maintenance (O&M), enhancing workflow and caseload management, applying advanced analytics to enhance preventive enforcement efforts, and improving customer service.
- A suitable architecture model can be identified to facilitate timely and scalable deployment of the technical and functional initiatives outlined in the proposed solution.
- DOS will deploy Organizational Change Management (OCM) activities required to successfully implement the recommended solution.[1]
- Migration from multiple systems and/or databases will be required.
- The Schedule IV-B will result in sufficient funding or spending authority necessary for implementation of the proposed replacement system.
- The required state government and internal staff resources with the necessary skill sets will be available throughout the project.
- Collaborative partnerships will enhance the success of the project.

Foreseeable Constraints:

The constraints are identified factors that will limit the project management team's options and affect the progress or success of the proposed project.

- Project funding is subject to an annual budget process and may also be subject to periodic releases of funds throughout a given fiscal year (depending upon suitable schedule and cost performance).
- All schedules and project timelines are dependent on the continuous availability of funds.

[1] Although the central focus of Schedule IV-B is system modernization, a much broader business transformation effort (supported by system modernization) is indicated by the nature of approved project objectives, success criteria, and functional and technical requirements. Business processes will need to be fundamentally altered and restructured to adapt to present day and foreseeable future business needs. Effectively managing and aligning change between essential business processes and technology modernization will be critical to the overall success of the project and to the achievement of the Department's project goals and objectives. Adherence to the tenets of the Prosci ADKAR process will help further the success of the business and technology transformation process. For additional insights on the importance of effective change management in IT projects, see: McKinsey on Change Management - YouTube; Gartner Study Finds Companies Under-Invest in Organizational Change Management - Emergent Journal (emergentconsultants.com);, How to Make and Manage Organizational Change That Lasts - Cask (casknx.com); PUT THE RIGHT CHANGE MANAGEMENT BUDGET ASIDE (linkedin.com).

- Complete implementation must occur prior to December 31, 2026.
- Information requests from external oversight agencies and partners may be time-consuming and could materially affect the project timelines.
- State and/or federal statutory changes, changes in administrative rules, and DOS policy changes could materially impact the project outcomes and project timelines.
- If contracted system integration services become necessary for successful implementation of the proposed solution, software tools supporting desired capabilities will be determined or influenced based on needs identified by the selected system integration vendor.

The current security and privacy control framework must be maintained until migration to a new system and new security and privacy control framework are completed.

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

This section identifies the proposed business process requirements for a modernized Florida Rules system. The existing site and business processes offer limited capabilities, functionalities, and features for supporting the staff in the most efficient and effective manner. The current site relies too heavily upon manual processes and procedures which introduce risk and increase potential for human error. As depicted in the current business processes outlined in Section 2.3.1, multiple components of Florida Rules are currently performed manually and require optimization through automation and system modernization. The future system would encompass a larger suite of functionality that would provide a scalable, flexible solution for accommodating and managing the flow of information, automating manual processes, enhancing efficiency, improving collaboration with other agencies and external users, increasing the ability to meet statutory requirements, improving search, and reporting capabilities, affording opportunities to track performance metrics, and improving the overall agency and user experiences. The new modernized system would also be designed to give DOS greater control over managing, maintaining, and enhancing the system without requiring vendor support.

1. Proposed Business Process Requirements

Business process requirements for a modernized Florida Rules system, including the high-level system functionality needed to meet federal and state guidelines, are provided in this section. Additional details regarding business requirements will be gathered during the definition and design phases of the Florida Rules Modernization Project. The requirements are also addressed in Section D, Functional and Technical Requirements.

Table 2, below, shows the DOS Florida Rules business requirements, initiatives, and descriptions, grouped by high-level categories.

Table 2: Business Requirements

BUSINESS REQUIREMENTS		
Objectives	**Initiative**	**Description**

Functionality
Improved capabilities that support functional business needs
	Automated/online billing for FAR notices (currently, PO or check - want p-card)
	
	Add automation
	
	Dashboards
	
	Self Service Portal
	
	Website must work with current versions of word processors and web browsers
	
	Chat feature
	
	Public search functions on website (currently difficult to use)
	
	Automate the public display for other filings: city and county ordinances
	
	Section for active emergency rules that automatically go into history or archive link when they expire
	
	Ability to turn approvals off in emergency events
		• This would also expand payment channels to include credit cards and/or P-cards for online payment
		• Integrating workflows into one central system and identifying workflows outside of the website that could be streamlined
		• Functional support for both agencies and staff to complete basic workflows
		  ○ Agencies create notices in the register
		  ○ Payment profile management
		  ○ Reference materials
		  ○ Rulemaking
		  ○ DOS staff
		  ○ Register
		  ○ Edit rules, manage adoption packets
		  ○ Processing Reference Materials
		  ○ Uploading Laws
		  ○ Overarching link to FAC Dashboard
		• Ensuring that the website is uninhibited by technological limitations such as document version or web browser version
		• A place that agencies can immediately interact with staff and receive help in real-time
		• More streamlined user interface and intuitive search results
		• Providing public access to documents that are filed in the office that are not currently available on the website
		• Providing real-time updates regarding active emergency cases in Florida to the public
		• In emergencies, approval can take additional time that can hinder publication of critical rules/laws

BUSINESS REQUIREMENTS		
Objectives	**Initiative**	**Description**


Workflows
Automated capabilities related to the process flow, management, storage, use, exchange, and transformation of data
	Ability to complete all current tasks/workstreams
	
	Automate the process when receiving documents
	
	Automate FAR to final FAC process
	
	Streamlined process edit and publish FAR & FAC, follow notice of rule development to adoption filing and automating versioning
	
	Automatically generate notices into FAR based on type
	
	Allow users to easily upload documents, including PDFs
	
	Modernized/streamlined process for state agencies to publish notices to FAR
	
	Workflow management
		• Ability to meet standards and requirements set out in statute without issue
		• Reducing filing process workflows entirely into digital process
		• Integrating start-to-finish rulemaking specifically with rule coding and reducing agency and staff error that can occur in the process
		• Reducing human error and providing easy to follow updates to the rule and a view of the rulemaking process for agencies
		• Eliminate manual approval as needed and manual compilation of the FAR
		• Seamless process for uploading and submitting pdf documents to staff
		  ○ Reduced screens to go through to publish a notice in the FAR
		  ○ Bypass html summaries
		• Reducing current workflows and providing an integrated system of the FAC and FAR and website as a whole

 **Architecture** Modernized structural components that make up the system	System should be able to be maintained by DOS junior staff System security must be maintained, vendor code must account for updates System's architecture should not be proprietary Scalable storage capacity System architecture must allow for modular functionality (future) Cloud-based solution	• Following best practices for development standards, ongoing system maintenance can be performed by junior O&M team members to ensure enhancements are completed and tested quickly • Metrics will be established for the number of maintenance hours in comparison to legacy operations and maintenance efforts • Allows for system portability • System is able expand and ingest necessary data and documents • Implementing modular functionality will ease system operations and maintenance requirements and allow for portability to like systems within the Department • Complies with the state's cloud first initiative and reduces hardware modernization costs as well as improving data backup and recovery functionality

BUSINESS REQUIREMENTS		
Objectives	**Initiative**	**Description**
 **Interfaces** Enhanced capabilities related to the storage, use, exchange, and transformation of data	More streamlined, intuitive interface for users Access to subscriber accounts and interface User base should manage their own account (self-service)/User profile management Enhanced search features Help/FAQ training for system use Extra details for comments on rules Making the site easier to access, under Title II of the ADA Regulations Web Accessibility Initiative	The public should be able to use the website to search for rules and laws as well as any related history therein. Navigation should be intuitive. Users should find what they're looking for without having to go through multiple webpages or links to access pertinent information • Ease of use • Logical navigation • Less jargon • Intelligence – assistance (AI Chat) Management of the subscriber accounts is solely with the website work team, introducing bottlenecks and inefficiencies • Agencies should be able to manage all aspects of their profiles such as payment information, getting their password, setting up accounts. • Approval should go through the Florida Rules office. • Portal should facilitate packet submission and review/approval process • Reworking "advanced search" for easier, more intuitive search • Intuitive interface • FAQ/customer service page • Tutorial • Rulemaking basics – "How to use the site?" Including location and organization affiliation to the person of record Some of the specific ADA guidelines for requirements include: • Making sites usable for the visually impaired through features such as highlighting, larger cursors, and changes in fonts. • Assisting elderly individuals with adjustable text sizes and highlights to areas that contain links or other elements that can be clicked on the page. • Allowing the blind to access a website through audio cues and other features that enable them to interact with the site without relying on their vision. • Users that have mobility issues may not be able to use a mouse or other pointing device, but a website can be changed to allow greater keyboard functionality to remedy this problem. • Information needs to be available regarding a user's location within a site or group of pages for navigation purposes. • Restrictions on how color perception can be used to require users to perform an action or obtain information. • A restriction on flashing lights or animations that can potentially cause seizures or other adverse physical reactions. • Specific requirements for line, word, and letter spacing in blocks of text in a browser window.

BUSINESS REQUIREMENTS		
Objectives	**Initiative**	**Description**
 **Contracting** Well-defined contract provisions for services or capabilities that support system operations and maintenance	If vendor is to provide maintenance, contract must have clear SLA terms and conditions System's procurement structure must fall within budget	• Financial consequences should be sufficient to inspire quality customer service • Measurement of cost performance index

2. Business Solution Alternatives

Alternatives for a solution to modernize or replace the Florida Rules system were analyzed based on current business needs. Solution options are primarily based on technology considerations, which are further detailed in Section IV, C (2), Technical Alternatives Considered. The primary business solutions examined are implementation and deployment methods for a modernized system, including a phased rollout and a single switchover approach to a new system.

3. Rationale for Selection

A single switchover implementation approach is the recommended approach based on the selection criteria described below and described in Section VI.C. The single switchover implementation approach delivers the full business value most efficiently and mitigates risks inherent in attempting to retrofit new code to interface with the previous system.

Cost: A single switchover typically has a lower cost than a phased approach. In a phased approach, newly developed portions being deployed in each phase must be made compatible with legacy components to ensure the full system can continue to function. This additional retrofitting increases the level of effort and complexity of design; both of which raise costs.

Risk: Typically, in a single development and implementation cycle, risk increases the longer that timeframes grow. When projects are implemented across one or more changes in leadership, these changes provide opportunities to reprioritize efforts and put the project at risk. Releasing features on a phased rollout allows use of the system, at least in part, on a quicker pace reducing the risk of losing support of the project. However, in this case, given the relatively small scope of this implementation, more risk is introduced by a phased implementation as it requires adding time and complexity to the development effort to retrofit new code to be compatible with the existing .NET/.ASP system. The cost of additional effort and risk is not worth the benefit of potentially expedited business value of FAC or FAR functionality in isolation.

Business Value: Developing the core of the solution upfront, then developing and releasing each modular component separately allows DOS and the public earlier access to the system. In a phased approach, users would be provided access to incremental benefits of the new system as they are developed, tested, and implemented. In a single switchover, the full system would need to complete testing and all defects would need to be resolved before implementation. Phasing the implementation may reduce risk and support continuity

through the implementation process. For instance, if DOS were to first develop functionality for FAC and allow the continued use of existing FAR processes, it could provide more immediate benefits to users, but the additional effort required to ensure compatibility with the existing system would need to be considered.

Timeframe: In a single switchover implementation, there is no need to incorporate the existing system and interface with the aged .ASP/.Net hybrid code. Phased implementation will require additional effort and complexity which increase the time required for both development and testing.

Table 3 below provides the matrix of elements considered in selecting between a single switchover vs a phased implementation.

Table 3: Selection Criteria for the Recommended Solution

Solution Alternative Selection Considerations		
Item	**Single Switchover**	**Phased Implementation**
Cost	✓ Moderate (defects are less costly to resolve)	High (more staff time to retrofit new code to interface with old)
Risk	✓ Moderate (results are realized earlier)	High (longer development and possible loss of support)
Business Value	✓ High (earlier access to full business value)	Moderate (partial business value realized earlier)
Timeframe	✓ High (Faster implementation)	Low (Slower implementation)

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of $10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

The recommended solution will replace the current ASP implementation of Florida Rules. This new system will take advantage of current technology in terms of software architecture, cloud infrastructure, and flexible service delivery platforms. A modern architecture will provide maximum flexibility to effectively meet future business needs in a rapid and cost-effective manner.

The recommended solution automates and consolidates the process of requesting new or revised language in the FAC and seamlessly integrates FAC and FAR workflows into a single, unified process to be managed and tracked within the system. Because all processes are run through the new system, new metrics can be kept and tracked to drive future decision-making in a data-driven manner, fueling further optimization. Modern coding framework ensures compatibility with current browsers and word processors, increasing its usability for agencies and public users. Updating servers from their current version to the latest version enhances stability of the system and improves data security and integrity. Figure 7 below depicts major components of the recommended future solution.

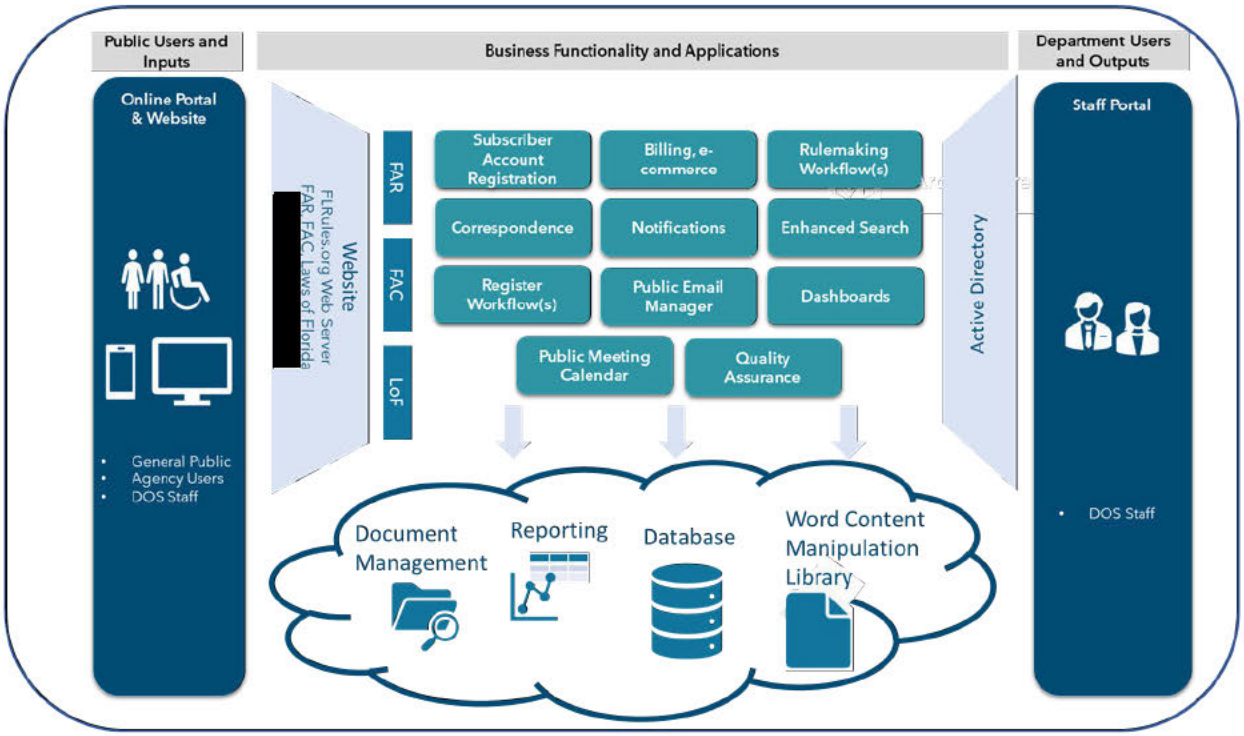

Figure 7: Future State System Conceptual Diagram

Public Users and Inputs

- **Online Portal & Website** – Primary means of access to Florida Rules. The website publishes Florida Code, Registry notices, and the Laws of Florida. Within the website, users can customize their interactions by creating a profile in the Self-Service Portal. This portal will allow citizens of Florida to subscribe to receive notifications when laws are written or changed. Agencies will use the same portal to set up billing for FAR notices or to initiate workflows to add or modify entries in FAC or FAR. The portal would also provide a dashboard with timelines for all workflows in progress and serve as a repository of notices generated as key milestones in the workflow are reached. The new site will meet all accessibility standards and be optimized to run on mobile devices. Updated code will be written in [redacted]

Business Functionality and Applications

- **Subscriber Account Registration -** Users will customize their interactions with FLRules.org by creating a profile in the Self-Service Portal. This portal will allow citizens of Florida to subscribe to receive notifications when rules are written or changed. Enhanced document management will enable laws to be tagged with metadata. This will allow users to subscribe to specific categories of rules that interest them. A user could, for example, subscribe to receive notices regarding new or revised rules related to fishing.
- **Correspondence** – The new system will facilitate correspondence by enabling messaging through the user portal. Keeping messages in the system instead of needing to rely on emails, documentation, and phone calls outside of the system.
- **Public Meeting Calendar** – The site will host a calendar posting public meetings for public consumption.
- **Billing, e-commerce** – Online payments will be updated to validate agency billing information, generate invoices automatically, and allow online payment.
- **Notifications** – Automatic notifications will be sent along key workflow milestones keeping all stakeholders informed.

- **Public Email Manager** – The system will provide a customizable public email notification function for rulemaking actions, meetings, and other public meeting notices, including a tracking facility for simplified access to notices, rules, and regulatory actions.
- **Quality Assurance** – Submitted application packets will now be able to be reviewed and approved in the system without reliance on correspondence using other methods. The system will screen agency application packets to ensure they are complete before allowing submission to DOS.
- **Rulemaking Workflow(s)** – Agencies will be able to initiate the process of adding or amending code in the FAC by using the self-service portal. The workflow will assist agencies in correctly populating required documentation and ensure all documentation in the application packet is complete before agency submission. Submitted packets will arrive in a DOS queue to be reviewed. Changes to code will be displayed in "Track Changes" format where DOS staff can approve or reject agency modifications. The DOS staff may accept or return the packet with in-system correspondence requesting revisions. The workflow will elicit final approval from agency and DOS staff before publishing the amended code to the FAC.
- **Enhanced Search** – Searches in the new system will have full text search using optical character recognition (OCR) allowing users to easily sort through laws to find keywords and phrases. Rules will also be tagged with metadata, allowing new methods of grouping to allow users to sort and filter laws in new ways.
- **Dashboards** – The self-service portal will provide dashboards giving key high-level information such as recent notifications and a timeline showing where agency workflows are in their approval process. The DOS staff will also have dashboards showing metrics such as the number of workflows in progress and other key performance indicators the office needs.
- **Register Workflow(s)** – Agencies will be able to initiate the process of posting a notice to the FAR by using the self-service portal. The workflow will assist agencies in populating required documentation (including updated billing information) before agency submission. The submission will populate in a queue, to be reviewed, and the staff has the option to accept or request revisions. Once billed, the workflow will elicit final approval from agency and the staff before publishing the notice to the FAR.
- **Active Directory** – DOS staff will be able to utilize the single sign-on feature of Active Directory which will provide authenticated users with access to the information they need from any location, on any device, from a centralized and branded self-service portal. A single sign-on directory will promote a more simplified user experience, greater productivity, and superior security.

Department Users and Outputs

- **Staff Portal** – The staff portal allows staff to manage the review and approval of agency Application Packets. It includes a dashboard with key metrics such as status of all approval workflows in progress and other KPIs to be defined by DOS.
- **Admin Portal (Not Depicted)** – The functionality of the solution will be determined largely by configuration. The admin portal provides access to these configuration options. Actions such as modifying workflows, changing the documentation required in application packets, and defining correspondence will be managed in the admin portal. Features such as previewing changes and maintaining versions will be provided to facilitate change management activities.

Cloud Infrastructure

- **Document Management** – Enhanced document management includes OCR full text searching and tagging and other metadata associated with stored rules records.
- **Reporting** – The new system will have the ability to report key metrics as defined by DOS.
- **Database** – The database will be cloud-based and modernized to run on the latest version of SQL Server.
- **Word Content Manipulation Library** – existing software packages, and third-party products and components will be leveraged in the modernization when practicable. One example of a solution that might

be leveraged is a MS Word content manipulation library that would enable word counting, tracking content changes between versions, and utilizing other MS Word features to meet business requirements.

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

The recommended technical solution is to pursue a hybrid system, utilizing existing software packages, through a combination of third-party products and vendor based custom development that will satisfy the requirements for each component of the system, however the amount of custom development required will need to be assessed by the implementation team. As developed in the subsections that follow, this conclusion was reached by evaluating the technical solution alternatives combined with the rationale for selection.

Functional and Technical Requirements

The purpose of this section is to identify functional and technical requirements. a functional requirement describes how the business process requirement, identified in this section, shall be accomplished. Technical requirements also describe how the business process requirement will be accomplished but from the technical perspective. Some business process requirements may be accomplished through several functional technical requirements, so there is not a one-to-one relationship between the two.

Table **4** below contains a summary of the functional and technical requirements that must be met by this project. These requirements were gleaned through interviews as well as analysis of Florida Rules documentation of processes and procedures as well as recommendations for best practices in the areas of user interface, functionality, system architecture, workflows, and contracting.

Table 4: Functional and Technical Requirements

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
 **Functionality** Improved capabilities that support functional business needs	Web-based Interface	The system shall have the ability to function using the latest 2 versions of Edge, Chrome, Firefox, and Safari.
	Web-based Interface	The system shall allow staff to co-browse.
	System of record	The system shall be the single uniform, official, centralized, interactive statewide system for storing and managing information related to the FAC and FAR.
	Data Access	The system shall provide DOS staff, external state agencies, and the general public with access to information related to the FAC and FAR.
	Data Access	The system shall provide authorized external state and local agencies with the ability to submit information into the FAC and FAR. These external entities shall have the ability to track the progress of their submission.
	Notices	The system shall generate all required notices electronically. Through email and/or within the system itself (in-app notices).
	Automation	The system shall enable automation to reduce time spent on manual, paper-based processes.
	Reporting	The system shall provide reporting that satisfies the Department's needs.
	Reporting	The system shall provide configurable dashboards for management, including enhanced search/sort filter functionality.
	Help	The system shall provide a module for Help/ Frequently Asked Questions.
	Online Portal	The system shall provide enhanced ability for public users to access it via the web. The system shall provide a user-friendly search experience like "Google". Sensitive or confidential information shall be redacted automatically by the system.
	Document Upload	The system shall allow external authenticated and internal users to submit attachments online.
	Confidentiality	The system shall enable identification of data that are subject to a public records request. The protection of confidentiality shall be maintained, and redaction of sensitive information done automatically.
	User Management	The system shall provide roles-based authorization so that users can be assigned to roles which then gives access according to the assigned role.
	Business Rules	The system shall provide users the ability to configure business rules and data validation associated with and possible workflow.
	Logging	The system shall be able to capture performance metrics including timelines of actions and data updates.

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
Functionality Improved capabilities that support functional business needs	Configurable Correspondence / Notifications	The system shall provide department staff with integrated functionality to correspond with local officials and staff. This correspondence should be persisted to the database for historical records.
	Payments	The system shall provide the ability to accept payments online, including P-cards. The payment information (i.e., credit card numbers) shall not be stored anywhere in the system (pass-through payments).
	Reporting Functions	The system shall provide a central repository to create, modify and view reports. Reporting functionality shall include scheduled and automated reports, canned reports, customizable reports, and configurable dashboards.
	Search	The website shall provide the ability for the public to search for rules and laws as well as any related history.
	Account Management	Management of the subscriber accounts shall be available to all department staff whenever applicable. This is to reduce bottlenecks and inefficiencies.
	Account Management	The system shall provide the ability for agencies to manage all aspects of their profiles such as payment information, getting their password, setting up accounts.
	Self-Service Portal	The system shall provide a self-service portal with the following capabilities. • Agencies can create notices • Payment profile management • Loading and viewing reference materials • Edit rules • Manage adoption packets • Processing reference material • Uploading laws
	Chat Feature	The system shall provide department staff and agencies the ability to communicate through chat.
	Publishing	The system shall provide the Department with the ability to publish documents for the public when needed.
	Emergency Rules	The system shall provide support for emergency rules. This includes but is not limited to the following. • Real-time updates • Maintain history • Archive rule when it expires • Ability to bypass normal process with respect to approvals.

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
 **Workflows** Automated capabilities related to the process flow, management, storage, use, exchange, and transformation of data	Modern Platform	The system shall be built upon a modern, flexible, and configurable platform with a UI.
	Simplified and Streamlined Process Flows	The system shall provide streamlined process flows, including automated flows in situations where human intervention is not required.
	Workflow Enhancements (in app guidance)	The system shall have the ability to provide instructions and guidance to public users within applications, in line with fields for submission.
	Reduce Duplicative Work	The system shall aid in the ability to reduce the duplicative work of staff.
	Eliminate Parallel File Systems	The system shall provide functionality that incorporates previously manual user correspondence and external workflows to eliminate the need for email, phone, and parallel file systems.
	Issue Tracking	The system shall provide a support intake capability so that any system issues can be logged and tracked until resolved.
	User Support Module	The system shall provide functionality that allows department staff to support users' interaction within the system.
	User Support Screen Viewing	The system shall allow department staff the ability to view screens as non-department staff and public users to better provide support.
	Florida Statute Requirement	The system shall meet all standards and requirements set forth in the Florida statute.
 **Architecture** Modernized structural components that make up the system	System Integration	The system shall utilize a universal database structure and work with a range of relational databases.
	Web-based Interface	The system shall operate in the supported web browsers without requiring any browser plugins or any client software installation outside of the web browser.
	Web-based Interface	The system shall provide intuitive, menu-based navigation capability such that all functions are readily available.
	Cloud Hosting	The system shall be hosted in the Department's private cloud.
	Enhanced System Security	System architecture shall support the current latest version of operating systems and web server versions to ensure all recent security patches are available.
	Operating System Agnostic	The system shall allow for implementation as a set of containerized Kubernetes applications.
	Sustainable / Manageable	The system shall provide a pattern-based solution architecture with clear separations of concern. Solution shall not use a third-party DLL black box for example.
	Modular Improvement Support	Solution shall allow the ability to add new feature sets without significant downtime.
	Disaster Recovery Mitigation	The system shall provide a function for reporting both hardware health and software system performance reports. The system shall provide a System monitoring function sophisticated enough to detect infrastructure-level outages or changes.

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
 **Architecture** Modernized structural components that make up the system	Browser Compatibility	The system shall support the latest two versions of Edge, Chrome, Firefox, and Safari.
	Configurable Objects	The system shall provide the ability to configure components of the application in-house, without requiring a third-party vendor.
	Single Sign-On	The system shall support single sign-on.
	Active Directory Authentication	The system shall support integration with MS Office 365 Active Directory and SSO to ensure only authenticated users have access.
	Cloud Services	The system shall provide ability for the use of cloud services that maintain high availability, security, analytics, storage, and data integration.
	Payment Customizations	The system shall provide a configurable payment system integration that allows multiple payment providers to be utilized.
	Integrated Document Management	The system shall provide document management functions, including uploading and removing attachments (in various media types) from the public-facing portal. The system shall provide the ability to easily index, search, access, and view those attachments. The system shall maintain the capability to handle high volume, high retrieval, full context search, and multiple multimedia types.
	Flat File Import	The system shall be able to receive flat files via SFTP to accommodate current inbound external systems.
	API and Real-Time Data Calls	The system shall use a modern API framework to integrate with external systems for real-time data transfer.
	RSS Feeds	The system shall allow the use of RSS Feeds for integration.
	Relational Database	The system shall integrate with a relational database to store, extract, transform, and load data.
	Real-Time Reporting Database	The system shall provide direct and real-time access to operational data with minimal to no lag or delay.
	Batch Processing	The system shall have the ability to perform batch processing functionality.
	System Uptime	The system shall remain available 99.99% of the time, excluding planned and mutually agreed upon maintenance.
	Redundancy	The system shall provide redundancy such that the failure of a single system component will not result in overall lack of availability of the system (high availability, automatic failover).
	Web-based Interface	The system shall allow usage with only a web browser installation requirement on the client.
	Mobile Compatibility	The system's public portal shall be responsive such that it can be used on mobile devices and tablets without the need for horizontal scrolling.
	Environments	The system shall include the use of multiple "mirror" environments, including a development, testing, and production environment.
	Hardware Scaling	The system shall provide automatic scaling of hardware resources to ensure capacity is increased and decreased to match load.

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
 **Architecture** Modernized structural components that make up the system	APIs	The system shall provide all capabilities that are currently available through the public portal and through APIs.
	APIs	The system shall provide APIs that are RESTful. • Client Server Architecture • Stateless • Cacheable • Layered
	Data Exchange Integration	The system shall decouple the user interface and data integration points from the back-end services use of APIs utilizing application programming interfaces (APIs).
	System Data Control	The system shall allow Department staff to fully control access to the data both during and after usage of the implemented solution.
	Data Replication	The system shall provide real-time data replication to avoid any data loss in the event of a system failure.
	MS Word™ Compatibility	The system shall be compatible with the latest version of MS Word.
	Maintainability	The system shall be built in a manner that makes it possible for in-house maintenance and support.
	Proprietary Requirement	The system shall not be built using proprietary code.
	Storage	The system's storage shall be scalable to meet the Department's needs.
	Technology Stack	The system shall be built on a standard, supported technology stack.
	Navigation	The navigation shall incorporate best practices for intuitive navigation: • Ample use of white space. • Quick links to important pages. • Clear, easy-to-understand language. • Use of color, blocking, and other design techniques to separate information on the page.
	Standard	The user interface shall be ADA compliant.
	Responsive	The user interface shall have a responsive design and shall support mobile devices for viewing.
	Responsive	The user interface shall be responsive to user interaction without noticeable delay.
	Consistency	The user interface shall have a consistent style.
	Capacity Monitoring	The system shall provide the capability for monitoring via server volume/capacity and network volume/capacity monitoring.

Functional and Technical Requirements		
Objectives	**Initiative**	**Description**
 **Contracting** Well-defined contract provisions for services or capabilities that support system operations and maintenance	UI-based O&M	The system shall allow completion of all routine operation and administration activities through the user interface as opposed to requiring direct database interaction or scripted activities.

III. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

The success of the Florida Rules Modernization Project will be based on quantitative and qualitative factors or success criteria. Each of these success factors and criteria are in alignment with the business objectives, proposed business process requirements (set forth in Proposed Business Process Requirements Section II.C) and to federal and state performance and compliance requirements, as well to the overall vision and mission of Florida Rules.

Success criteria for the project, along with the KPIs, are listed in Table 1 below. The success criteria and the KPIs form the basis of any contracts pursued to implement the final solution. The DOS anticipates the implementation team assigned will develop a future-state strategy and requisite plans. Success criteria are grouped into the five categories illustrated earlier in Figure 4: DOS Florida Rules Business Objectives Illustration.

Table 5: Success Criteria and KPIs

SUCCESS CRITERIA		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
Functionality Improved capabilities that support functional business needs	Automated/online billing and payment processing for FAR notices (currently, PO, check, or P-card) Add automation Workflows to include dashboards, etc. Website must work with current versions of word processors and web browsers Chat feature Public search functions on website (currently difficult to use) Automate the public display for other filings: city and county ordinances Section for active emergency rules that automatically go into history or archive link when they expire Ability to turn approvals off in emergency events	• Agencies will be able to successfully remit electronic payment and reduces staff involvement in the creation and emailing of invoices. • Manual workflows performed by both staff and agencies will either be eliminated or significantly reduced such as tracked changes for rule amendments from FAR to FAC. • Main hubs on the agency and staff pages to perform primary functions will improve usability. • The website will be able to accept all document types and versions and will be able to perform all functions on all browsers and versions. • Correspondence between agencies and staff can take place in real-time and any problem solving can be done through this designated communication portal. • Staff will receive less inquiries about how to use the search function and the public will receive more comprehensive search results. • Requests for copies of city and county ordinances will be reduced as they will be accessible online to the public. • Staff, agencies, and the public will be able to find information regarding Emergency Rules in one designated space on the website and requests for finding such information will be reduced. • Presence of an approval bypass.

SUCCESS CRITERIA		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
 **Workflows** Automated capabilities related to the process flow, management, storage, use, exchange, and transformation of data	Business unit must be able to complete all current tasks/workstreams Automate the process when internal program staff receive documents Automate FAR to final FAC process Streamlined process for Florida Rules staff to edit and publish FAR & FAC (follow notice of rule development to adoption filing) (automating versioning) Automatically generate notices into FAR based on type Resolve the current issue with uploading PDFs (allow users to easily upload documents) Modernized/streamlined process for state agencies to publish notices to FAR Workflow management	• No disruptions in what staff is tasked with currently completing. • Less emails will be created to exchange documents between staff and agencies. • The intention is to make the rulemaking process easier for agencies especially where coded rule text is concerned. A major indicator will be the requirement of less replacement pages for adoption packets. • This will eliminate the need for a staff member to manually delete stricken language and to copy and paste new language into an ongoing version of a rule. Reduction in errors that require staff members to fix. • This will no longer require a staff member to manually place a notice into a PDF. • Users will be able to upload all document types without staff assistance. • Agencies will require less staff support to perform an essential function of their rulemaking process. • Staff will be able to perform key tasks in one designated area on the website and reduce the amount of workflow that is performed manually.
 **Architecture** Modernized structural components that make up the system	System should be able to be maintained by junior DOS staff System security must be maintained, vendor code must account for updates System's architecture should not be proprietary Scalable storage capacity System architecture must allow for modular functionality (future) Cloud-based solution	• Ongoing system maintenance will be completed and tested quickly. • Amount of new feature bugs will be reduced. • System maintenance training will be more efficient. • Metrics will be established for the number of maintenance hours in comparison to legacy operations and maintenance efforts • Allows for system portability • System is able expand and ingest necessary data and documents. • Ease system maintenance • Allow for portability to like systems • Complies with cloud first initiative • Reduces hardware modernization costs • Improves data backup and recovery functionality

SUCCESS CRITERIA		
Objectives	**Description of Success Criteria**	**Key Performance Indicator**
 **Interfaces** Enhanced capabilities related to the storage, use, exchange, and transformation of data	More streamlined, intuitive interface for users Access to subscriber accounts and interface User base should manage their own account (self-service)/User profile management Enhanced search features Help/FAQ training for system use Reorganization of information on the website for more intuitive navigation Additional, details for comments on rules, like adding location and organization affiliation to just name	• The public will be able to rely less on staff to assist with finding information on the website. • Staff will have full access to subscriber accounts and be able to provide support to users if needed. • Users will have full control over their own accounts with less assistance from staff to perform basic functions as finding a password. • The public, staff, and agencies will be able to find information easier and have better results without a simple search quickly becoming a research request. • All website users will be able to find answers to frequently asked questions regarding the site and rulemaking. • Information will be easier to consume and will be organized more intuitively into key sections thereby requiring less time for staff to explain navigation of the site. • Agencies will experience better communication with those who have input in their rulemaking process.
 **Contracting** Well-defined contract provisions for services or capabilities that support system operations and maintenance	If vendor is to provide maintenance, contract must have clear terms and conditions System's procurement structure must fall within budget	• Financial consequences should be sufficient to inspire quality customer service. • Measurement of a cost performance index.

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

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

For each tangible benefit, the table below lists 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				
Description of Benefit	**Who Receives the Benefit?**	**How is the Benefit Realized?**	**How is the Realization of the Benefit Measured?**	**Realization Date (MM/YY)**
Functionality Improved capabilities that support functional business needs	• DOS Staff • Other Agency Staff • Governor's Office • Public Users	• Automated/online billing for FAR notices (currently, PO or check - want p-card) • Add automation • Workflows to include dashboards, etc. • Website work with all versions or MS Word and web browsers • Chat feature • Public search functions on website (currently difficult to use) • Automate the public display for other filings: city and county ordinances • Section for active emergency rules that automatically go into history or archive link when they expire	• Agencies will be able to successfully remit electronic payment and reduces staff involvement in the creation and emailing of invoices (essentially eliminating this workflow from our office). • Manual workflows performed by both staff and agencies will either be eliminated or significantly reduced such as tracked changes for rule amendments from FAR to FAC. • Main hubs on the agency and staff pages to perform primary functions will improve usability. • The website will be able to accept all document types and versions and will be able to perform all functions on all browsers and versions. • Correspondence between agencies and staff can take place in real-time and any problem solving can be done through this designated communication portal. • Staff will receive less inquiries about how to use the search function and the public will receive more comprehensive search results. • Requests for copies of city and county ordinances will be reduced as they will be accessible online to the public. • Staff, agencies, and the public will be able to find information regarding Emergency Rules in one designated space on the website and requests for finding such information will be reduced. • Presence of an approval bypass.	6/30/2025

BENEFITS REALIZATION				
Description of Benefit	**Who Receives the Benefit?**	**How is the Benefit Realized?**	**How is the Realization of the Benefit Measured?**	**Realization Date (MM/YY)**
 **Workflows** Automated capabilities related to the process flow, management, storage, use, exchange, and transformation of data	• DOS Staff • Other Agency Staff • Governor's Office • Public Users	• Business unit must be able to complete all current tasks/workstreams • Automate the process when internal program staff receive documents • Automate FAR to final FAC process • Streamlined process for Florida Rules staff to edit and publish FAR & FAC (follow notice of rule development to adoption filing) (automating versioning) • Automatically generate notices into FAR based on type • Resolve the current issue with uploading PDFs (allow users to easily upload documents) • Modernized/streamlined process for state agencies to publish notices to FAR Workflow management	• No disruptions in what staff is tasked with currently completing. • Less emails will be created to exchange documents between staff and agencies. • The intention is to make the rulemaking process easier for agencies especially where coded rule text is concerned. A major indicator will be the requirement of less replacement pages for adoption packets. • This will eliminate the need for a staff member to manually delete stricken language and to copy and paste new language into an ongoing version of a rule. Reduction in errors that require staff members to fix. • This will no longer require a staff member to manually place a notice into a PDF. • Users will be able to upload all document types without staff assistance. • Agencies will require less staff support to perform an essential function of their rulemaking process. • Staff will be able to perform key tasks in one designated area on the website and reduce the amount of workflow that is performed manually.	6/30/2025

BENEFITS REALIZATION				
Description of Benefit	**Who Receives the Benefit?**	**How is the Benefit Realized?**	**How is the Realization of the Benefit Measured?**	**Realization Date (MM/YY)**
 **Architecture** Modernized structural components that make up the system	• DOS Staff • Other Agency Staff • Governor's Office • Public Users	• System should be able to be maintained by DOS junior staff • System security must be maintained, vendor code must account for updates • System's architecture should not be proprietary • Scalable storage capacity • System architecture must allow for modular functionality (future) • Cloud-based solution	• Ongoing system maintenance will be completed and tested quickly. • Amount of new feature bugs will be reduced. • System maintenance training will be more efficient. • Metrics will be established for the number of maintenance hours in comparison to legacy operations and maintenance efforts • Allows for system portability • System is able expand and ingest necessary data and documents. • Ease system maintenance • Allow for portability to like systems • Complies with cloud first initiative • Reduces hardware modernization costs • Improves data backup and recovery functionality	6/30/2025

BENEFITS REALIZATION				
Description of Benefit	**Who Receives the Benefit?**	**How is the Benefit Realized?**	**How is the Realization of the Benefit Measured?**	**Realization Date (MM/YY)**
 **Interfaces** Enhanced capabilities related to the storage, use, exchange, and transformation of data	• DOS Staff • Other Agency Staff • Governor's Office • Public Users	• More streamlined, intuitive interface for users • Access to subscriber accounts and interface • User base should manage their own account (self-service)/User profile management • Enhanced search features • Help/FAQ training for system use • Reorganization of information on the website for more intuitive navigation • Extra details for comments on rules, like adding location and organization affiliation to just name	• The public will be able to rely less on staff to assist with finding information on the website. • Staff will have full access to subscriber accounts and be able to provide support to users if needed. • Users will have full control over their own accounts with less assistance from staff to perform basic functions as finding a password. • The public, staff, and agencies will be able to find information easier and have better results without a simple search quickly becoming a research request. • All website users will be able to find answers to frequent questions that staff are asked with regard to the site and rulemaking. • Information will be easier to consume and organized into key sections requiring less time that staff has to explain navigation of the site. • Agencies will report better communication with those who have input in their rulemaking process.	6/30/2025

BENEFITS REALIZATION				
Description of Benefit	**Who Receives the Benefit?**	**How is the Benefit Realized?**	**How is the Realization of the Benefit Measured?**	**Realization Date (MM/YY)**
 **Contracting** Well-defined contract provisions for services or capabilities that support system operations and maintenance	DOS Staff	• If vendor is to provide maintenance, contract must have clear SLA terms and conditions • System's procurement structure must fall within budget	• Financial consequences should be sufficient to inspire quality customer service. • Measurement of cost performance index	6/30/2025

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

The replacement system implementation means migrating Florida Rules from its aged .ASP code base to a more modern technology framework. The Florida Rules Modernization Project will utilize a hybrid solution with existing software packages, third-party products, and custom development efforts with updated architecture to align with the Florida's "Cloud-First" policy in accordance with Rule 60GG-4.001, F.A.C. The DOS will procure development staff using the State of Florida's state term contract to implement technology development best practices and infrastructure before engaging in a three-year project to rewrite Florida Rules code. Implementation team roles and services represented in Figure 8 and the Appendix A – Cost Benefit Workbook are provided in Table 6 below, with expected budgetary impact.

Table 6: Project Roles and Services

Category	Roles and Services	Annual Budget
Non-Recurring Development Costs	Architecture, development, analysis	$650,000
	Project Manager	$200,000
	Hosting and Third-Party Software	$50,000
IV&V		$90,000
Infrastructure		$37,000
Total		$1,027,000

Figure 8: Project Costs

	FY24-25	FY25-26	FY26-27
Non-Recurring Development Costs	$700,500	$700,500	$700,500
Project Management	$200,000	$200,000	$200,000

IV & V	$90,500	$90,500	$90,500
Hosting/Licenses	$36,000	$36,000	$36,000
Total	$1,027,000	$1,027,000	$1,027,000
		Project Total	$3,081,000

The Schedule IV-B prescribes a standardized Cost-Benefit Analysis Workbook to explain the anticipated relative costs and benefits associated with the recommended solution to replace the Florida Rules system. The workbook is embedded below.

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.

Table 7: Cost Benefit Analysis

Cost Benefit Analysis	
Form	**Description of Data Captured**
CBA Form 1 - Net Tangible Benefits	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. 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.
CBA Form 2 - Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 - Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

CBA Workbook

Appendix A - FL Rules CBA Workbook

V. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

> ***NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.***

A required risk assessment of the Florida Rules Project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool evaluates risk characteristics of the project based on responses to 89 questions in a Microsoft EXCEL™ workbook organized into eight assessment categories (tabs). After completing questions in all eight tabs, the Risk Assessment Summary is automatically populated. A completed Risk Assessment Tool and Risk Assessment Summary for this project are included as Appendix B.

The purpose of the Risk Assessment Tool and Risk Assessment Summary is to produce a standardized and formula-driven project risk rating based upon answers provided to the questions associated with eight assessment areas included as separate tabs within the risk assessment workbook. Answers must be provided only from the response options to each question included in the tool. If the response options given are not applicable or do not accurately answer a particular question, a response must nevertheless be selected from the options listed. After answering all the questions included in the Risk Assessment Tool, the Risk Assessment Summary is populated automatically.

A fundamental limitation of the Risk Assessment Tool and Risk Assessment Summary in its current design is that it presupposes the completion of certain activities that are not likely to be completed (as a practical matter) prior to approval and funding of major technology initiatives. Consequently, the overall risk assessment rating for this project appears in the assessment tool as "High," which does not necessarily align with expectations for a project of this size and scope. All categories in which risk is classified as "High" are manageable and unlikely to undermine expected success or benefits of the program. Categories with high classification risks are expected to see a material reduction in the overall project risk profile within months of project start when a formal project management program, stakeholder sign-off and requirements finalization activities are completed. Until the project and funding are approved, it is unlikely that additional time and effort to reduce identified risks would be prudent or pragmatic.

Risk Assessment Summary

As noted above, the overall risk assessment for this project is rated as "High." This rating reflects assessment ratings of "Medium" in five of the eight assessment areas and "High" in three of the eight assessment areas. Specific factors that contributed to the overall risk assessment rating of "High" include the following items detailed in Section 0 that are anticipated to be addressed within the first year of the project. The overall project risk level will decrease when the following items from each of the eight assessment categories are addressed. Additionally, addressing these items will shift the current position of the project in the risk quadrants of the Risk Assessment Summary to reflect a more accurate alignment with business strategy not currently represented due to limitations associated with the design of the risk assessment tool.

Project Risk Area Breakdown

The primary drivers for a high-risk rating are the following categories determined to be high risk based on the Project Risk Area Breakdown within the risk assessment tool:

- Strategy
- Project Organization
- Project Complexity

Specific categories that contributed to the current risk assessment rating of "High" will be addressed within the first year of the project. These include:

Strategic Assessment

- Project objectives will be documented and signed-off by all stakeholders.
- Project charter will be signed by executive sponsor and executive team actively engaged in steering committee meetings.
- All remaining requirements, assumptions, constraints, and priorities will be defined and documented.
- All required changes in law, rule, or policy will be identified and documented.

Project Organization Assessment

- Project organization and governance structure will be defined and documented.
- Roles and responsibilities for the executive steering committee will be clearly identified.
- Project staffing plan will identify and document all staff roles and responsibilities.
- Change review and control board will include representation from all stakeholders.
- An experienced project manager and project management team will be assigned to the project.

Project Complexity Assessment

Project complexity will be mitigated by the following measures:

- Project objectives will be clearly aligned with DOS's mission and statutory charge.
- Project objectives will be clearly documented and signed off by the stakeholders.
- Project charter will be signed by the executive sponsor.
- Project requirements, assumptions, constraints, and priorities will be clearly defined.
- Acquiring third party consulting services for project support, including IV&V services.

The overall project risk level will decrease from "High" when the above items are addressed and should diminish significantly by the conclusion of the first year when the project structure is in place, business processes and requirements are fully mapped and defined, and the foundational technology elements have been implemented. Additionally, addressing these items will shift the current placement of the project within the risk quadrant of the Risk Assessment Summary in Project Assessment tab of the workbook to reflect a more accurate alignment with the Business Strategy not currently represented due to inherent limitations associated with the design of the risk assessment tool.

VI. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System

There are several factors driving national trends for the replacement and modernization of information systems. These modernizations typically result in benefits such as increased customer self-service, increased staff efficiency, and updated security, among others. The DOS could reap similar benefits through the modernization of its information systems used to manage FAC and FAR. Furthermore, DOS will benefit from an updated system. The justifications for this modernization are as follows:

- **Growing need to increase usability and efficiency** – Systems that are designed to be streamlined and efficient are paramount to any organization. As the business processes of organizations evolve to satisfy current and future needs, modern systems that are engineered with high usability and efficiency are required to empower these organizations to reach their business goals.
- **Loss of technical skills and resources** – Resources with skills in older technologies are limited. Training and support for these technologies obsolete to acquire.
- **Aging hardware and software** – DOS is supporting the FAR and FAC with information systems that were built decades ago and never designed to handle the demands of their current or future business needs. These outdated and inflexible systems have become increasingly difficult to maintain and enhance to support new functionality.
- **Data quality and customer expectations** - In an era of advanced technologies, Florida citizens, as well as DOS staff, have come to expect systems that better support an automated self-service business model. Given the technologies currently available, users expect the Department to provide an improved level of service, faster response times, and more accurate information. It is not possible to meet these expectations with the older technologies currently in use.

a. Description of Current System

Florida Rules is the singular website where DOS publishes FAC, FAR, and the Laws of Florida. The website has been available to the general public and state agency users on the current platform since 2006.

Figure 9 on the following page depicts the Florida Rules System.

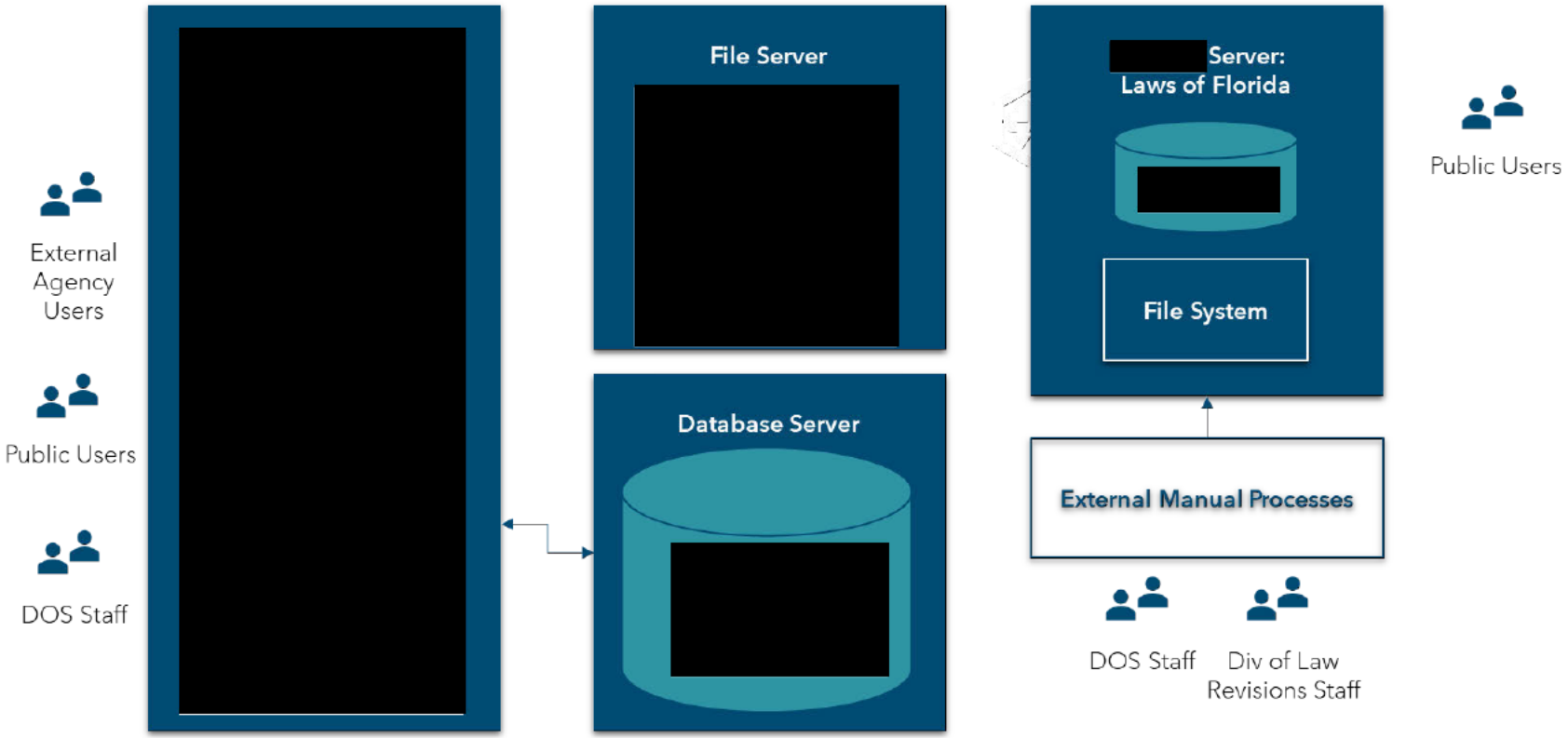

Figure 9: Florida Rules System Current State

The major technical components of the FAC and FAR are as follows:

Applications and Databases:

- Florida Administrative Code – A [redacted] web application that is the official compilation of adopted agency rules. Once rules are published, public users can search for and make comments on existing rules. This application uses a mainstream database engine as a backend for data storage.
- Florida Administrative Register – A [redacted] web application that provides notice to the public of a variety of official acts of state and local governments, as well as notices of private sector entities. This also includes agency rulemaking proceedings from rule development through rule adoption. This application uses a mainstream database engine as a backend for data storage.
- Laws of Florida – a [redacted] web application that is a verbatim publication of the general and special laws enacted by the Florida Legislature by year and published each year following the regular session of the legislature. It presents the laws in the order in which they are numbered by the Department, as well as resolutions and memorials passed by the legislature. This application uses a mainstream database engine as a backend for data storage.

b. Current System Resource Requirements

Technical requirements also describe how the business process requirement will be accomplished but from the technical perspective. Some business process requirements may be accomplished through several functional technical requirements, so there is not a one-to-one relationship between the two.

Table **4** above contains a summary of the functional and technical requirements that must be met by this project. These requirements were gleaned through interviews as well as analysis of Florida Rules documentation of processes and procedures as well as recommendations for best practices in the areas of user interface, functionality, system architecture, workflows, and contracting.

c. Current System Performance

The Florida Rules system has been on the current platform for 17 years for DOS, general public, and state agencies. As technology is advancing, the expectations and demands of users are increasing on the legacy system. Because it has been largely untouched since it was first implemented, the system has remained static and become less and less able to interface with the constantly advancing world around it. The system has challenges supporting current business functions, integrating with emerging technology, and meeting future business needs.

Integrating technology enhancements into an overall Florida Rules Modernization Project will enhance user experience and increase functionality while making all online publications ADA compliant and accessible, as required in Section 282.603, F.S., including:

1. Elimination of many manual business processes, including automation for invoicing and payments
2. Streamlined, intuitive interface for users
3. Flexible platform to accommodate legislative and policy changes
4. Ability to work with current versions of word processors and web browsers

2. Information Technology Standards

The Florida Rules website and its supporting systems are governed by the following Information Technology Standards and rules:

- Rule 60GG-2, FAC, which establishes the state standards relating to Information Technology security
- Rule 60GG-4.001, F.A.C., directs state agencies to show a preference for cloud-computing solutions
- Americans with Disability Act, Section 508 Accessibility Compliance

B. Current Hardware and/or Software Inventory

NOTE: Current customers of the state data center would obtain this information from the data center.

Table 8: Current Software Inventory

Name	Description
FLRules.org	• Host the FAR and FAC • Built in [redacted] and uses [redacted] as its underlying code
[redacted]	• Laws of Florida • On separate environment, [redacted], and [redacted] database
[redacted]	• Manipulates [redacted] documents for use on the website • Requires [redacted] to be installed on the server. Written in [redacted] ([redacted])
[redacted]	• Library used to upload files in [redacted] • Created by [redacted]. Use by FLRules.org
[redacted]	• Sends emails out from servers to other agencies • Compiled in [redacted] and is [redacted]
[redacted]	• Possibly used to download files generated by FLRules.org • Written in [redacted] ([redacted]) Virtual Application under FLRules.org website

Table 9: Current Hardware Inventory

Name	Description
File Server:	• Windows [redacted] Server • [redacted] CPU [redacted] • [redacted] RAM • [redacted] Share drive
Web Server:	• Windows [redacted] Server • [redacted] CPU [redacted] (4 processors) • [redacted] RAM
[redacted] **Server**	• Windows [redacted] • [redacted] CPU [redacted] • [redacted] RAM • [redacted]
[redacted] **Web Server: Laws**	• [redacted] • [redacted] CPU [redacted] • [redacted] RAM • [redacted] • [redacted] • [redacted] • [redacted]

C. Proposed Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing existing software packages, through a combination of third-party products and custom development that will satisfy the requirements for each component of the system, however the level of customization will be assessed by the implementation team. The subsections that follow provide insight on the decision-making process for the recommended solution, including solution alternatives and rationale for selection.

1. Technical Solution Alternatives

The following are alternatives considered for the Florida Rules Modernization Project.

- **Third-Party Software Product Components and Libraries** – This solution alternative would involve implementing third-party software product components and libraries to completely provide the required capabilities, with some customization as needed.
- **Custom Solution** – A custom solution can be implemented by writing the modernized version of the applications using a completely custom-developed solution.
- **Hybrid Solution** – A hybrid solution would utilize a combination of third-party software products components and libraries in conjunction with custom developed software to construct a solution that best satisfies the requirements and constraints of the business.

2. Rationale for Selection

Table 10, below, depicts how the technical solutions under consideration (Third-Party Software Product Components and Libraries, Custom, or Hybrid) are scored within each of the categories on the left-hand side. For example, a custom solution would provide better business alignment than a third-party solution due to the specific implementation of requirements that do not fit within the third-party software constraints.

Table 10: Solution Selection Considerations

Technical Solution Selection Considerations			
	Third-Party Software Product Components and Libraries	**Custom**	**Hybrid**
Business Alignment	Medium Alignment	Most Alignment	Most Alignment
Flexibility	Medium Flexibility	Most Flexibility	Better Flexibility
Maintainability	Medium Maintainability	Better Maintainability	Better Maintainability
Complexity	Least Complex	Very Complex	Some Complexity
Time to Implement	Least Time	Considerable Time	Shorter Time
Cost	Considerable Cost	Better Cost	Medium Cost
Scalability	Most Scalable	Most Scalable	Most Scalable

Below is a high-level summary of considerations and decision factors for each technical solution alternative:

- **Third-Party Software Product Components and Libraries Solution** – This solution alternative might provide reduced implementation time and complexity, and ability to scale as needed, but would not fully satisfy DOS requirements without substantial customization (see Hybrid solution). Maintainability with this solution is limited to the configuration options provided. Furthermore, costs are recurring and variable

(dependent on vendor support fees). As such, a full deployment of this alternative is not likely to be a viable option for DOS.

- **Custom Solution** - A full custom solution would require significantly more development effort, hardware costs, time, and application support burden, as compared to other options. While a custom solution does provide considerable flexibility and capability to meet the business need, it comes with a prohibitive cost and extended implementation timeline. A full custom solution is not recommended for this Florida Rules Modernization Project effort.
- **Hybrid Solution** – Based on the breadth of DOS requirements, the unavailability of a complete package of third-party software to fully satisfy the requirements, and the complexity and cost of a full custom solution, it is recommended that DOS pursue a hybrid solution. A hybrid solution will allow DOS to capitalize on the advantages of both types of software while also mitigating their disadvantages. This is accomplished by using a combination of existing software products and custom software development to construct a solution that more closely fits the business needs. Note that these existing software products can include software libraries as well as independent applications with customization capabilities.

3. Recommended Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a combination of existing software packages, third-party products, and custom development that will satisfy the requirements for each component of the system. This conclusion was reached by evaluating both the business and technical solution alternatives.

D. Proposed Solution Description

1. Summary Description of Proposed System

The proposed business solution for the Florida Rules Modernization Project is a hybrid implementation of a new, modernized system. The recommended business solution will result in a strategic rewrite, replacement, or upgrade of the technical components of the current system, by replacing the [redacted] of Florida Rules, as discussed previously in Section II.C.4 Recommended Business Solution and depicted in Figure 7: Future State System Conceptual Diagram. The proposed business solution roadmap is detailed in the implementation roadmap in Figure 10: Florida Rules Modernization Roadmap on the following page.

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

The recommended implementation roadmap, Figure 10 below, outlines the activities involved in implementing the proposed system replacement. The Florida Rules Modernization Project Roadmap is a visual aid that provides the processes, activities, and configurations that are key components in delivering a successful solution.

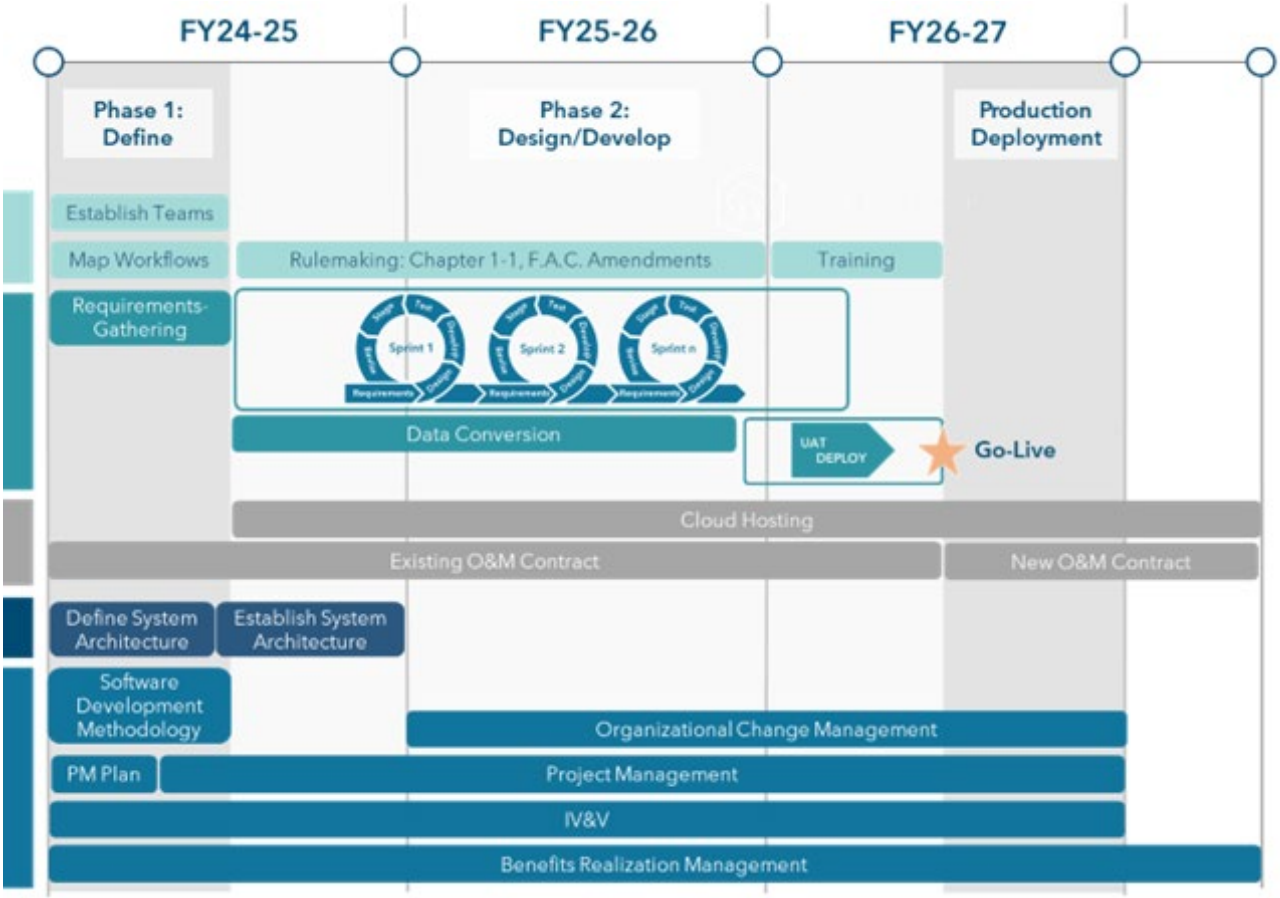

Figure 10: Florida Rules Modernization Roadmap

The Florida Rules Modernization Project Roadmap includes five key areas: People, Software, Support, Architecture, and Project Management. Each of the five key areas are further defined.

People

The People swim-lane within the implementation roadmap depicts the following high-level activities:

- **Establish Team –** DOS will onboard project staff and establish team standards and practices.
- **Map Workflows –** The Florida Rules Modernization Project includes the integration of existing processes into a unified system that can automate workflows and track pertinent data efficiently. An initial, mandatory step in this process is to take an inventory of all relevant processes and ensure they have been properly documented.
- **UAT –** User Acceptance Testing (UAT) is a key milestone in the Software Development Life Cycle (SDLC) where the newly developed system is tested against use cases to identify any unaddressed issues.
- **Rulemaking –** Some changes made during the modernization process may require amending Chapter 1-1, F.A.C.
- **Training –** Once the new system has been developed and deployed, users must be immediately and properly trained to facilitate adoption by users and accelerate its acceptance by users. This timeframe includes development of training in all its forms and execution across multiple mediums.

Software

The Software swim-lane within the implementation roadmap depicts the following high-level activities:

- **Requirements Gathering –** For the Schedule IV-B, DOS put together high-level requirements, but once the implementation team is onboarded, one prioritized task will be to meet with DOS stakeholders to identify and document detailed requirements of the new system.
- **Iterative Sprints –** After the initial design is complete, development will occur in four-week sprints. During each sprint, the implementation team will plan, develop, deploy, and test new functionality in achievable, finite components. Until the single switchover at the end of the project, all sprint deployments will be to the test environment.
- **Data Conversion –** Data currently existing in Florida Rules must be extracted, "cleaned" to be standardized in a way compatible with the new system and DOS standards and loaded into the new system. This effort can be quite large depending on the state of Florida Rules data standards and validation practices.

Support

The Support swim-lane within the implementation roadmap depicts the following high-level activities:

- **Cloud Hosting –** The recommended system will be hosted in the cloud. This bar represents the effort to stand up the new system in the cloud and the ongoing effort to maintain its presence there.
- **New O&M Resource(s) –** The recommended vendor proposal will include hiring one or more O&M resources to support the new system. The new resource(s) will join the DOS team at least 6 months before production deployment to provide sufficient time to become acclimated to the new system before it goes live.

Architecture

The Architecture swim-lane within the implementation roadmap depicts the following high-level activities:

- **Define System Architecture** – The process of defining a conceptual model of the proposed system. This includes the attributes, behavior, and purpose of the system components. These components could include subsystems, entire applications, or networks boundaries, etc. The principal purpose is to convert system characteristics like scalability, security, reusability, extensibility, modularity, maintainability, etc. into a complete model that has the best possible chance of supporting the business requirements.
- **Establish Architecture** – The process of implementing the conceptual model. Through code and configurations, the architecture model is transitioned from conceptual to concrete components such as subsystems, databases, APIs, libraries, etc.

PMO

The Project Management Office (PMO) swim-lane within the implementation roadmap depicts the following high-level recommended activities, teams, and stages with oversight by the Project Team:

- **Software Development Methodology –** Before engaging in development, it is important to have systems and processes in place to govern how development is done. This also will include what tools are used and other infrastructure that must be in place before the development team can work together to develop the new system.
- **Project Management Plan (PM Plan) –** In accordance with 60GG-, F.A.C., this project will operate according to a PM Plan. The PM Plan establishes guidelines for the project team based on industry best practices and lessons learned by all stakeholders involved. It establishes how stakeholders communicate, how the project will manage risk, scope, schedule, budget, and other relevant project issues.
- **Organizational Change Management (OCM) –** A modernization effort represents a large change. Leading stakeholders through any large change includes a responsibility to help all stakeholders transition

optimally. OCM tasks focus on clear communication to establish expectations and prepare all affected parties for the change to come. Ideally, good OCM can help to address resistance and enable leaders to become change champions through building awareness and ensuring stakeholders have the requisite skills to succeed with the new system and processes.

- **Project Management -** The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes.
- **IV&V –** Independent Verification and Validation (IV&V) is comprehensive review, analysis, and testing of the project or system performed by an independent third party. IV&V for the project ensures that project management best practices are being employed and adhered to. IV&V for development is ensuring the correct requirements have been gathered (verified) and that those requirements have been correctly implemented (validated).
- **Benefits Realization Management –** These tasks ensure the benefits speculated in this IV-B and in the project charter are being realized and come to fruition. Benefits Realization Management manages how time and resources are invested into providing value to the agency. It is a collective set of processes and practices for identifying benefits and aligning them with DOS modernization strategy, ensuring benefits are realized as the new Florida Rules system implementation progresses and completes, and that the benefits are sustainable—and sustained—after project implementation is complete.

E. Capacity Planning
(historical and current trends versus projected requirements)

This section discusses additional considerations that should be contemplated during project development.

Figure 11 below shows the recent volume of rule adoptions including emergency rules, new rules, rule amendments, and rule appeals. Last year, the Florida Rules team managed nearly 1,200 adoptions with nearly 160 adoptions in peak months.

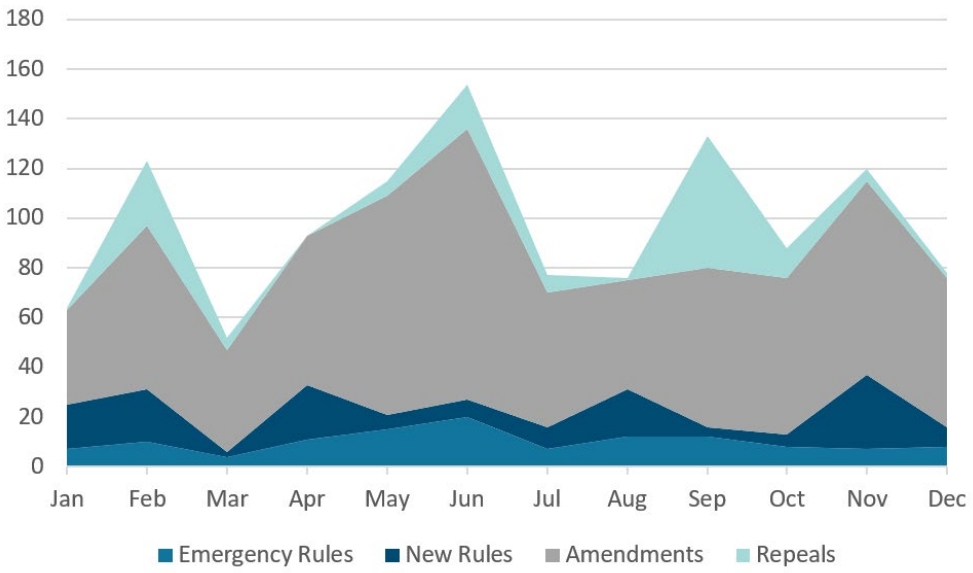

Figure 11: Adoption Monthly Totals

Figure 12 below shows the most recent DOS data on the number of Florida Rules page views. Views rise during and after session and peak at over 5 million views a month. In previous years, monthly viewing totals have shown drastic spikes. In 2010, three months were over 9 million views with a spike in March of over 15 million views. Florida's population has also grown by over 18% since 2010. Projecting that same growth out over the next 10 years, a similar spike to one experienced in March of 2010 would translate to more than 21 million views.

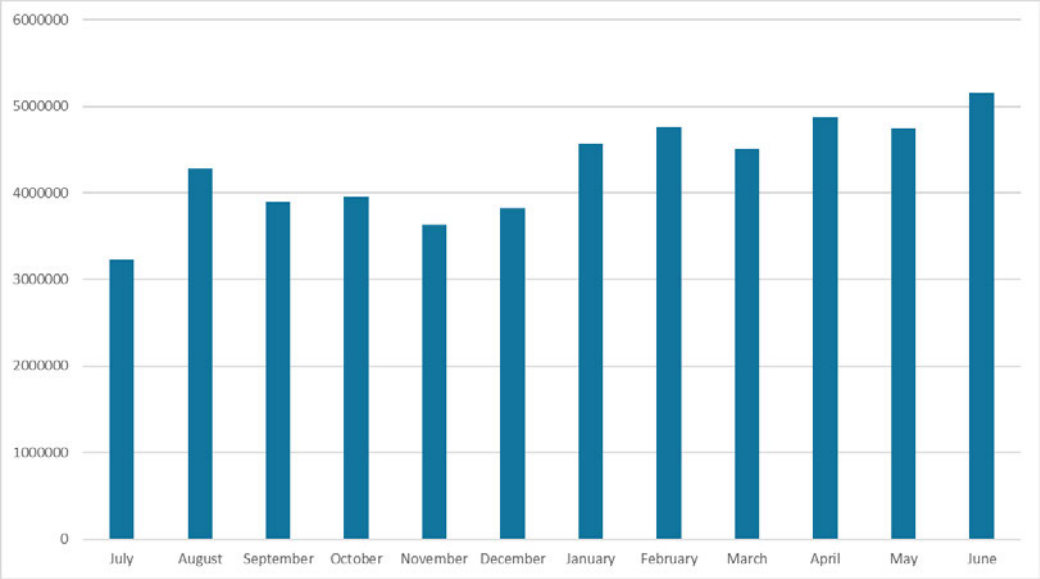

Figure 12: Florida Rules Web Statistics

The proposed system must be able to facilitate the usage shown above with sustained traffic at over 14 million views per month and spikes that could exceed 21 million views in a month.

The level of the current systems workload for Florida Rules is cyclical and is driven by legislative sessions, shifting priorities of administrations, invoicing transactions, new online/web laws and regulations, and demands of other state agencies. Because of the current system's reliance upon manual processes and procedures, it is quite plausible that the proposed modernized system will free up the capacity of some DOS staff to be reallocated to other important work within the department.

As stated earlier, the essential requirements of a modernized FLRules.org site are presentation, usability, flexibility, and scalability. As the laws, rules, business processes, and best practices change, the technological systems used by DOS will also need to change. As such, consideration should be given to how this might impact the system architecture, functionality, interfaces, and workflow.

With the public's interest and desire for greater accessibility to data and information as well as public policy insistence upon the same, it is imperative that the proposed modernized system not only be robust enough to handle the demands of today but also the needs of tomorrow. The proposed modernized system will need to be scalable and flexible enough to accommodate growth while providing DOS staff, agencies, and users with a best-in-class solution.

Implementation and Maintenance Resource Assignments

Based on the anticipated target dates for deployment activities and project completion, staffing levels will need to be planned carefully to meet project milestone deadlines. While IT resources will be needed for development and implementation, program area SMEs will be needed for consultation on business processes and functional needs.

As the project and modernized system develops, consideration must also be given to ongoing resource assignments for system maintenance. With the requirement for the new system to allow for internal O&M, DOS IT will need to determine the amount and type of internal resources to dedicate to ongoing maintenance. This may mean additional FTEs are needed, or that current FTEs working in Florida Rules can be shifted completely or partially to other priority areas for DOS.

On the program side, DOS will need to consider staff resources that will be required during the Florida Rules Modernization Project phases and for post-implementation support. Second, an assessment of resources will be required once the new business processes are established. This is a critical element of organizational change management that will require early and frequent communication with team members, transparent and strategic planning, and intentional collaboration between management, the IT team, and all DOS staff.

VII. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

> ***NOTE: For IT projects with total cost in excess of $10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.***

In accordance with guidelines established for this section of the Schedule IV-B, DOS will leverage its experience with similar engagements and follow a project management methodology that includes the following project requirements:

- **Project scope** – provide the baseline definition of the project's objectives and what the project will deliver.
- **Project phasing plan** - for projects greater than one fiscal year, provide a project phasing plan that defines, where possible, independent phases/subprojects.
- **Baseline schedule** – identify the high-level tasks and major milestones for the project to include, where appropriate, procurement, analysis, design, development, configuration, data conversion, testing, training, and implementation.
- **Project organization** – define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams.
- **Quality assurance plan** – describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and independent verification & validation (IV&V).
- **Risk management** – describe the agency's processes for identifying, documenting, and mitigating project issues and risks.
- **Implementation plan** – describe approach for placing the system into production and retire current system(s). Tools may include a transition plan, knowledge transfer plan, and organizational change management.

Predictability, accountability, and flexibility are key elements that must be embraced by the overall project management approach to ensure DOS's satisfaction and project success. Successful project management must include active and visible leadership, multiple controls and checkpoints with measurable outcomes, and engagement with all stakeholders. The DOS believes strong project management is critical throughout the life of any successful project.

In alignment with the DOS goal to bolster its technical infrastructure, it is continuing its modernization efforts for multiple systems. These modernization projects will enhance the services DOS is statutorily charged to provide to the state of Florida, including strengthening elections integrity and security. For this project, DOS intends to utilize a project portfolio management (PPM) approach for oversight of the following three system modernization projects:

- FVRS modernization (Florida Statewide Voter Registration System)
- FES modernization (Florida Statewide Electronic Campaign Finance Reporting System)
- FLRules.org

PPM is a process by which multiple projects are evaluated and executed to ensure strategic alignment with organizational goals. PPM provides executives, project managers, team members, and stakeholders an overarching view of their projects, including how they fit into the organization's directives and strategy, thereby lending insights into the potential returns and risks involved. Under this PPM approach, the three system modernization projects are managed centrally through the PMO's strategic oversight and management infrastructure, as well as at the individual project level through the respective modernization project manager. The PPM also drives the following positive outcomes:

- Clarity of purpose
- "Big-Picture" thinking
- More effective resource allocation and management
- Increased efficiency and productivity (cost effectiveness)
- Improved agility
- ROI maximized

The DOS's project management approach will utilize the technical skills, tools, and techniques needed to succeed, as well as the dedication to accountability, resource commitment, and organizational focus. Project success will be the result of active communication among all individuals, understanding everyone's role in the project, and clear delineation of responsibilities.

DOS believes successful project management is substantially dependent on the following factors:

- Clearly established project goals and requirements
- Ongoing assessment of quality against established standards
- Constant measurement of success against established deliverables and milestones
- Personal presence and commitment of key project leadership
- Proactive identification and communication of risks and issues

The primary project management methodology used by DOS is based on the Project Management Institute's Project Management Framework. The DOS Project Manager, along with any contracted vendors supporting the Florida Rules Modernization Project, will determine an appropriate project management methodology. The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate, including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific project management methodology employed, certain management and control mechanisms will be relevant to all phases of this project, including:

- Project Charter that clearly conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- PM Plan
- Baseline project schedule
- IV&V
- Change Management Procedures
- Project Issues Register
- Project Risk Register
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the PM Plan, will assist both the Project Manager and Project Sponsor in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress, identifying, documenting, evaluating, and resolving project related problems that may arise
- Reviewing, evaluating, and making decisions regarding proposed changes; changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders
- Monitoring and taking appropriate actions regarding risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of project deliverables and taking appropriate actions regarding any project deliverables that are deficient in quality

The sections below expand upon elements of the system modernization PM Plan that will be in place at project initiation. The PM Plan is compliant with Rules 60GG-1.001 through 60GG-1.009, F.A.C., known as the Florida Information Technology Project Management and Oversight Standards.

A. Project Charter

The project charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the DOS's purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the Florida Rules Modernization Project.

The subsections that follow explain the project management approach for the Florida Rules Modernization component of the overall PPM process described above. Project management for modernization of the FES and FVRS, as part of the PPM process described above, is addressed in separate Schedule IV-Bs.

1. Project Name

This project is named **Florida Rules Modernization**.

2. Purpose and Objectives

In compliance with Section 282.318, F.S, DOS must provide access to information through the publication of the FAR and FAC., and data to ensure the confidentiality, integrity, and availability of such information and data.

The fiscal benefits of the Florida Rules Modernization Project will be predominantly realized through efficiencies that result in cost savings (e.g., manual processes will be reduced or eliminated). Implementation of a site and technology modernization initiative will be translated into taxpayer savings by making government processes more efficient and less costly over the long-term.

Updating the site architecture will also improve the overall user experience, making the information more widely available and accessible. The modernization of technology will elevate DOS's ability to provide an efficient and effective government service.

The Florida Rules Modernization Project will improve the integrity of data and provide access to accurate and secure information for everyone, while opening the door for future possibilities.

DOS has defined the overall business objectives, which include but are not limited to:

- The system must allow for the creation of invoices for billing entities engaged in the publication of notices in the FAR and electronic payment processing (not limited to use of a state government P-card).
- The system must support public access 24/7 via the web to all public rulemaking documents and rulemaking actions through an intuitive, user-friendly interface.
- The system must support customized public email notification regarding rulemaking actions, meetings and other public notices and provide user customized tracking tools, including browser independent searches and other tools to allow users to quickly locate notices, rules, and regulatory actions. A public user should be able to specify preferences based on subject area and/or keyword and have ready access to any information from the Florida Administrative Register.

- The system should accommodate an integrated public meeting calendar to accommodate posting of meeting agendas, meeting minutes, and digitally recorded transcripts.
- The system should accommodate public comments on issues pertinent to proposed rulemaking during designated public comment periods and provide public access to filed comments via a search engine. The system should provide tools to help agencies manage and respond to comments.
- The system must provide a wide range of information access functions suitable for a large, distributed community that includes DOS division staff, state agency staff, legislative staff, and the general public.
- The system must be able to manage files in all common standard formats, including but not limited to [redacted].
- The system should provide a common interface to resources under its control and facilitate consistency in data and services. The interface must be web-based with both basic and expert functions supporting public, state agency, and DOS division staff views.
- The system must include or interface with personal productivity functions such as the ability to cut and paste, copy, save, print, mail, download, update, and search.
- The system must be a forward-looking, extensible system built on a cost-effective hardware and software platform for web access. The system must provide a platform for future development in response to changing requirements and advancing technologies.
- The solution should leverage existing software packages and products when practicable. In these cases, the PMO must coordinate the system update with the product vendors and the system users to ensure reliability with no interruption of service.
- The system must integrate and interoperate with the network infrastructure, security scheme, and systems platform currently maintained by the DOS.
- The system should meet performance standards for response time and availability.
- The system must meet ADA Section 508 requirements for accessibility.
- The system must be standards-based in principle and in practice.
- The system must manage e-commerce accounts for agencies and other governmental clients who rely on the Florida electronic rulemaking system.

3. Project Phases

This project will be developed in four phases:

i. Pre-implementation Activities
   a. Develop and Execute Procurement
      i. Project Management
      ii. Independent Verification and Validation

ii. Define

This phase will include the following activities:

   a. Map Workflows
   b. Establish Teams Internally and via Procurement
   c. Define System Architecture
   d. Determine Software Development Methodology
   e. Procure Third-Party Software Components and Libraries
   f. Develop Project Management Plan

iii. Design/Develop

This phase will put into place the core solution functionality. Florida Rules Modernization Project efforts will cover the following initiatives:

   a. Establish System Architecture
   b. Data Conversion
   c. Define, Design, Develop, Test, Deploy (developed in iterative sprints and deployed to a test environment)
   d. User Acceptance Testing

e. Staff Training
f. Project Management
g. Organizational Change Management
h. Independent Verification and Validation
i. Benefits Realization Management

iv. Deploy

This phase will include the final rollout of the full, modernized solution available to the public and state agency users. Six months prior to production deployment, DOS will onboard a new resource to conduct O&M for the system. This new resource will ensure continuance of operations and will replace the O&M contract that ends upon production deployment.

B. Project Scope

The vision of the Florida Rules Modernization Project effort is to implement immediate system performance and functional improvement needs while positioning DOS with secure, scalable, cost-efficient, and sustainable system architecture and agile support processes.

To realize this vision for immediate improvement and long-term sustainability, technology and resource investments are necessary in fiscal years 2024-25 through 2026-27. These investments will result in long-term benefits to Floridians in the form of immediate service improvements and long-term benefits to DOS in reduced system maintenance time and cost.

To ensure the most efficient and effective implementation of projects included in the Florida Rules Modernization Project, it is the Department's intention to acquire the services of a vendor experienced in the planning and oversight for implementation of multi-year system modernization initiatives, as well as Independent Validation & Verification (IV&V) services to ensure that projects are executed with minimal cost and schedule variance. While project cost does not require IV&V, DOS still intends to contract IV&V services as a best practice.

DOS will oversee a governance process ensuring that there is an integrated process, vertically and horizontally, for requesting new projects and funding. Specifically:

- Vertical integration requires receiving bottom-up input on the costs and status of each project element and top-down prioritization and approval of prospective projects.
- Horizontal integration requires the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

The Florida Rules Modernization Project Team will work in conjunction with the PMO, with a focus on attaining Florida Rules Modernization Project goals and objectives. The Florida Rules Project Manager will coordinate with the PMO for budget, schedule, scope, and status reporting.

The scope of this project will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation of the Florida Rules modernized business systems to support the following teams and activities:

- Project Management Team
- Organizational change management
- Independent verification and validation
- Solution architecture
- Integration of business units
- Data conversion and integration
- External interfaces (full SDLC)

- Self-service portal (full SDLC)
- Case and workload management (full SDLC)
- Reporting functions (full SDLC)
- System implementation
- Content development for training materials
- End-user training
- Operations and maintenance planning

C. Implementation Plan

The Implementation Plan describes the proposed steps needed to implement the Florida Rules Modernization Project. The plan begins with the initial procurement of external resources needed to achieve project outcomes, outlines initial deliverables for the overall project, and finishes with a communication plan for the project. All three elements of the Implementation Plan are subject to change as the enterprise modernization project evolves, the systems develop, and the corresponding program areas identify any additional requirements or changes. The final Implementation Plan will be incorporated into the Project Management Plan and approved by the Project Manager, Project Sponsor, and Executive Committee.

1. Procurement Management Approach

The procurement management plan seeks to outline how the project will procure resources necessary to complete project objectives included within this project charter. It will define the procurement methodology for this project, lay out the process for managing procurement throughout the life of the project, and will be updated if and when project needs change. When finalized, this plan will identify and define the goods and services to be procured, the types of contracts to be used in support of this project, the contract approval process, and the decision criteria. Coordinating the procurement activities, establishing firm contract deliverables, and setting metrics in measuring procurement activities are critical to project success.

The DOS Purchasing Office and any external resources contracted for procurement support will provide oversight and management for all procurement activities under this project. The Florida Rules Modernization Project Team, in conjunction with the PMO will review and refine all procurement needs prior to approving the development of final procurement documentation.

Each of the three systems within the DOS Modernization Project may have unique procurement requirements and approaches. The following subsections propose details for the Florida Rules Modernization Project's procurement management approaches, which must be approved by the Project Sponsor and Purchasing Manager prior to inclusion in the project.

a) Procurement Management Approach

Table 11: Procurements Essential for Project Success proposes the goods and services determined to be essential to the Florida Rules portion of the DOS Modernization Project that must be obtained outside of DOS resources. These items may change as the project evolves and initial planning activities are conducted within DOS.

Table 11: Procurements Essential for Project Success

Procurement	Description	Justification	Needed By
Project Management Office (PMO)	The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes.	DOS intends to use a central PMO for all concurrent system modernization projects. A single PMO will ensure project alignment and resource maximization. A contracted PMO will provide management resources not available within DOS due to limited staff resources to be dedicated to a special, long-term project. Additional duties such as OCM and benefits realization efforts will also be managed by the PMO.	July 2023
IV&V (or Quality Assurance services)	IV&V services will provide independent oversight of the project activities.	Outsourcing these services is essential for an independent, unbiased perspective on project activities.	July 2023
Software Licenses or Components	The modernized system will be a hybrid of custom development and third-party software components. When necessary, DOS will procure essential components that are not custom developed.	In cases where the implementation team determines it adds value to leverage existing third-party products as part of the modernized system, the team will seek procurement of those components.	TBD
Cloud Hosting	Cloud-hosted systems are not run on servers within FDLE buildings, but on servers located across the nation or even the world.	Rule 60GG-4.001, F.A.C., directs state agencies to show a preference for cloud-computing solutions. Most modernized systems are cloud-based, due to the many benefits this platform provides, such as improved: scalability, maintainability, accessibility, and disaster recovery.	1/1/2024

2. Project Deliverables

Table 12 below contains a preliminary list of project deliverables for the Florida Rules Modernization Project. The

final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected PMO and as system architecture and design are finalized.

Table 12: Project Deliverables

Name	Deliverable Description
Project Management Status Reports	Status reports to project management team, per the project schedule.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Summaries	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the DOS Legislative Budget Request for follow-on phase.
Project Charter	Issued by the Project Sponsor and formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
Project Management Plan	Includes the following documents as required by the DOS Project Director: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan • Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of rulemaking and publishing of Florida rule business processes as developed by the vendor in conjunction with DOS subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.

Name	Deliverable Description
Technical Design Specifications	Detailed technical design for data and information processing in the new business system to include: • Data Model/ERD • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design. This includes the processes of detailed data conversion mapping, data extraction, transformation, and loading.
Organizational Change Management (OCM) Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Regular status reports from the OCM vendor.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to "go live" with the project and identifies action plans to remedy any lack of readiness.
IV&V (or QA) Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V (or QA) Status Reports	Quarterly reports to the Executive Management Team.
IV&V Periodic Assessments	Documents the results of IV&V activity to determine the status of project management processes and outcomes including but not limited to: • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan)

Name	Deliverable Description
	• Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Test Plans and Cases	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing. Test cases will include documented sets of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation and post- implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

a. *Project Milestones*

It is anticipated the project will be managed according to Table 13 below. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require the Project Sponsor to sign-off prior to commencing the next activity.

Table 13: Project Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Vendor Procurement	• Post bid for PMO Service • Post bid for IV&V Service • Post bid for Development Services
Vendor Selection and Contract Execution	• Select PMO Vendor and Execute Contract • Select IV&V Vendor and Execute Contract • Select Development Services Provider and Execute Contract
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed	• As-Is Business Process Flows • To-Be Business Process Flows

Milestone	Deliverable(s) to Complete
Acceptance of Functional and Technical Requirements	• System Requirements Document • Validated Functional Requirements Document • Requirements Traceability Matrix
Acceptance of User Interface Prototypes	• User Interface Prototypes
User Acceptance Testing	• NA
End User Training	• On-site training sessions • Training materials
Final System Deployment Approval	• IV&V system readiness certification
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklists • Project Close-out Checklist

b. *General Project Approach*

The following activities are required to finish the Florida Rules Modernization project:

1. Submit a Legislative Budget Request
2. Perform Schedule IV-B Feasibility Study update
3. Execute procurement(s)
4. Execute contract(s)
5. Execute the project
6. Monitor and control the project
7. Develop and test the proposed solution as described in the Technology Planning section per the plan outlined in Figure 10: Florida Rules Modernization Roadmap
8. Implement the proposed solution modules as completed and validated (iterative)
9. Conduct Organizational Change Management and Communications activities (iterative)
10. Develop and Conduct Training (iterative)
11. Deploy the fully modernized system to trained users who are fully prepared to use the new system and are supported by on-screen help
12. Conduct knowledge transfer
13. Continued operations, administration, and support of the system via in-house operations and maintenance
14. Close Out the project
15. Operate and enhance the system throughout its service life

c. *Change Request Process*

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the Project Team in accordance with a documented change management plan or documented change management procedures. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request by the Project Sponsor and its validation by the Project Team, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A

priority will be assigned, and the request will be scheduled accordingly.

3. Project Communication

Communication management seeks to provide a comprehensive framework for all communication necessary to keep stakeholders informed about the project's direction and status. The purpose of the project communication plan is to put into place infrastructure to facilitate clear and timely communication of project objectives and promote successful project outcomes.

a. Communication Plan

The communication plan is designed to provide the right information, at the right level, to the right audience, at the right time. The plan addresses key audiences, messages, frequency, and methods of communication.

This plan, depicted in Table 14 below, describes the various forms of communication, appropriate channels of communication, and target audiences for this project. The communication matrix identifies the different tools that will be used to guide the planning for communication about the project to various audiences and purposes. It should be considered a general guide for the effective dissemination of information that is received, understood, and utilized by the target audiences for successful completion of the project. This communication matrix will be customized for each project to reflect the various communication forms, frequencies, and audiences that will actually be used during the course of the project and to ensure communication channels are properly maintained throughout the project and updated if communication needs to change.

Table 14: Project Communication Matrix

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Status Reports	Provide detailed information on the progress of the project against the plan	Email	Per project schedule	Mandatory	Florida Rules Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Status Meetings	Review the status report, resolve issues, and make decisions	Meeting	Per project schedule	Mandatory	Florida Rules Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Sponsor Meetings	Review project progress, resolve issues, and make decisions at an executive level	Meeting	Monthly	Mandatory	DOS CIO	DOS Leadership (Project Sponsor)	Verbal and follow-up email
Project Deliverables	Provide deliverables to Modernization PM	Email	Per project schedule	Mandatory	Project Team Member	Florida Rules Modernization Project Manager and Deliverable Review Team	Written vetted, consolidated, and actionable comments

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Deliverable Review Feedback	Provide vetted, consolidated, and actionable written comments	Email	Per project schedule	Mandatory	Deliverable Review Team	Project Team Member (Deliverable Developer)	Written /email follow-up using Deliverable Review Comment Form
Deliverable Review Meetings	Confirm mutual understanding of desired deliverable changes	Meeting	As needed	Informational	Project Team Member (Deliverable Developer)	Florida Rules Modernization Project Manager, Deliverable Review Team, subject matter experts (SMEs)	Verbal or written
Work Sessions	Gather information from subject matter experts (current providers)	Meeting	Per project schedule	Mandatory	Project Team Member	SMEs	Verbal and follow-up email
Work Session Follow-Up	To answer questions or clarify information gathered	Email	As needed	Informational	Project Team Member	Florida Rules Modernization Project Manager, Deliverable Review Team, SMEs	Verbal or email follow-up
Project issues	Documentation of project issues	Email	As needed	Mandatory	Any Stakeholder	DOS Project Manager Vendor Project Manager	Written/email follow-up
Project issues escalation	To resolve project issues	Email	As needed	Mandatory	Florida Rules Modernization Project Manager	DOS Leadership (Project Sponsor)	Written/email follow-up
Change requests	Document project changes to scope of work	Email	As needed	Mandatory	Florida Rules Modernization Project Manager	DOS Leadership (Project Sponsor)	Written/email follow-up
Project closeout and lessons learned	Formal project closeout meeting	Email	Per project schedule	Mandatory	Florida Rules Modernization Project Manager	DOS Leadership (Project Sponsor)	Written/email follow-up

b. Status Reporting

Vendors will be required to submit status reports throughout the project at several levels. The primary source of status information is the recurring (at regular intervals per the project schedule) written status report, which will communicate, at minimum, the following information. The PMO presides over the regular DOS Modernization Project Meeting, which is attended by the Project Managers from the three modernizations. Status reports are collected by the PMO ahead of the meeting, reviewed, and discussed at the regularly occurring meeting. **Project Status.** This section depicts the project status at a summary level using a red/yellow/green method supported by two to three essential questions that are answered to determine summary status. The red/yellow/green method is not meant to be a grading system but instead it is a way to easily identify the areas of the project that need the most attention to make the project successful.

Overview of Project Progress. This section describes significant accomplishments achieved in the reporting period.

Project Milestones, Deliverables, and Latest Tasks. This section contains the major deliverables of the project, their planned and actual completion dates, and their status.

Risks, Action Items, Issues, and Decisions. This section will link to the project risk, action item, issue, and decision tracking tool. The project tracking tool contains all items tracked during the project.

D. Project Schedule

Schedule Management is to be conducted at both the portfolio and individual project level. Schedule management consists of the following three areas: schedule development, schedule administration, and schedule change control. The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the Florida Rules Modernization Project Manager and the PMO. The PMO's primary schedule management responsibility is to develop an Integrated Master Schedule, which will encompass the three individual modernization project schedules. It is important to maintain a centralized view of the schedules, especially as DOS will leverage shared resources across projects.

The implementation roadmap in Figure 13 illustrates the high-level phases and activities that are key components in

delivering a successful solution to be completed over three years.

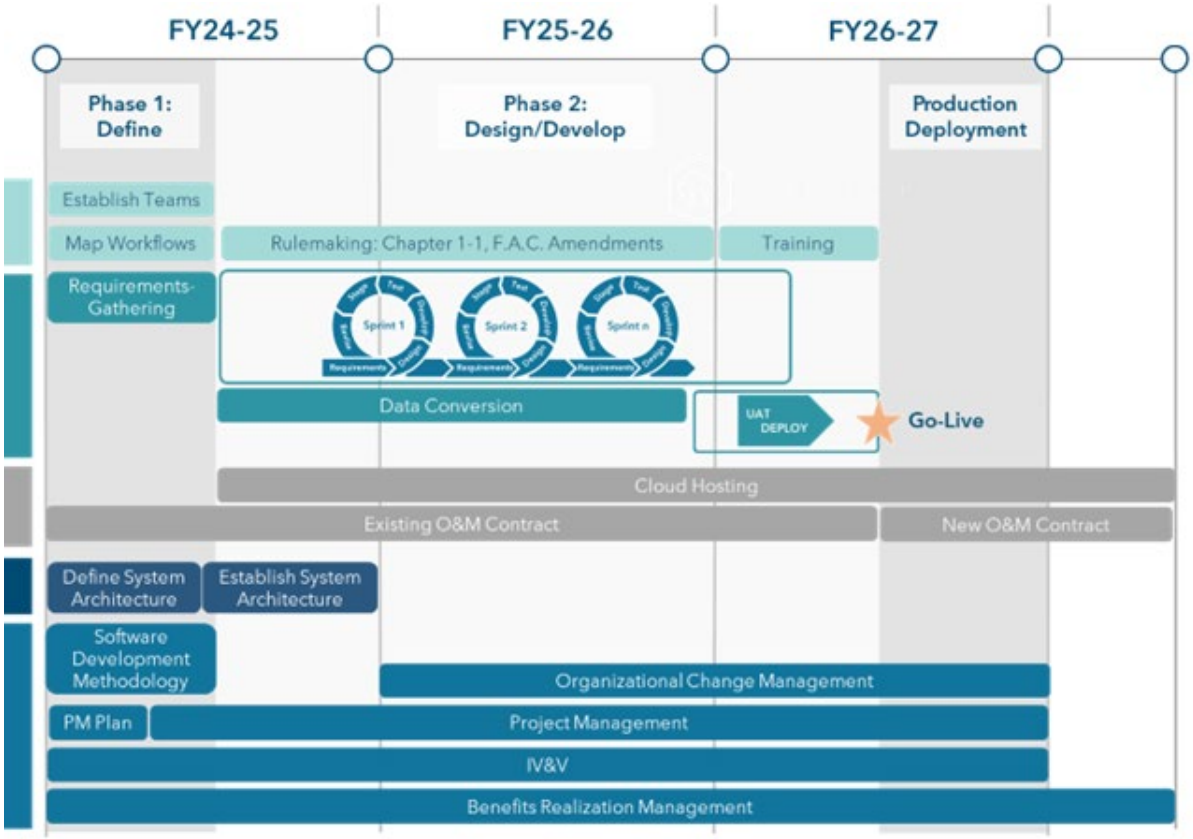

Figure 13: Florida Rules Modernization Roadmap

1. Schedule Development

Schedule development is the process of taking the project scope of work and breaking it down into activities and tasks that can be assigned and managed in project management software capable of tracking. tasks that are dependent on others by using predecessor and successor columns.

A schedule baseline establishes the expected delivery dates of project activities at a point in time. Baselines are used to track variances from original approved plans for the project. The Florida Rules Modernization Project Team uses the baseline feature of the project management software to establish a snapshot of the established dates for tasks. A schedule baseline will be updated only if needed to correct errors and adjust for any approved change requests. Once a change request is approved, the PMO performs a re-baselining of specific tasks impacted.

The Florida Rules Modernization Project Team reviews the progress of tasks against the baseline dates to monitor project progress and identifies areas of schedule slippage requiring corrective action to ensure the project remains on schedule.

The Project Schedule is developed with various project management software views that are configured by the Florida Rules Modernization Project Team for specific purposes. The columns displayed within the default view should include:

a. **ID**: A sequential number to denote a line number.
b. **Unique ID**: A number that is assigned to a created task (row) and is carried within that task, regardless of a change in its line number.
c. **Ta**sk Name: A text descriptor of the task.
d. **% Complete**: A percentage representation of the task's completion based on its duration.
e. **Duration**: A number (in days) denoting the length of a task from start to finish.
f. **Start Date**: The date the task is scheduled (planned) to begin.

g. **Finish Date**: The date the task is scheduled (planned) to complete.
h. **Start Variance**: The amount of time (in days) representing the difference between the baselined start date and the current planned start date.
i. **Finish Variance**: The amount of time (in days) representing the difference between the baselined completion date and the current planned completion date.
j. **Predecessor**: The ID (line number) of the task that precedes a given task.
k. **Successor**: The ID (line number) of the task that follows a given task.
l. **Notes**: A free-form text column that is used to capture any comments or information about a task.

2. Schedule Administration

The schedule will be kept up to date as specified in the PM Plan. Task progress and percent completion will be input into the schedule. Variances between planned and actual progress will be managed with particular attention to the critical path. The PMO will evaluate the baselined schedule against current progress, identifying the following at a minimum:

- Overdue tasks and computation of the percentage of late tasks related to total tasks to date (number of overdue tasks divided by number of total tasks).
- Overall task completion trending towards an overall project variance equal to or greater than 10%.

The Florida Rules Modernization Project Manager will communicate the variance explanation to the key stakeholders. This information will be used as input into regular status reporting. Any variance where the critical path is significantly behind will automatically result in an action item for discussion at the recurring status meeting or earlier.

Corrective actions will be developed as needed to resolve schedule variances. Schedule management techniques of crashing, fast-tracking, and compression will be considered as will other solutions like resource shifting or work rescheduling. Schedule forecasting will be used to look beyond the current status so that, to every extent possible, corrective actions can be applied before there are schedule variances.

Below are quality control checks the DOS team uses to maintain a functional and reliable Project Schedule.

- **Task Traceability:** All non-summary project tasks have at least one predecessor to depict relationships between different project tasks and outputs so project subcomponents can be fully traced through project completion. Task traceability demonstrates that the schedule responds dynamically to date shifts, i.e., delayed activities.
- **Critical Path Monitoring:** The project management software will calculate the Critical Path based on how the tasks are connected in sequence. The Critical Path is considered accurate if the necessary dependencies among tasks are correctly established using predecessors and successors. The PMO is responsible for validating the calculated Critical Path at regular intervals per the PM Plan. The PMO also reviews the critical path as new tasks are added or reconnected with other tasks.
- **Schedule Management Best Practices Checks:** The PMO will conduct Best Practices checks regularly and follows as part of its quality checklist the guidelines provided by Florida Digital Service.

3. Schedule Changes

Once the schedule has been developed, approved, and baselined any significant changes (impacting the Critical Path, deliverable milestone dates, or the project completion date) will have to be approved through the Change Management process. All other schedule changes can be made at the discretion of the Florida Rules Modernization Project Manager and the PMO. Such changes will be reported in the Status Report and discussed at the Status Meeting.

E. Project Organization

The purpose of this section is to outline how the enterprise DOS Modernization Project will manage staffing requirements and resource tasks appropriately. This project plan calls for additional staffing for most project initiatives through competitive solicitation of a contracted vendor. The needs for each project have been estimated

before the project and will be refined during requirements gathering and procurement of services.

Successful implementation of the proposed solutions requires establishing a model of governance by applying a structured decision-making process. Functions critical to project success within this governance process will include measures to document and maintain requirements and compare solutions in advance of implementing architectural change. Such a process will also facilitate decision-making and manage all aspects of the modernization efforts.

Effective collaboration is essential to the successful implementation of the proposed solution. Collaboration provides visibility to stakeholders, produces the necessary exchange of information, coordinates work efforts, and produces useful information about stakeholder needs. The Florida Rules Modernization Project Team will establish guidelines for effectively managing collaboration with project stakeholders before, during, and between projects or project phases.

DOS's enterprise approach and governance structure will be developed in order to make coordinated IT decisions at an enterprise level and align business decisions with strategic objectives. Roles and functions within the proposed organizational governance structure will evolve over time to ensure organizational agility and continuous modernization. For the initial structure, roles, responsibilities and/or processes are outlined in Table 15.

Table 15: Proposed Governance Structure

Project Role	Potential DOS Actor(s)	Responsibilities
Executive Committee	Chief of Staff Chief Information Officer General Counsel Director of Administration	• Communicate policy objectives that will drive or materially impact IT strategy • Receive and review communications or reports from the IV&V and meet regularly with IV&V • Make go/no-go decisions, provide written approvals for proposed projects, and, to the extent required in a given PM Plan, provide approvals for individual project phases • Provide final approval for acceptance of all active project deliverables • Make recommendations to close or terminate an active project
Project Sponsor	Director of Information Technology and Security Services	• Approve scope and objectives, schedule and resources, roles, and responsibilities • Review progress and provide strategic direction along with executive team • Make and enforce decisions as appropriate • Obtain resources as needed • Authorize change request analysis • Approve project change requests • Set priorities and resolve conflicts • Provide input on the requirements of the project • Review project plan and relevant documents • Ensure staff participates in work sessions • Promote project buy-in

Project Role	Potential DOS Actor(s)	Responsibilities
PMO Project Manager	Contracted PMO Lead	• Provide full support for project logistics, staff participation/reviews and communications • Verify work products meet contractual requirements • Preside over regular status meetings • Obtain project sponsor's approval of project deliverables • Serve on Project Team • Participate in project update meetings and other recurring IT or program area meetings as directed by DOS • Monitor and recommend change management activities for DOS and program areas • Conduct a comprehensive review of how the design and functionality of the new system will impact current processes and staffing • Identify issues that may arise due to system modernization and develop plan(s) to mitigate risk and ensure a smooth transition from current to future state • Collaborate with Project Team and program areas to develop needed changes to policies, processes, and work protocols • Develop and implement training for all areas impacted by system changes • Advise IT and program leaders on communication planning and activities
PMO Team	Contracted PMO Staff	• Analysis and preparation required for procurement documents • Project management oversight • Quality management oversight • IV&V oversight

IT Project Lead	DOS Chief Information Officer	• Serve as member of the Florida Rules Modernization Team
		• Provide oversight and input to align system projects and project activities with broader goals and support objectives of the modernization project
		• Provide management and oversight for the Team following work activities:
		  ○ Information architecture
		  ○ Technical architecture
		  ○ SDLC management
		  ○ Software documentation management
		  ○ SSAE 18, SOC 1 – Type 2 and SOC 2 – Type 2 reports (as may be required)
		  ○ Systems testing / UAT
		  ○ Data Security
		  ○ System Security
		• Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include:
		  ○ Checkpoints – Strategic meetings with system and project management teams to identify needs and resolve concerns
		  ○ Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities

Project Role	Potential DOS Actor(s)	Responsibilities
Program Project Lead	Florida Rules – ACR Program Administrator	• Serve as member of the Florida Rules Modernization Team • Provide oversight and input to align system projects and activities with broader goals and performance objectives of the program's business processes • Provide necessary input and documentation regarding functional requirements and functional specifications for system projects and project activities • Validate business process workflows, diagrams, descriptions, and other program-specific documentation • Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include: o Checkpoints – Periodic meetings with program and project staff to provide updates on proposed project planning, active project progress, and upcoming activities o Regular stakeholder meetings – Periodic briefings with external stakeholders, including county and partner agencies, legislative and executive branch staff, and others as appropriate
Vendor Manager	Purchasing Manager (or designee)	• Procurement oversight and management • Vendor contract management

Project Role	Potential DOS Actor(s)	Responsibilities
IV&V Vendor	TBD	IV&V is required for all projects with a total budget over all years of greater than $10 million per 216.023(4)(a)10, F.S. The selected IV&V contractor shall perform ongoing project monitoring activities and will review and validate issues/deficiencies/risks identified with the project. Minimally required project monitoring activities and deliverables include, but are not limited to: • Providing an independent, objective, third-party view of project efforts with the intent of protecting the State's interests • Providing personnel, processes, approaches, and tools to perform IV&V services for Florida information technology projects • Performing assessments on both project and program management processes and work products • Providing objective observations and recommendations • Assessing and reporting overall project performance, extrapolating future project progress and success, and identifying any possible impediments to successful project completion • Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures and methodology • Assessing the effectiveness of project communication, assessing Customer involvement • Developing performance metrics that facilitate the tracking of progress / completion of project tasks and milestones • Reviewing all project cost and expenditure documentation and making recommendations for efficient use of funds • Validating identified risks and issues and proposed response(s) and assessing impact to the project progress or success • Verifying and validating the quality of project work products (deliverables) • Reviewing statements-of-work, solicitations, and contracts to verify alignment between requirements and solicited or contracted terms • Providing guidance and training on standards and best practices for project management • Ensuring project teams follow required standards, including, but not limited to, Administrative Rule, Florida Statutes, and federal requirements

F. Project Quality Control

Whether DOS executes project tasks with internal resources, or oversees deliverables provided by contracted providers, Quality Management will be a key factor for project success. Quality Management details the processes to ensure quality services and deliverables. The Florida Rules Modernization Project Team will use disciplined processes and inspections to confirm quality throughout the life of the project. These inspections are performed at key points in the creation and review of documents and confirmation of the value of services the project team provides. Quality Management includes two components, deliverable quality control and services quality. The purpose of this section is to provide instructions on these processes. The Florida Rules Modernization Project Team commits to the highest quality in project execution and project team members' performance. To achieve a positive outcome, these processes will be carried out, so expectations are understood, aligned, and met.

The Florida Rules Modernization Project Team will follow a rigid quality assurance process. The project will follow these processes and procedures to ensure the highest level of execution.

Quality Management. The primary responsibility of the project quality manager (a role within the PMO) is to provide oversight and ensure the modernization objectives are met by meeting regularly with project stakeholders and department leadership.

The Florida Rules Modernization Project Manager is responsible for understanding project requirements and DOS expectations. A preliminary internal project meeting is held near the start of the project with all stakeholders. This meeting will include a discussion(s) of task assignments to clarify the scope of work and how it will be accomplished. The following quality management activities will be completed for the project:

- **Internal Kickoff Meeting –** Prior to project commencement, the Florida Rules Modernization Project Manager will ensure all team members understand the project's requirements, scope, and quality control processes. This meeting includes a discussion of task assignments to clarify the scope of work and how it will be accomplished. This awareness is maintained throughout the duration of the project within ongoing and as necessary project team meetings.
- **Sponsor Checkpoints –** The Florida Rules Modernization Project Manager will schedule regular contact with the Project Sponsor. This allows the Project Manager to voice their perspective on assignment progress and communicate any relevant risks, action items, issues or decisions made or encountered during the project.
- **Deliverable Reviews –** Prior to submission to the Florida Rules Modernization Project Manager and designated deliverable review teams, all deliverables are required to first undergo a thorough quality review. This review includes technical editing, validation, clarity, and ensuring conformance to DOS standards and expectations.

G. Project Tracking

This section describes the "RAID" methodology for tracking risks, action items, issues, and decisions. The Florida Rules Modernization Project will follow a centralized approach that minimizes miscommunication or misinformation among project stakeholders. The DOS will diligently maintain a "master" project tracking log for the project, a Microsoft Excel workbook with multiple tabs intended to capture the details and the latest attributes of items tracked by Project Managers.

See the link below for the project tracking log. Each tab is fully explained in the following sections.

RAID-Template.xlsx

1. Risk Management

Risks are characteristics, circumstances, or features of the environment that may have an adverse effect on the project or the quality of the work products. The risk management plan outlines the process to identify and analyze the effects of uncertainties on the project. This plan establishes a framework of working practices, which enables project team members to identify, analyze, respond to, monitor, and communicate risks before they become issues and jeopardize the success of the project. If a risk becomes an issue, the Florida Rules Modernization PMO will work with the involved stakeholders to assess its impact on the project and assign responsibility for issue resolution, including a target date for closure.

Risks will be managed in the following manner:

- During status meetings, any stakeholder can raise a risk for discussion.
- The Florida Rules Modernization Project Team will discuss the risk and determine if it warrants being monitored in the risk log.
- The PMO staff will enter the item in the risk log.
- The team will discuss response strategies and assign who will own the risk item.
- At each subsequent status meeting, the risk(s) will be reviewed until the risk(s) can be closed.

2. Action Items

Action items are unplanned tasks that occur during a project that are too small to be added to the schedule. These items must be within the scope of the project and are often tasks that support scheduled tasks, issue resolution, risk management, or some other aspect of the project. The action item log is created and maintained as part of the project tracking log.

Action items will be managed in the following manner:

- During status meetings, any stakeholder can raise an action item for discussion.
- The Florida Rules Modernization Project Team will discuss the action item and determine if it warrants being monitored in the action item log.
- The PMO staff will enter the item in the log.
- The team will set the priority for the action item (high/medium/low), assign an action item owner, and set a planned completion date.
- At each subsequent status meeting, the action item(s) will be reviewed until they can be closed.

3. Issue Management

An issue is defined as a current situation or event that must be resolved to avoid adverse impact to the project. Issues can originate from a risk that has materialized. The PMO will document all issues that are brought up in meetings.

When issues arise, they need to be resolved in a disciplined manner in order to maintain the quality of the work products and control the schedule and costs. The issue resolution process verifies differences, questions, and unplanned requests are defined properly, escalated for management attention, and resolved quickly and efficiently.

The issue resolution process is intended to handle technical problems, requirements, or issues/conflicts, as well as to address process, organizational, and operational issues of the engagement.

Issues will be managed in the following manner:

- During status meetings, any stakeholder can raise a potential issue for discussion.
- The Florida Rules Modernization Project Team will discuss the potential issue and determine if the item is indeed an issue.
- If the team determines the item is an issue, the PMO staff will enter it in the issue log.
- The team will discuss resolution steps, assign who will own the issue item, and set a target date for resolution.
- At each subsequent status meeting, the issue(s) will be reviewed until they can be closed.

4. Decisions

Decisions are leadership answers to questions that arise during the project. The decision log is created and maintained as part of the project tracking log.

Decisions will be managed in the following manner:

- During status meetings, any stakeholder can raise a question that requires a decision.
- If the team determines a decision needs to be made, the PMO staff will enter it in the decision log.
- The team will discuss the impact to the project, assign a decision maker, and set a date for when the decision is needed.
- At each subsequent status meeting, the decision item(s) will be reviewed until they can be closed.

VIII. Appendices

SCHEDULE IV-B FOR FLORIDA VOTER REGISTRATION SYSTEM MODERNIZATION

For Fiscal Year 2024-25

September 15, 2023

FLORIDA DEPARTMENT OF STATE

Contents

Acronyms

Acronym	Definition
ACID	Atomicity, Consistency, Isolation, Durability
API	Application Programming Interface
BER	Bureau of Election Records
BVRS	Bureau of Voter Registration Services
BVRSA	Bureau of Voter Registration Services Application
CBA	Cost Benefit Analysis
CCIS	Comprehensive Case Information System
COC	Clerks of Court
DL	Driver License
DLL	Dynamic Link Library
DOE	Division of Elections
DOH	Florida Department of Health
DOS	Florida Department of State
FES	Florida Statewide Electronic Campaign Finance Reporting System
FBOP	Federal Bureau of Prisons
FCOR	Florida Commission on Offender Review
FDC	Florida Department of Corrections
FDLE	Florida Department of Law Enforcement
FS	Florida Statutes
FTE	Full-time Employee
FVRS	Florida Voter Registration System
FY	Fiscal Year
HAVA	Help America Vote Act
HSMV	Florida Department of Highway Safety and Motor Vehicles

Acronym	Definition
ID	Identification
IT	Information Technology
IV&V	Independent Verification and Validation
KPI	Key Performance Indicator
LRPP	Long Range Program Plan
MIM	Microsoft Identity Manager
O&M	Operations and Maintenance
OCM	Organizational Change Management
OOS	Out of State
PACER	Public Access to Court Electronic Records
PIN	Personal Identification Number
PM	Project Management
PMO	Project Management Office
PPM	Portfolio Project Management
SOE	Supervisor of Elections
SOP	Sexual Offenders and Predators
SDLC	Software Development Life Cycle
SSA	Social Security Administration
SSN	Social Security Number
SSO	Single Sign-On
SWOT	Strengths, Weaknesses, Opportunities, Threats
TBD	To Be Determined
UI	User Interface

Executive Summary

The Florida Department of State (DOS) conducted a feasibility study for the modernization of the Florida Voter Registration System (FVRS) to increase efficiency and streamline processing of voter registration information while maintaining data security and integrity. The FVRS is the primary system used by the Bureau of Voter Registration Services (BVRS), within the DOS' Division of Elections (DOE), and the 67 county Supervisors of Elections to fulfill its statutory charge of maintaining a uniform, electronic statewide list of all registered voters.

Statement of the Problem

The FVRS is currently operating on hardware and software built in 2006, with no significant software upgrades since 2015. At the same time, the number of active registered voters in the State of Florida has grown to more than 14.5 million[1] and voter registration requirements, processes, and demands have changed significantly through laws, rules and other procedures. As a result, there are significant challenges associated with an aging system, increased user demand, and new legislative requirements.

The FVRS modernization project has three primary goals, listed below. Each goal also has specific objectives related to the requirements for system modernization discussed further in this study.

- Expand data integrity and enhance security
- Bolster the Department's existing technical infrastructure
- Increase system scalability

Key Issues to Be Addressed

The findings related to FVRS and BVRS are summarized in Table 1: FVRS System Findings.

Table 1: FVRS System Findings

Finding	Summary
Hardware Updates	DOS received a total appropriation $3.4 million from the 2021 Florida Legislature to refresh and replace FVRS hardware. DOS procured the required hardware and is in the process of migrating components of the FVRS onto the new equipment.
Software Limitation	Due the current system's age, several components of the system are no longer supported and have created business process challenges. As a result, approaches to fortifying security and access require more configuring and re-engineering. Additionally, there are web browser limitations and support for Microsoft Identity Manager (MIM), which is used to manage data access, users, policies, and credentials, has ended.
System Constraints	Any system changes cannot require county offices, primarily the Supervisors of Elections (SOE), to alter their own access to FVRS data or prevent access to the system, nor can they impose a financial burden to external data users (including counties, other state agencies, or out-of-state (OOS) agencies).
Limited Scalability	The current FVRS system architecture is not conducive to accommodating legislative or business process changes.

Recommended Solution

Following the consideration of alternatives for both the business and technical solutions, it is recommended that DOS pursue the modernization of the FVRS framework by modernizing FVRS and its ancillary systems and applications with a new system. Developing the new system through a hybrid approach of utilizing a combination of third-party software products and custom development will satisfy the requirements for each

[1] Florida Department of State. Division of Elections. Voter Registration by Party Affiliation. https://dos.myflorida.com/elections/data-statistics/voter-registration-statistics/voter-registration-reports/voter-registration-by-party-affiliation/

component of the system.

Based on assessed assumptions, constraints, and risks, it is recommended that DOS complete all modernization activities within the next six years. This system overhaul is estimated to total less than $16.9 million and have ongoing operating costs of $125,000 per year for licensing.

Conclusion

As DOS is charged with maintaining the statewide list of voters, in collaboration with voter registration and eligibility activities at the county level, efficiency and accuracy are paramount to BVRS' success. The current state of the FVRS and supporting systems, while still secure and functional, require modernization to increase data security and integrity, bolster DOS' existing technical infrastructure, and increase system scalability. An investment in a new system will provide DOS the tools it needs to perform mission-critical activities related to timely and accurate voter registration and support the county SOEs in their mission to do the same from registration to voting.

Note

This Schedule IV-B is for the modernization of the FVRS, and related components. The modernization of other applications related to and that interface with the FVRS currently and in its future, modernized state, including the Third-Party Voter Registration and Initiative Petitions applications, are addressed in a separate Legislative Budget Request package. Upon approval and funding of all modernization projects related to DOE work, the project management plan will ensure robust coordination among all work efforts to maximize resources, advance DOS' technical infrastructure, and enhance business processes.

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

A. Background and Strategic Needs Assessment

Purpose: To clearly articulate the business-related need(s) for the proposed project.

1. Business Need

The FVRS serves as critical infrastructure within the election process in Florida and is used to comply with voter registration requirements in federal and state law. DOS staff use the FVRS system infrastructure, including the BVRS Application (BVRSA) (the application where BVRS staff conduct certain voter eligibility activities) and ancillary databases and applications, to interact with agencies across and outside of state government to verify voter's identities and determine voter eligibility/ineligibility. Since 2006, state law requires a uniform, digital, centralized list of voters (section 98.035, FS).

With more than 14.5 million active, registered voters, Florida is among the largest states in terms of voting and overall population – nearly 22 million people. The BVRS' core purpose is to keep the list of registered voters accurate and up to date. The BVRS' voter verification and eligibility activities are dependent on information and documentation collected from a variety of public and non-public sources, including county, state, and OOS agencies. It is imperative that the FVRS infrastructure support strong connections with these agencies to transmit information securely, and electronically, including the processes associated with new applications, record changes, voting history, identification of ineligible voters, and removals.

The FVRS has been modified on an ad hoc basis and its capabilities do not support efficient and effective business functions. The FVRS platform, as designed, is not scalable and is unable to support full integration with current or emerging technology, as well as recent and future business process changes due to statutory updates.

Key features of the current system infrastructure used by BVRS include:

- **FVRS** is the system used by the SOEs to register voters, remove voters, and update voter information. The FVRS contains the database of registered voters and serves as the central, statewide, uniform, electronic database of registered voters.
- **BVRSA** is the application used to facilitate the exchange of and access to data for determining voter eligibility, primarily related to in-state felony convictions. The BVRS staff gather and compile data for the county SOEs to take final action on voter eligibility.
- [redacted], [redacted], **and** [redacted] **databases** are used as a result of changing business needs and system limitations. The BVRS has created a parallel system of nine databases that are used for tracking and collecting data that is unable to be captured in BVRSA. Incorporation of these functions into a comprehensive, modern system will reduce or eliminate the need to manually transfer data to the BVRS improve workflow. Ancillary databases currently include:
    1. **Advisory Opinions** [redacted] **Database:** Potentially eligible voters are entitled to seek an advisory opinion about their legal voter eligibility status by the DOS General Counsel. These opinions are recorded and compiled in a database for BVRS staff reference.
    2. **County Match File** [redacted] **Database:** This is used by BVRS to record information provided by the SOEs via email regarding county-initiated voter removals.
    3. **Cancellations** [redacted] **Database:** This is a [redacted] database used for tracking notifications from elections officials in other states, indicating that a voter with a previous residential address in Florida has registered outside of Florida.
    4. **Voter Assistance Hotline** [redacted] **Database:** This includes a record of each call taken by BVRS staff, including where the call originated (county or out of state), primary reason for the call, and who handled it (DOE, transferred to SOE or General Counsel, or other). The database serves as a reporting function for the hotline but is not used for qualitative purposes. Typical caller topics include:
        - Am I registered, where do I vote?
        - How do I vote by mail?
        - How do I change my address?

- SOE contact information
- Voter fraud complaints

5. **State Mailing Address [redacted] Database:** This database is maintained for BVRS staff to generate and send correspondence to voter registration staff in other states regarding voters who have changed their voter registration to Florida.
6. **City and County Code [redacted] Database:** This database is maintained to ensure that voters correspondence received by DOS is forwarded to the correct county of residence.
7. **SOE Contact [redacted] Database:** This database is used by BVRS staff to populate data across the public website for SOEs, as well as run labels for correspondence with Florida counties.
8. **Court Document Request [redacted] Database:** This spreadsheet is used to record and track document requests for felon eligibility matches in progress and includes document types and request dates.

From an information technology (IT) perspective, it is time to modernize FVRS to the next iteration of the system in a new, cloud-based environment where all data will be stored, and all business processes included. A modernized system will include:

- A software change that will lay the foundation for improved and increased data storage capacity to accommodate data in multiple formats, including images
- Integrated system documentation to support voter registration processes
- Improved integration with other agencies and data sources
- Scalability and ease of integrating business process changes

From a programmatic perspective, a modernized system is needed to improve electronic processes, incorporate manual business processes, implement reporting functionality, integrate tracking of eligibility matches, and add functionality. Factors contributing to the business need for system modernization include:

- Increased demand on quality control and performance improvement to track and audit processes, as well as distribute data and records
- Increased demand from the public, voters, candidates, campaigns, and political entities for information from the FVRS
- Need to increase the insight into the work of maintaining the voter list, including meeting the expectations to produce, clarify, and track data
- Need for scalability, modularity, and accommodation of changing business needs
- System that is timely, responsive, and makes processes more efficient
- Need to communicate and integrate with all 67 county SOE systems
- Need to be reliable, maintain data security, and have capacity for future needs

The FVRS and supporting systems, while still secure and functional, require modernization. Modernization for FVRS and supporting systems is necessary to expand data security, enhance integrity, bolster DOS' existing technical infrastructure, enhance data integration and business processes, and increase system scalability. Microsoft support for Internet Explorer 11 ended on June 15, 2022, and will no longer be accessible after February 14, 2023. This exposes the current BVRSA to cascading compatibility problems with newer browsers such as Microsoft Edge, Chrome, and Firefox, as well as Snagit™, a program used to capture screen shots and record them as documents. The BVRS invested in a newer version of Snagit, but it is incompatible with current system components. This significantly increases the processing time required to determine voter eligibility. Additionally, support for [redacted], which is used to manage data access, users, policies, and credentials, ended in January 2021. Consequently, as technological advances continue, the security of the FVRS may become more challenging to ensure due to known vulnerabilities in outdated internet browsers and other software components currently being utilized.

The FVRS and supporting systems has had to respond to significant changes in law and rules. All of this has placed greater stress and challenges on FVRS and supporting systems, some of which are based on components that are dated, no longer supported, or incompatible with evolving requirements and expanding user needs. At present, examples exist of FVRS and systems struggling to be responsive to current needs prompting more system workarounds. The continuing success of FVRS and supporting systems is contingent upon meeting today's

requirements and tomorrow's needs as well.

2. Business Objectives

NOTE: For IT projects with total cost in excess of $10 million, the business objectives described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.

Modernization of the FVRS system is consistent with Florida's strategic plan as driven by the state's budget policy, legislative mandates, the Governor's priorities, and federal guidelines. This section outlines important business objectives of the proposed system modernization project and provides an overview of how the objectives relate to DOS goals, policy objectives, statutory requirements, and the measures utilized to track the success of current and future performance.

First, increases in FVRS demands are evident based on population and voter registration trends. Since the system was created in 2006, Florida has added 4.2 million registered voters — a net increase of 40%, with significant increases in elections years.

Federal, State, and DOS Goals and Objectives

The objectives for the FVRS modernization directly relate to the performance measures in DOS's Long Range Program Plan (LRPP) for FY 23-24 through FY 27-28. In accordance with section 216.013, FS, state agencies are required to develop LRPPs to achieve state goals using an interagency planning process that includes the development of integrated agency program service outcomes.

Election security has become a core element of election administration activities, including preparedness and readiness. The 2002 HAVA federal legislation enacted a number of requirements on states "including, but not limited to, the creation of a statewide voter registration system, voting systems, provisional ballot voting and other federal election administration activities." Congress concurrently awarded states millions of dollars to implement many of the federal laws. In January 2017, the U.S. Department of Homeland Security designated elections as critical infrastructure. Florida initiated a multi-year modernization effort, which the FVRS modernization will complement, including state-of-the-art hardware and a network refresh to ensure a more secure and robust statewide voter registration system and supporting systems.

Based on federal and state goals and objectives identified in the LRPP, there are three business objectives for the FVRS modernization project. These objectives outline the results that must be achieved by the proposed solution to prove the modernization project was successful.

Beyond priorities established by requirements provided in federal regulations and state law, modernization of FVRS will directly affect and advance DOS's mission, vision, and goals. Benefits are further outlined in Section IV, Benefits Realization.

The FVRS system modernization will apply proven best practices and employ state-of-the-art technology to maximize efficiency and improve performance outcomes. In support of these objectives, and with recommended system changes, the DOS will:

- Implement a system that continues to fully comply with state and federal laws and regulations and be able to adapt to changing policy landscapes quickly.
- Improve both internal and external data security.
- Standardize and maximize business processes and tools to achieve efficiency and leverage capacity to keep pace with the normal workloads and surge events such as election years.
- Provide report generation and customization capabilities.
- Eliminate the need to conduct certain business processes manually, outside of the system, by integrating them into automated workflows.
- Provide automated data population and cascading of data between input screens to improve productivity and data integrity.

- Implement a system that efficiently interfaces with external integration points to obtain and share data needed to determine eligibility, verify information, and streamline the registration process.
- Provide simultaneous access to data among various users.
- Implement a case management system to transmit and store data for internal and external (SOE) users.
- Automate assignments and re-assignments for required work based on the process flow.
- Prioritize workflow management alerts to bring important items to the top of alert notifications.
- Allow staff and supervisors to monitor assigned work in real-time to efficiently manage time and staff resources.
- Allow management to monitor the assignments of workers more effectively under their supervision.
- Eliminate duplicative data entry between different entities (e.g., BVRS and SOEs)
- Improve and update staff training

B. Baseline Analysis

Purpose: To establish a basis for understanding the business processes, stakeholder groups, and current technologies that will be affected by the project and the level of business transformation that will be required for the project to be successful.

1. Current Business Process(es)

NOTE: If an agency has completed a workflow analysis, include through file insertion or attachment the analyses documentation developed and completed by the agency.

This section provides information related to the current BVRS business processes necessary for the DOE to ensure integrity of voter data and maintain an accurate list of eligible registered voters.

Voter Verification

The FVRS sends a file to HSMV nightly containing a list of new voters who registered by paper application. HSMV compares the voter and DL demographics and creates a return file that is sent back to FVRS. For records that were not a strong match, BVRS manually verifies the DL or SSN for new voters. A new voter may register to vote using three principal methods:

Supervisor of Elections Office

- By mail (paper application)
- In person (electronic or paper application)

HSMV

- Registration as a step in obtaining or renewing an identification card or DL via the MyDMV Portal, the local Department of Motor vehicles office, or a local tax collector's office (electronic application)
- Motor Voter renewals by mail (HSMV scans the paper application and sends it to FVRS)

DOS

- RegistertoVoteFlorida.org, online voter registration system (electronic application)

Voter Addition and Removal

To maintain the integrity of voter rolls, the BVRS is engaged in a continuous process of records review. Factors that impact voter removal include:

- Adjudication of mental incapacity.
- Florida felony convictions.
- Other felony convictions.
- Deceased voter..
- Residency. **Voter Eligibility and Determination**

Determination of voter eligibility is among the most important functions of the BVRS in ensuring the integrity of the voter rolls.

Felons have two principal means of having voting rights restored depending on the underlying felony conviction. The first is a possible grant of clemency, which is required for crimes involving murder or specific felony sexual offenses. The second is for all other felony convictions for which voting right have been removed and requires completion of prison sentences and/or probation and payment of any outstanding fines, fees, and court-ordered restitution. Clemency hearings are presided over by the Governor. Additionally, convicted felons may request an advisory opinion from DOS' Office of General Counsel as to their coting status. While the advisory opinion is not court issued, it can be used by BVRS in rendering eligibility decisions. Restoration of voting rights for federal felony or OOS felony convictions may vary according to jurisdictions in which the felony conviction occurred.

Reporting

Reports on current and historical voter registration data are available to the public via the DOE website and include voter registration by county, party affiliation, and registration method, as well as new and removed voter registration data.

Voter registration data is updated monthly and posted to the Data and Statistics section of the DOE website. Data from January 2006 to the present are retrieved directly from the FVRS. Data prior to January 2006 came directly from the county SOEs. Data reporting in this section of the website, along with archived monthly reports, are used to publish voter registration history and to fulfill public records requests.

Comprehensive reporting from the modernized FVRS will be a critical upgrade for BVRS, for both public information and internal visibility, on voter eligibility processing.

Quality Control/Data Maintenance

Maintaining accurate, complete, and up-to-date voter information is essential to the core mission of the DOE. The DOS and SOE staff manually review data to ensure that it is accurate, clean, and secure. Integrating an automated quality control function in the modernized system will help to reduce errors and flag issues in the data that need staff review.

Program Support

The BVRS also provides support for other voter resources, including the Voter Assistance Hotline, BVRS, Online Voter Registration Help email inboxes, and the Vote-by-Mail program. These activities are described below.

- Support the Voter Assistance Hotline: The BVRS staff maintain a call log outside of the hotline data statistics that includes the type of calls received, such as registration, complaints, or other inquiries. Calls typically involve allegations of voter fraud (which are referred to the Office of Election Crimes and Security) or general inquiries on registering and obtaining ballots. Hotline numbers, as well as a page of frequently asked question, are available on the DOE website.[2]
- Administers the BVRS and Online Voter Registration Help email inboxes: The BVRS staff monitor and respond to inquiries about voting and voter registration submitted through the dedicated email inboxes.

[2] Florida Department of State. Division of Elections. Contact and FAQ. https://dos.myflorida.com/elections/contacts/contact-us/

- Administer the Vote-By-Mail and Early Voting Reports: The BVRS provides access for eligible individuals to view the vote-by-mail reports and monitors SOE report submissions.

BVRS INFORMATION GATHERING

All of the business processes detailed in Section II, Current Business Processes, require BVRS to gather information from sources external to DOS, including documents and various data points. BVRS works with multiple local, state, and federal agencies to verify and update voter verification and eligibility. The entities with which the BVRS interacts are discussed below.

Candidate and Committee Database (CANCOM)

The CANCOM application collects and stores the names, addresses, and telephone numbers for state and local candidates. State and local candidates are required to supply their voter ID in their candidate filing paperwork. Upon data entry, the CANCOM application accesses the FVRS system to verify the voter ID supplied by the candidate.

HSMV

The HSMV is responsible for issuing Florida DLs and ID cards in the state of Florida, which must be supplied for voter registration if available. When a person is conducting a DL transaction, they can register to vote or update their voter registration information. The HSMV sends daily files of voter registration information to FVRS, as well as scanned images of voter applications filled out by individuals renewing DLs or ID cards on paper. The HSMV also verifies the DL or SSN for paper application registrations on a daily basis. The HSMV has [redacted] connection that is used to verify a person's identity in the DOS Online Voter Registration website. Lastly, the HSMV supplies a monthly file to FVRS which contains information from the previous month on recorded deaths, revoked DLs because the person was issued a DL in another state, declination to register or update their registration, and individuals who confirmed they are not a U.S. citizen.

Public Records Requests

Once filed, voter registration information is a public record and includes name, address, date of birth, party affiliation, phone number, and email address. Information that is confidential or exempt per FS is redacted by DOS, either electronically by redaction software or manually by BVRS staff. These records can be requested by the public for research or informational purposes.

Florida Commission on Offender Review (FCOR)

The FCOR performs a vital role in Florida's criminal justice system by preserving the autonomy needed in post release decisions affecting inmates and ex-offenders. FCOR functions as a quasi-judicial body and, notably, is the office invested with the Office of Executive Clemency. Clemency is the constitutionally authorized process that provides the means through which convicted felons may be considered for relief from punishment and seek restoration of their civil rights. Two types of clemency may restore voting rights to the applicant:[3]

- **Full Pardon –** A Full Pardon unconditionally releases a person from punishment and forgives guilt for any Florida convictions. It restores to the applicant all of the rights of citizenship possessed by the person before conviction.
- **Restoration of Civil Rights in Florida –** The restoration of civil rights restores to an applicant all of the rights of citizenship, including voting rights, in the State of Florida afforded before the felony conviction, except the specific authority to own, possess, or use firearms.

Florida Department of Law Enforcement (FDLE)

The FDLE is composed of five areas: Executive Direction and Business Support, Criminal Investigations and Forensic Science, Criminal Justice Information, Criminal Justice Professionalism, and Florida Capitol Police. The Criminal Justice Information division has information available on criminal histories, including arrests and convictions, types of crime, judgements, and sentencing and probation data. These are used in creating felon matches for voter eligibility determinations and restoration of voting rights and are provided to FVRS through daily batch processes Monday through Friday.

[3] Florida Commission on Offender Review. Clemency Overview. https://www.fcor.state.fl.us/clemencyOverview.shtml

Florida Department of Corrections (FDC)

The FDC has information on incarceration and probation status in Florida. This information is used to create felon matches for voter eligibility determinations and is obtained through daily batch processing Monday through Friday. The BVRS also uses publicly available FDC information to gather data and documents for felon case files. Additionally, BVRS is working to regain expanded access to the FDC Inmate Recognition Identification System, which allows staff to obtain court records without having to go through CCIS or to the clerks of court.

Comprehensive Case Information System (CCIS)

The CCIS, offered by Florida's COCs, is a secured single-point of search for statewide court case information. Users of CCIS include the judicial community, state and local law enforcement, state agencies, and the Florida Legislature. Other information held by the COCs may be accessed through the links to public websites provided on the CCIS sign-in page, including Official Records. In addition, information held by other state agencies may be accessed from CCIS, including criminal history records from FDLE, inmate data from FDC, and DL information from HSMV.[4] The BVRS utilizes the system as a research and document collection tool In determining voter eligibility and restoration of voting rights. CCIS is required to send a monthly report, or make available to all SOEs, all felony convictions from the previous month that goes to FVRS per section 98.093, FS.

Clerks of Courts (COC)

The core services of COCs in each of the 67 counties include: filing court proceedings; filing and retrieval of documents such as arrests, traffic citations, affidavits, marriage licenses, probate, and other court-related documents; collection of court fees; creation of court dockets and notification of participants in legal proceedings.[5] Additionally, the COCs:

- Maintain the repository of records for indictments, information, and verdicts
- Process all civil and criminal cases
- Collect and disburse fines, court costs, forfeitures, fees, and service charges

Court records are also the foundation of criminal records for the FDLE criminal database. These all potentially involve voter status in the event of a felony conviction. The BVRS accesses needed data and records through CCIS, the individual COC public websites, or email requests directly to the local COC when information is not readily available online.

Supervisors of Elections (SOEs)

The SOEs are ultimately responsible for the addition and removal of voters whether through determinations of eligibility, relocation, information changes, address changes, new registrants, cancellation (voter moves out of state), or death. Additionally, SOE officials are responsible for[6]:

- Administering all elections in their respective counties
- Voter education
- Issuing voter information cards
- Vote-by-mail
- Maintaining election equipment
- Hiring and training election workers
- Renting and equipping polling places
- Providing information and statistics on voter registration, voting, and elections
- Qualifying candidates for office
- Receiving campaign finance reports

[4] Comprehensive Case Information System (CCIS). https://www.flccis.com/ccis/

[5] Florida Clerks of Courts. Clerks Duties. https://www.flclerks.com/page/ClerksDuties

[6] Florida Supervisors of Elections. https://www.myfloridaelections.com/About-Us/Who-We-Are/Membership-and-Officers

PACER

The Public Access to Court Electronic Records (PACER) service provides electronic public access to federal court records. The PACER provides the public with instantaneous access to more than one billion documents filed at all federal courts. A fee schedule exists based on billable pages. Registered users can:

- Search for a case in the federal court where the case was filed, or
- Search a nationwide index of federal court cases.

Florida Department of Health (DOH)

Data from the DOH Bureau of Vital Statistics is used to confirm that voters are deceased and require removal from the voter registration records. These records are obtained through daily batch processes received by FVRS Monday through Friday.

C. Proposed Business Process Requirements

Purpose: To establish a basis for understanding what business process requirements the proposed solution must meet in order to select an appropriate solution for the project.

1. Business Process Requirements

Business process requirements for a modernized FVRS, including the high-level system functionality needed to meet federal and state guidelines, are provided in this section. Additional details regarding business requirements will be gathered during the define and design phases of the modernization project.

The proposed business process requirements fall into five high-level categories listed below .

USER INTERFACE

- System Training: The proposed system should include a user manual, training guides, troubleshooting guides, and FAQ for BVRS staff using the new system.
- System Help/Frequently Asked Questions: The proposed system should include help/FAQs for county SOE users to understand system functions, access necessary information, and navigate the functions of the new FVRS.

WORKFLOW

- Integrate Manual Processes: The proposed system must eliminate the need for email, phone, and parallel filing systems, databases, and applications by integrating manual processes into the new system.
- Data Exchange Integration: The proposed system must connect all input data sources and integrate all reporting and tracking outside of the system.
- Reduce Duplicative Work: The proposed system must provide county SOEs the ability to alert DOS within the system that they are working a match to prevent duplicative efforts.

FUNCTIONALITY

- Automation: The proposed system must automate felon match case file composition, case review, county delivery, and case tracking processes.
- Quality Control (QC): The proposed system should integrate QC functions to review populated data reports for incorrect or confidential/exempt information prior to release for records requests or other inquiries.
- Reporting: The proposed system must provide role-based and custom dashboarding and reporting capabilities for all BVRS staff and should integrate a tracking and reporting module for the Voter Assistance Hotline.

- Enhanced Search Capability: The proposed system should include search capability for identifying voter matches based on all available system data, beyond the voter ID number.

SYSTEM ARCHITECTURE

- Internal Operations and Maintenance (O&M): The proposed system must allow for DOS internal operations and maintenance.
- System Integration: The proposed system should provide reporting/tracking/search capabilities to eliminate the need for external resources and applications.
- Cloud-based Hosting: The proposed system must be hosted in the state-owned, DOS-operated private cloud.
- Candidate Voter ID Matching: The proposed system should automate the connection between the CANCOM and FVRS to verify the candidate's voter ID number.
- System Security: The proposed system must ensure the connection and access between DOS and the SOEs is securely managed.
- Hardware Health and Software System Design: The proposed system must ensure system automation can provide O&M regardless of the hosting environment (hardware or cloud).
- Modularity: The proposed system must be developed in a modular structure to allow for minor and individual business process changes without impacting overall system architecture.
- Office of Election Crimes and Security (ECS) Access: The proposed system must provide ECS access to voter data and any match files with role-based and view only access.

CONTRACTING

- Documentation: The proposed system must increase the amount of technical system documentation that speaks to the architecture and functionality of the system.
- Reliability and Maintenance: The proposed system must be consistently available, with DOS IT capability to make updates, both regularly and incidentally as major process changes are required.
- Quality Improvement: The proposed system should, as appropriate, ensure any third-party contracts provide appropriate levels of service to achieve business goals and have mechanisms to improve service delivery when needed.

2. Business Solution Alternatives

Alternatives for a solution to modernize or replace FVRS were analyzed based on current business needs. Solution options are primarily based on technology considerations. Besides technical alternatives, business challenges may be addressed by revamping the way of work and policy framework within BVRS, however, this would not address the system age and process efficiency opportunities may be missed. The primary business solutions examined are implementation and deployment methods for a modernized system, including a phased rollout and a single switchover approach to a new system.

3. Rationale for Selection

A phased implementation approach is the recommended solution for the modernization of a new voter registration system in Florida. A phased implementation to a new system will provide DOS the highest value based on timeline needs and restrictions and changes to existing business processes. The phased system modernization approach will also minimize risks that might be encountered with the replacement of critical system infrastructure. Factors related to this selection are listed below.

- **Risk:** Under a single switchover approach, defects can be deeply embedded before detection and resolution, thereby introducing a greater likelihood of additional re-work. Moreover, with many new processes to learn at one time, the single switchover approach can also present additional challenges in terms of training and change management. These additional challenges can translate into delays or increased implementation costs. As such, the phased approach would more effectively mitigate risks related to time and cost over the course of the modernization project.
- **Change Fatigue:** Change fatigue (i.e., passive resignation or resistance to organizational changes) is a foreseeable factor in any large-scale business or technology transformation effort. Through the organizational change management (OCM) activities established by the project management office (PMO) and the phased development approach, change fatigue will be mitigated by allowing the new technology and processes to be rolled out more slowly rather than all at once where the potential to overwhelm staff could arise. The phased approach will also facilitate greater staff support and adoption of new technology and corresponding modified business processes.
- **Time to Value:** With the phased approach, the time to value is shorter as business value is delivered faster than through a single switchover. The phased approach will help to incrementally meet objectives and realize benefits of enhancements such as workflow automation and the elimination of manual and duplicative processes.
- **Flexibility:** Flexibility indicates the requirement to meet future requirements and adapt to foreseeable and unforeseeable factors that might hinder meeting new requirements. A phased approach offers agility to incorporate required and desired changes throughout the modernization project lifecycle.
- **Fail Safe:** A phased approach will ensure that benefits of project development are realized in any event that work is disrupted or terminated prior to project completion. Modular phasing would allow BVRS to realize the value and benefits of the phases completed prior to any potential work disruption or project termination.
- **Complexity:** A phased approach presents additional complexity during development due to a need to simultaneously support current functionality while incrementally rolling out new functionality. Such additional layers of complexity would not be present (or would not be present to the same degree) under a single switchover approach.

Table 2: Selection Criteria for Recommended Solution below outlines the criteria for the selection of the recommended business solution of a phased implementation for FVRS system modernization.

Table 2: Selection Criteria for Recommended Solution

Solution Alternatives and Considerations		
Item	**Single Switchover Benefits**	**Phased Implementation Benefits**
Risk	Greater Risk	Less Risk
Change Fatigue	Greater Likelihood	Some Likelihood
Time to Value	Longer time to value	Shorter time to value
Flexibility	Limited Flexibility	Maximum Flexibility
Fail Safe	All or Nothing	Retain Benefits of Incremental Development
Complexity	Moderate Complexity	Greater Relative Complexity

4. Recommended Business Solution

NOTE: For IT projects with total cost in excess of $10 million, the project scope described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4) (a) 10, F.S.

The recommended business solution for the modernization of FVRS is a phased implementation of a new, modernized system.

PEOPLE

The People swim lane refers to key activities in the design phase of the project that will be critical for project success:

- **Map Workflows:** All business processes that will be incorporated into the modernized system need to be translated into process maps to ensure that all steps, activities, and considerations are taken under advisement for project development activities and planning.
- **Establish Teams:** Identifying internal DOS team members who will be dedicated to the project will set expectations for the time required to be spent on project work, outside of regular job duties. At both the IT and program levels, consensus needs to be reached with managers and staff as to how the

project will impact current work and how the work will continue to get done during the project, whether through reassignment or other methods. Multiple teams will need to be created to reflect the diversity of processes as well as the planning and execution of the modernized solution.

- **User Acceptance Testing (UAT):** UAT is a key milestone in the Software Development Life Cycle (SDLC) where the newly developed system is tested against use cases to identify any unaddressed issues.
- **Training:** Once the new system has been developed, users must be trained to facilitate effective system adoption and accelerate its acceptance by users. This timeframe includes development of training and execution across multiple mediums.

SOFTWARE

The Software swim lane is where the key project development takes place and includes the following activities:

- **Requirements Gathering:** Comprehensive and exhaustive requirements must be gathered for every business process that will be performed in the new system. This includes, but is not limited to, technical specifications, business process details, document storage and transfer, support elements, communication, security, and data capacity and management.
- **Define, Design, Develop, Test, Deploy (Iterative Sprints):** This cycle represents the actual work of developing the system, with iterative processes to define, design, develop, test, and deploy.
- **Data Conversion:** Data currently existing in the FVRS must be extracted, extracted and transferred to the new system while ensuring data integrity is maintained, and loaded into the new system. This effort can be quite large depending on the state of FVRS data standards and validation practices. With the proposed phased approach, the data conversion can be done in parallel with the development of the modernized system.

ARCHITECTURE

The Architecture swim lane in the roadmap depicts the following activities:

- **Define System Architecture:** This is the process of defining a conceptual model of the proposed system, including the attributes, behavior, and purpose of the system components. These components could include subsystems, entire applications, or networks boundaries, etc. The principal purpose is to convert system characteristics like scalability, security, reusability, extensibility, modularity, maintainability, etc. into a complete model that has the best possible chance of supporting the business requirements.
- **Establish Architecture:** The process of implementing the conceptual model. Through code and configurations, the architecture model is transitioned from conceptual to concrete components such as subsystems, databases, APIs, libraries, etc.

PROJECT MANAGEMENT

The Project Management swim lane within the implementation roadmap represents the following high-level activities:

- **Software Development Methodology:** Early in the project, it is important to establish a software methodology that will guide the development and deployment of the new system. There are many different structured processes that can be used, or combined, to best fit the team, requirements, and project.
- **Organizational Change Management:** A new FVRS system will change business processes and likely, the roles of some staff within DOS, leading to significant organizational change. This level of change will require diligent management, involving transparent communication with all affected staff

and partners and strategic deployment of new processes and information. Because system documentation of the current FVRS/BVRSA is incomplete, the OCM processes within the PMO should include a comprehensive review of how the design and functionality of the new system will impact current processes and staffing. This review should identify issues that may arise with the changes in BVRS due to system modernization to mitigate risk and ensure a smooth transition from current to future state. Additionally, documentation should be developed throughout the modernization project to avoid similar issues in the future.

- **Project Management Plan (PM Plan):** Project management is key to any successful project. Rule 60gG-1, Florida Administrative Code, establishes project management standards for Florida state agencies when implementing IT projects. In the first stages of the project, preparations will be required to identify a project management (PM) team or PMO structure, whether internal or contracted. This initial planning phase will also include ensuring all requirements listed in FS, Florida Administrative Code, and any other governing entity are defined prior to project commencement.
- **Project Management:** The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes.
- **Independent Verification and Validation (IV&V):** Once the new system has been planned, contracting services of a third-party IV&V consulting firm is required. The primary objective of an IV&V is to provide an unbiased assessment of products and processes throughout the project lifecycle. In addition, IV&V will facilitate early detection and correction of issues, enhance management insight into risks, and ensure compliance with project performance, schedule, and budget requirements. The IV&V entity must have no technical, managerial, or financial interest in the project and will not have any responsibility for, or participation in, any other aspect of the project.
- **Benefits Realization Management:** These tasks ensure the benefits speculated in this study and the project charter are being realized and coming to fruition. Benefits Realization Management manages how time and resources are invested into providing value to DOS. It is a collective set of processes and practices for identifying benefits and aligning them with DOS modernization strategy, ensuring benefits are realized as the new FVRS implementation progresses and completes, and that the benefits are sustainable—and sustained—after project implementation is complete.

D. Functional and Technical Requirements

Purpose: To identify the functional and technical system requirements that must be met by the project.

The FVRS Modernization business requirements are included in the file linked below.

FVRS Functional and Technical Requ

II. Success Criteria

Purpose: To identify the critical results, both outputs and outcomes, that must be realized for the project to be considered a success.

Table 3: Success Criteria

SUCCESS CRITERIA				
#	**Description of Criteria**	**How will the Criteria be measured/assessed?**	**Who benefits?**	**Realization Date (MM/YY)**
1	Include a user manual, training guides, troubleshooting guides, and FAQ for BVRS staff using the new system	• Reduce amount of time supervisors /reviewers spend with examiners to reinforce training and troubleshoot system issues • Increase the number of available on-demand scenario problem solving videos available to staff to solve issues	DOS Staff	Post-Implementation
2	Include help/FAQs for county SOE users to understand system functions, access necessary information, and navigate the functions of the new FVRS	Reduce the number of inquiries staff have to answer questions/train counties for system user	SOE Users DOS Staff	Post-Implementation
3	Eliminate the need for email, phone, and parallel filing systems by integrating manual processes into the new system: • Death match examinations and reviews • Federal felon matches • Out-of-state felon matches	• Reduce manual work processes outside of the BVRSA • Reduce the number of applications and connections outside of BVRSA	DOS Staff SOE Users Other Agency Staff	Post-Implementation

SUCCESS CRITERIA				
	• Cancellations • Mentally incapacitated and restoration orders • FDLE sexual offender/predator (OOS monthly file) • HSMV verifications within the system (currently a separate web application) • Integrate call center reporting for the Voter Assistance Hotline • Input the public records exemption list into the system, generate matches against FVRS, send notification to the county SOE, require follow up notification, and generate reminders at specified intervals until notification completed (mirror cancellation process) • Integrate ad hoc and additional reports to be communicated between DOS and the SOEs.			
4	Connect all input data sources and integrate all reporting and tracking outside of the system	System reporting via a dashboard for DOS IT review on technical functionality	DOS Staff Other Agency Staff	Post-Development
5	<u>Automate Business Processes</u> • Integrate all inflow sources of demographic information and	• Reduce the number of emails required to request/receive	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
	voter details from FDLE, FDC, DOH, , HSMV (verifications), FCOR, and new scan features for out-of-state cancellations and court documents • Automate alerts to county SOEs and DOS when action is needed for certain processes at specified intervals <u>Reduce External Calls/Emails</u> • Integrate a system request function to obtain court documentation from Florida, other states, or federal courts, and receive electronically when possible (if not sent electronically, use new scan feature to automatically upload to case file) <u>Automated case population</u> Ensure a proficient means to screen capture information required to build the case file, within the system (that also updates when needed and/or stays functional with future system iterations)	information to build case files • Reduce emails from reviewers to examiners for case correction	Other Agency Staff	
6	Integrate system QC functions to review populated data reports for incorrect or confidential/exempt information prior to release for records requests or other inquiries	Reduce the number of incidences of exempt/confidential/incorrect information released	DOS Staff Public Requestors	Post-Implementation

SUCCESS CRITERIA				
7	Include search capability for finding matches based on all available system data, not just Voter ID	Reduce reporting requests to IT	DOS Staff	Post-Implementation
8	Ensure the modernization allows for internal operations and maintenance	Reduce the number of hours required to fix bugs and add enhancements	DOS Staff	Post-Implementation
9	System should provide reporting/tracking/search capabilities to eliminate the need for external resources (Access, Excel) and applications	• Reduce external workflow documentation (access, excel) • Reduce staff time to maintain (system) external stats management • Streamlined eligibility processing • Improved voter registration data accuracy • Increased eligibility verification rates	DOS Staff	Post-Implementation
10	Host the new system environment in the state-owned, DOS-operated private cloud	• Complies with cloud first initiative • Reduces hardware refresh costs • Improves data backup and recovery functionality	DOS Staff	Post-Implementation
11	Automate the connection between CANCOM and FVRS to verify the candidate's voter eligibility	• Staff will realize improved eligibility determination • Improved candidate data accuracy	DOS Staff	Post-Implementation
12	Ensure the connection and access between DOS and the county SOEs is securely managed	• Improved self-service workflow for county SOE security managers	DOS Staff	Post-Implementation

SUCCESS CRITERIA				
		• System architecture supports at least a 2019 server platform	SOE Users	
13	Ensure system automation can provide O&M regardless of the hosting environment (hardware or cloud)	• Improve backup and recovery policies and procedures • Reduce system downtime • This KPI centers around system monitoring being sophisticated enough to detect infrastructure-level outages or changes and either alerting IT staff or taking a configured action • Kubernetes implementation	DOS Staff	Post-Implementation
14	Ensure the system development is modular to allow for minor and individual business process changes without impacting overall system architecture	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient	DOS Staff	Post-Implementation
15	Increase the amount of technical system documentation that speaks to the architecture and functionality of the system	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient	DOS Staff	Post-Implementation
16	Ensure the system is consistently available and DOS IT are capable	• Ongoing system	DOS Staff	Post-

SUCCESS CRITERIA				
	of making updates, both regularly and incidentally as major process changes are required	maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient		Implementation
17	Ensure the contract provides appropriate levels of service to achieve business goals and has mechanisms to improve service delivery when needed	• Financial consequences should be sufficient to inspire quality customer service •	DOS Staff	Post Contract Execution

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

A. Benefits Realization Table

Purpose: To calculate and declare the tangible benefits compared to the total investment of resources needed to support the proposed IT project.

Table 4: Benefits Realization

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	Enhanced User Interface	• DOS Staff • SOE Users	• System training for internal users • Help/FAQ for external system users	• Increase the number of available on-demand scenario problem solving videos available to staff to solve issues • Reduce the number of inquiries staff have to answer questions/train counties for system user	Post-Implementation
2	Workflow Management	• DOS Staff • Other Agency Staff • SOE Users	• Integrate all manual processes into the system • Connect input data sources to the system •	• Reduce manual work processes outside of the system • Reduce the number of applications and connections outside of the system • System reporting on technical functionality	Post-Implementation
3	Improved Functionality	• DOS Staff • Other Agency Staff • SOE Users	• Automate business processes by populating voter match case files through	• Increase general o Reduce the number of staff working incidental processes	Post-Implementation

BENEFITS REALIZATION TABLE					
			integrated data sources • Reduce the need for external calls and emails for eligibility clarifications • Provide automated alerts and notifications for DOS, county SOEs, and other agencies as needed • Integrate data QC functions into the system • Provide dashboarding and reporting capabilities for BVRS staff with varying access to information based on role • Integrate reporting/tracking mechanism function for the Voter Assistance Hotline • Include search capability for finding matches based on all available system	• Reduce the number of emails required to request/receive information to build case files • Reduce emails from reviewers to examiners for case correction • Reduce the number of incidences of exempt/confidential/incorrect information released • Reduce the number of incidental reporting requests to IT • Decrease the time to produce public records requests and voter information inquiries • Decrease the time to prepare employee performance information for annual evaluations and job performance requests • Reduce reporting requests to IT	

BENEFITS REALIZATION TABLE					
			data, not just Voter ID		
4	Modern System Architecture	• DOS Staff • Other Agency Staff • SOE Users	• Ensure the modernization allows for internal operations and maintenance • System should provide reporting/tracking/search capabilities to eliminate the need for external resources ([redacted]) and applications • Host the new system environment in the state-owned, DOS-operated private cloud • Automate the connection between EFS and FVRS to verify the candidate's voter eligibility • Ensure the connection and access between DOS and the county SOEs is securely managed	• Reduce the number of hours required to fix bugs and add enhancements • Reduce external workflow documentation (access, excel) • Reduce staff time to maintain (system) external stats management • Streamlined eligibility processing • Improved voter registration data accuracy • Increased eligibility verification rates • Complies with cloud first initiative • Reduces hardware refresh costs • Improves data backup and recovery functionality • Improved self-service workflow for county SOE security managers • System architecture supports at least a 2019 server platform • Improve backup and recovery policies and procedures • Reduce system downtime • This KPI centers around system monitoring being sophisticated enough to detect infrastructure-level	Post-Implementation

BENEFITS REALIZATION TABLE					
			• Ensure system automation can provide O&M regardless of the hosting environment (hardware or cloud) • Ensure the system development is modular to allow for minor and individual business process changes without impacting overall system architecture • Ensure the ECS has access to voter data and any match files with role-based access and view only	outages or changes and either alerting IT staff or taking a configured action • Kubernetes implementation • Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient • Decrease the number of ineligible registered voters	
5	Well-Defined Contracts	DOS Staff	• Increase the amount of technical system documentation that speaks to the architecture and functionality of the system • Ensure the system is consistently	• Ongoing system maintenance will be more efficient • Amount of new feature bugs will be reduced • System maintenance training will be more efficient • Financial consequences should be sufficient to	• Post-PM Plan and Procurement • Post-Implementation

BENEFITS REALIZATION TABLE					
			available and DOS IT are capable of making updates, both regularly and incidentally as major process changes are required • Ensure the contract provides appropriate levels of service to achieve business goals and has mechanisms to improve service delivery when needed	inspire quality customer service •	

B. Cost Benefit Analysis (CBA)

Purpose: To provide a comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed source(s) of funding.

A comprehensive financial prospectus specifying the project's tangible benefits, funding requirements, and proposed sources of funding is provided in this section. The DOS will procure development staff using the state term contract to implement technology development best practices and infrastructure.

Table 5: FVRS Modernization Project Cost Estimate provides a breakdown of the hours required for each component of the modernization project based on the estimated complexity for its completion, as well as a cost estimate detail. These figures are based on the current understanding of project objectives and components and are subject to change as the project advances.

Table 5: FVRS Modernization Project Cost Estimate

FVRS Modernization Fiscal Estimate							
Fiscal Year	2024-2025	2025-2026	2026-2027	2027-2028	2028-2029	2029-2030	Totals
Project Management	$200,000	$200,000	$200,000	$200,000	$200,000	$200,000	$1,200,000
IV & V	$550,000	$650,000	$750,000	$750,000	$1,125,000	$1,125,000	$4,950,000
Development (Non-Recurring)	$1,744,800	$1,744,800	$1,744,800	$1,744,800	$1,744,800	$1,744,800	$10,468,800
	$44,000	$44,000	$44,000	$44,000	$44,000	$44,000	$264,000
	$2,538,800	**$2,638,8000**	**$2,738,800**	**$2,738,800**	**$3,113,800**	**$3,113,800**	**$16,882,800**

Cost Benefit Analysis outlines cost detail and the project timeline over approximately six years, with project completion in FY 2029-2030. The figures displayed present a funding need of $16.88 million for the FVRS modernization project. The amount was determined based on the estimated hours required for project activities, including the development cycle, PMO, and IV&V.

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	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. 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.
CBA Form 2 – Project Cost Analysis	Baseline Project Budget: Estimated project costs. Project Funding Sources: Identifies the planned sources of project funds, e.g., General Revenue, Trust Fund, Grants. Characterization of Project Cost Estimate.
CBA Form 3 – Project Investment Summary	Investment Summary Calculations: Summarizes total project costs and net tangible benefits and automatically calculates: • Return on Investment • Payback Period • Breakeven Fiscal Year • Net Present Value • Internal Rate of Return

IV. Schedule IV-B Major Project Risk Assessment

Purpose: To provide an initial high-level assessment of overall risk incurred by the project to enable appropriate risk mitigation and oversight and to improve the likelihood of project success. The risk assessment summary identifies the overall level of risk associated with the project and provides an assessment of the project's alignment with business objectives.

NOTE: All multi-year projects must update the Risk Assessment Component of the Schedule IV-B along with any other components that have been changed from the original Feasibility Study.

A required risk assessment of the FVRS system modernization project was performed using the risk assessment tool provided in the Information Technology Guidelines and Forms on the Florida Fiscal Portal. The tool evaluates risk characteristics of the project based on responses to 89 questions in a Microsoft Excel workbook organized into eight assessment categories (tabs). After completing questions in all eight tabs, the Risk Assessment Summary is automatically populated. The completed Risk Assessment Tool and Risk Assessment Summary for this project are included via the file below.

FVRS
Modernization Risk

The purpose of the Risk Assessment Tool and Risk Assessment Summary is to produce a standardized and formula-driven project risk rating based on answers provided to the questions. Answers must be provided only from the response options to each question included in the tool. If the response options given are not applicable or do not accurately answer a particular question, a response must nevertheless be selected from the options listed. After answering all the questions including in the Risk Assessment Tool, the Risk Assessment is populated automatically.

A fundamental limitation of the Risk Assessment Tool and Risk assessment Summary in its current design is that it presupposes the completion of certain activities that are likely to not be completed (as a practical matter) prior to approval and funding of major technology initiatives. Consequently, the overall risk assessment rating for this project appears in the assessment tool as High, which aligns with expectations for a project of this size and scope regardless of solution or approach. A risk rating of High for the replacement of a complex and mission-critical system is not unreasonable. All categories in which risk is classified as High are manageable and unlikely to undermine expected success or benefits of the program. Categories with high classification risks are expected to see a material reduction in the overall project risk profile within months of projects start when a formal project management program, stakeholder sign-off, and requirements finalization activities are completed. Until the project and funding are approved, it is unlikely that additional time and effort to reduce identified risks would be prudent or pragmatic.

V. Schedule IV-B Technology Planning

Purpose: To ensure there is close alignment with the business and functional requirements and the selected technology.

A. Current Information Technology Environment

1. Current System

There are several factors driving national trends for the modernization of information systems. These modernizations typically result in benefits such as increased customer self-service, increased staff efficiency, and updated security, among others. The DOS will reap similar benefits through the modernization of FVRS. Furthermore, DOS could rid itself of the burdens of working with and maintaining outdated systems. The following bullet points contain important justifications for this modernization:

a. **Growing need to increase usability and efficiency:** Systems that are designed to be streamlined and efficient are paramount to any organization. As the business processes of organizations evolve to satisfy current and future needs, modern systems that are engineered with high usability and efficiency are required to empower these organizations to reach their business goals.
b. **Loss of technical skills and resources**: In today's fast paced digital world, organizations face the challenge of trying to compensate for an ageing and retiring workforce. Resources with skills in older technologies are increasingly difficult to find. Training and support for these technologies are often no longer available or prohibitively expensive to acquire.
c. **Aging hardware and softwar**e: The DOS supports the FVRS with information systems that were built decades ago and never designed to handle the demands of their current or future business needs. These outdated and inflexible systems have become increasingly difficult to maintain and enhance to support new functionality.
d. **Data quality and customer expectations:** In an era of advanced technologies, Florida citizens, including DOS staff, have come to expect systems that better support an automated self-service business model. Given the technologies currently available, users expect DOS to provide an improved level of service, faster response times, and more accurate information. It is not possible to meet these expectations with the older technologies currently in use.

e. Description of Current System

The FVRS is designed to interface and operate with the 67 county voter registration systems to maintain a single, uniform, official, centralized, interactive, computerized voter registration system.

The FVRS was designed with the following principles:

- The FVRS adheres to HAVA requirements for a single, interactive, statewide voter registration system.
- The FVRS is implemented as a "system-to-system" network.
- Registration updates are submitted electronically by counties, HSMV, and DOS via the Online Voter Registration Website.
- Access to FVRS is allowed by counties via dedicated routes and internal DOS registration systems.
- Batch updates are submitted by HSMV and other state agencies.
- The FVRS posts electronic notifications to county systems with results from eligibility determinations and changes in registration, and actions are initiated by county SOEs.
- The SOEs retain a local copy of county voter registration records.
- Counties periodically run a synchronization process to ensure state and local data matches.
- The counties implement/process list maintenance procedures and DOS supplies records to be processed.

The FVRS is a transactional system. Transactions are initiated by both the county systems and the state, with the state initiating transactions from the DOS Online Voter Registration and HSMV new registrations and registration updates. State to county transactions are responses to the county transaction. A response message can contain multiple rows in the return set.

The current FVRS system enables DOE staff to complete numerous tasks and processes associated with voter registration list maintenance. The system is composed of various applications that were designed for a particular purpose. For example, BVRSA is used by DOE staff to determine voter eligibility. A complete list and description of the applications related to voter registration is included in Section II, Business Need.

System Integrations

The FVRS currently integrates with a variety of state and federal agencies in order to facilitate the mission of voter eligibility determinations. Unfortunately, some of these integrations are manual which increases the probability of introducing inefficiencies and errors into the process. The following are the integrations that allow the DOE to share data.

'DOH Bureau of Vital Statistics- The FVRS receives information on citizen deaths. This information is used to determine voter eligibility.

FCOR- The FVRS receives information on offender clemency. This information is used to determine voter eligibility.

FDC- The FVRS receives incarceration and probation information which is used to determine voter eligibility.

HSMV- The FVRS receives daily files of voter registration information and scanned images of voter applications filled out by individuals renewing DLs or ID cards on paper. The HSMV verifies the DL or SSN for paper application registrations on a daily basis. The HSMV also supplies a monthly file to FVRS which contains information from the previous month on recorded deaths, revoked DLs because the person was issued a DL in another state, declination to register or update their registration, and individuals who confirmed they are not a U.S. citizen.

CCIS- CCIS sends a monthly report of all felony convictions from the previous month that goes to FVRS per section 98.093, FS. The DOS staff also uses CCIS as a research tool in determining voter eligibility and restoration of voting rights.

Storage

The current system employs three types of databases: [redacted], [redacted], and [redacted], described below.

- [redacted] Database: used by the public FVRS website, as well as by the cancellation database and the CANCOM application. This type of database is more suitable for larger datasets that require more processing power.
- [redacted] Database: used by internal systems such as Voter Focus and BVRSA applications. Furthermore, all county transactions and batch processing are executed against this database. [redacted] databases have a similar usage and functions as a [redacted].
- [redacted] and [redacted] Databases: used solely for the purposes listed in Section II, Business Need. These types of databases are only suitable for small applications.

f. Current System Resource Requirements

In order to support these systems, DOS is required to maintain the following:

- More than [redacted] servers which run on an estimated combination of
  - [redacted] CPU cores
  - [redacted] GB of RAM
- These servers are owned and maintained by DOS and housed in the state data center.
- Some of these servers are virtual.
- A disaster recovery plan is maintained by the data center.

g. Current System Performance

The state of the current system offers many opportunities for modernization. These modernizations will help DOS make improvements to better serve the voters of Florida. The improvements made possible by the modernizations will have an emphasis on the following high-level areas.

- Reduction in operating costs
- Elimination of many manual business processes
- Better customer service
- Flexible platform to accommodate legislative and policy changes
- Real-time processing of many routine activities
- Higher employee productivity through increased process automation and enterprise-wide access to information
- Increase transparency
- Disaster Recovery
- Security and integrity of the system.

2. Information Technology Standards

The FVRS and its supporting systems are governed by the following standards and rules:

- Rule 60GG-2, FAC, which establishes the state standards relating to Information Technology security
- Chapter No. 2019-116, Laws of Florida, directs state agencies to show a preference for cloud-computing solutions
- Americans with Disability Act, Section 508 Accessibility Compliance

Current Hardware and/or Software Inventory

NOTE: Current customers of the state data center would obtain this information from the data center.

Table 6: Software Inventory

Name	Description
FVRS Public Website/Voter Lookup	Website used by the public to access voter registration information.
BVRSA	Application used by BVRS staff to determine voter eligibility based on voter matches with input data sources.
Mentally Incapacitated	Used by BVRS staff to account for Florida citizens who are not mentally incapacitated to vote or whose rights have been restored.
Federal Convictions	Used by BVRS staff to account for Florida citizens who are not eligible to vote because of federal convictions.
Cancellation	This database is used by BVRS staff to record notifications from other states where a voter has registered. Reports are sent to the SOE for processing.
Online Voter Registration	This system is used by the public to register to vote and to update existing registrations.
Book Closing	Application used by BVRS staff to generate book closing reports. Data is stored in SQL.
County Ballot Statistics	Application used by BVRS staff to administer the county ballot reports (Vote-by-Mail and Early Voting).
FVRS Voter Extract	Application used by BVRS staff to verify monthly voter extracts.
Online Voter Registration Statistics	Application used by DOE staff to run online voter registration reports.
Logs (mail log)	Application and database used by DOE staff to log and track incoming mail to the Division of Elections' voter registration related mail.
Quality Control	Application used to track and resolve quality control reports.

Table 7: Hardware Inventory

Hardware Description	Number
[redacted], Win [redacted] GB RAM, [redacted] CPU	3
[redacted], Win [redacted] Win [redacted] GB RAM [redacted] CPU	12
[redacted], Including [redacted] Win [redacted], Win [redacted], Win 2 [redacted] GB RAM [redacted] CPU	26
[redacted], Win [redacted], Win [redacted], Win [redacted] GB RAM, [redacted] CPU	8
[redacted], Win [redacted] RAM, [redacted] CPU	2
[redacted], Win [redacted] Win [redacted] GB RAM, [redacted] CPU	4
[redacted], [redacted] GB RAM [redacted] CPU	1
[redacted] Win [redacted] GB RAM, [redacted] CPU	1
[redacted] Win [redacted] GB RAM, [redacted] CPU	2

Hardware Description	Number
[redacted] Win [redacted] [redacted] RAM, [redacted] CPU	2
[redacted], Including [redacted] Win [redacted] [redacted] GB [redacted] CPU	2
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1
[redacted], Win [redacted] [redacted] GB RAM [redacted] CPU	1
[redacted], Win [redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	5
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1

Hardware Description	Number
[redacted], Win [redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	2
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1
[redacted], Win [redacted] [redacted] GB RAM, [redacted] CPU	1
[redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	1
Hosted [redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	2
Hosted [redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	1
Hosted in [redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	1
Hosted [redacted] Win [redacted] [redacted] B RAM, [redacted] CPU	7
Hosted [redacted] Win [redacted] [redacted] GB RAM, [redacted] CPU	1
Hosted in [redacted] Win [redacted]	1

Hardware Description	Number
[redacted] GB RAM, [redacted] CPU	

B. Proposed Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a combination of third-party software products and custom development that will satisfy the requirements for each component of the system. The level of customization with be accessed by the implementation team. As documented in the subsections that follow, this conclusion was reached by evaluating the business and technical solution alternatives.

1. Technical Solution Alternatives

Following are the alternatives considered for the modernization of DOS systems.

- **Third-party Software Solution:** A full third-party software solution would involve implementing a product to completely provide the required capabilities, potentially with customization, using mechanisms provided with the product.
- **Custom Solution:** A custom solution can be implemented by writing the modernized version of the applications using a completely custom-developed solution.
- **Hybrid Solution:** A hybrid solution uses a mix of third-party software products and libraries in conjunction with custom implementation of requirements that do not fit within the constraints of the third-party software portions.

The following are the delivery methods considered for the proposed system.

- **Phased Delivery:** Through robust planning, system components that can be stand-alone modules are identified. These systems are implemented with backward compatibility in mind. For instance, the new system components must be compatible with the older components. This process is repeated until the entire new system is in place.
- **Single Switchover Approach:** The system is planned, implemented, and tested. Then at a particular date, the entire system is deployed.

2. Rationale for Selection

Table 7: Technical Solution Selection Considerations depicts how the technical solutions under consideration (purchased software, custom, or hybrid) are scored within each of the categories on the lefthand side.

Table 8: Technical Solution Selection Considerations

Technical Solution Selection Considerations			
	Purchased Software	**Custom**	**Hybrid**
Business Alignment	Medium Alignment	High Alignment	High Alignment
Flexibility	Medium Flexibility	Most Flexibility	Better Flexibility
Maintainability	Medium Maintainability	Better Maintainability	Better Maintainability
Complexity	Least Complex	Very Complex	Some Complexity
Time to Implement	Least Time	Considerable Time	Shorter Time
Cost	Considerable Cost	Better Cost	Medium Cost
Scalability	High Scalability	High Scalability	High Scalability

Below is a high-level summary of the outcomes of the analysis for the technical solution alternatives:

- **Third-party Software Solution** – A full third-party software solution would provide reduced implementation time and complexity, and the ability to scale as needed, but would not fully satisfy DOS requirements without substantial customization (see Hybrid solution). As such, a full third-party software solution, out of the box, is not a viable option for DOS.
- **Custom Solution**–- A full custom solution would require significantly more development effort, hardware costs, time, and application support burden, as compared to other options. While a custom solution provides flexibility and capability to meet the business need, it comes with a prohibitive cost and extended implementation timeline. A full custom solution is not recommended for this modernization effort.
- **Hybrid Solution** – Based on the breadth of DOS requirements, the inability for a third-party software package to fully satisfy the requirements, and the complexity and cost of a full custom solution, it is recommended that DOS pursue a hybrid solution. A hybrid solution will allow DOS to take advantage of the benefits of existing third-party software packages, by using a combination of third-party software products and custom development to fully meet the business need. Note that these third-party software products can include software libraries, as well as independent applications with customization capabilities.

3. Recommended Technical Solution

The recommended technical solution is to pursue a hybrid system, utilizing a vendor experienced in delivering products and custom development that will satisfy the requirements for each component of the system. This conclusion was reached by evaluating both the business and technical solution alternatives.

C. Proposed Solution Description

The proposed solution will result in a strategic rewrite and upgrade of the technical software components of the current system using a hybrid approach of custom development and third-party software products as applicable. The resulting application will meet DOS's business needs for a system that is seamlessly integrated with external entities to help facilitate information sharing. Furthermore, the resulting system will be more effective and secure than its predecessor. It will be built upon a modern architecture foundation, enhancing efficiency, and greatly reducing the risk of technical obsolescence that exists in the current legacy system. The resulting system will maximize technical and business process benefits and provide the flexibility and scalability needed for future enhancements.

1. Summary Description of Proposed System

The system will be implemented using standard architectural patterns. For instance, the architecture of the system at a macro-level and micro-level will be layered, with each layer having its own purpose and responsibility. A breakdown of the high-level system components of the proposed solution architecture is provided below.

Front-end / User Facing Application Components–- These are the applications or components that users will interact with regarding voter registration.

- **Web applications** – external and internal web-enabled systems that are composed of one or more web modules which contain uIs that are built using responsive layouts. Responsive layouts enable web applications to be viewed without the use of a native mobile application. Responsive user interfaces will automatically adjust to screen size rather than device type, which makes it possible for one web application to be usable on any mobile device type. The html elements that compose the UI should be built using reusable components, allowing for web applications to be built quickly and efficiently with significantly less code than would otherwise be required. The proposed system should be implemented with the following in mind.
    - **Responsiveness** – The UI should respond to user input without noticeable delay.
    - **Consistency** – The UI should have a consistent style and features to allows users to quickly become familiar with the system and recognize usage patterns.
    - **Aesthetics** – The UI should be aesthetically pleasing to ensure user time spent using the new system is more enjoyable.
    - **Efficiency** – The UI should promote an increased level of productivity through shortcuts and efficient design.
    - **Forgiveness** – The UI should be forgiving to user mistakes. Users should be able to undo previous actions (edits) and recover deleted files.
- The proposed overall system will be composed of the following web components. A description of each of these components is available in Section 2.3.3.1, Current System Description.
    - **Public systems**
        - FVRS Public-facing Websites, including:
            - Online Voter Registration
            - Voter Lookup
    - **Internal systems**
        - Voter Focus
        - BVRSA
        - Mentally Incapacitated
        - Federal Convictions
        - Cancellations
        - Book Closing
        - County Ballot Statistics
        - FVRS Funds
        - FVRS Voter Extract
        - OVR Stats
        - SOE Portal File Utility
        - Logs (mail log)

Back-end System Components – These are solution architecture components that support the front- end components with data and resources in terms of processing power.

- **Enterprise Database Servers** – In the proposed system, there are two database servers. A [redacted] database server for public web applications and a [redacted] database server for internal web applications. These database

servers will be used to store, analyze, process, and transform data across the system. The current database servers will be upgraded to utilize the latest applicable versions. Any [redacted] database currently in use will be migrated to a [redacted] database server. There could be multiple database servers and multiple databases depending on DOS needs. Each database in use must implement the standard ACID properties:

- **Atomicity**–- guarantees that each transaction is treated as a single“"unit”" which either succeeds or fails completely
- **Consistency**–- ensures that a transaction can only bring the database from one consistent state to another
- **Isolation**–- ensures that concurrent execution of transactions leaves the database in the same state that would have been obtained if the transactions were executed sequentially
- **Durability**–- guarantees that once a transaction has been committed, it will remain committed even in the case of a system failure

- **API Layer** – is a [redacted] that is responsible for controlling access to the database. This component ensures that the database is accessed in a consistent way. The API is a central component that interacts with any component that needs to save and retrieve data to and from the database. It also interacts with any batch processes that are importing data from external sources.
- **Batch Processing Layer** – is an upgraded [redacted] that is responsible for integrating with any external entity that the proposed system needs to share data with. The proposed system will integrate with the following external entities:
  - CCIS
  - FCOR / Clemency
  - FDC
  - FDLE
  - HSMV

Macro-Level Attributes – Along with the system requirements outlined in Section II, Functional and Technical Requirements, the proposed solution will be aligned with the following:

- **Consolidated Platform** – Move to a single technology platform with integrated objects/components that may be modified without affecting the whole
- **Modern Development Environments** – Tools and processes to streamline code development, testing, promotion/staging, and stress testing; environments that promote and enable collaboration
- **Modularity** – Use of a modular, flexible approach including the use of open interfaces
- **Reduce Batch Complexity** – Incorporate sufficient compute power to perform real-time processing/automation to decrease dependence on batch architecture
- **Cloud Capabilities** – Where feasible and beneficial for reliability, cost efficiency, and visibility into systems behavior
- **Application Monitoring** – Ability to be alerted immediately on application or any identified system component failure or performance problems
- **Reporting** – Capability to produce reports supporting DOS’s mission and business operations and to increase transparency and accountability
- **Interoperability** – Support integration with the appropriate local and state entities that support the DOS mission
- **Security** – Built on the latest software and hardware platforms and accompanied by appropriate network security, the proposed system will support a suitable security level to define current and future threats

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

Refer to Appendix A Cost Benefit Analysis Workbook for Staffing counts and costs for FY 2022-2023 through FY 2026-29.

D. Capacity Planning
(historical and current trends versus projected requirements)

Capacity planning for the modernization project involves considerations of factors related to the required size and speed of the system both now and into the future.

First, modularity and flexibility are essential requirements for the modernized FVRS as laws, rules, business processes, and best practices change in the landscape of voter registration and list maintenance. Based on national and state trends in voter registration laws, consideration should be given to any anticipated changes in Florida, and how they may impact system architecture, design, and workflows.

Next, regarding the project timeline, careful consideration should be paid to the timing of production and deployment milestones in relation to election cycles. With a major statewide election in 2024, firm blackout dates for specific production and deployment activities should be secured on the project plan and timeline.

Additionally, Florida's population growth should be taken into consideration when capacity planning for the future system as an increasing population means more registered voters. Over the last 20 years, Florida has experienced an annual population growth of 1.7%, which was more than the 1.0% national growth rate.[7] With a current population of 21.5 million and more than 14.5 million registered voters currently, the capacity for the new voter registration system should take into consideration historical growth trends of Florida voters compared to the total population.

VI. Schedule IV-B Project Management Planning

Purpose: To require the agency to provide evidence of its thorough project planning and provide the tools the agency will use to carry out and manage the proposed project. The level of detail must be appropriate for the project's scope and complexity.

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

> ***NOTE: For IT projects with total cost in excess of $10 million, the project scope, business objectives, and timelines described in this section must be consistent with existing or proposed substantive policy required in s. 216.023(4)(a)10, F.S.***

In accordance with guidelines established for this section of the Schedule IV-B, DOS will leverage its experience with similar engagements and follow a project management methodology that includes the following project requirements:

- **Project scope** – provide the baseline definition of the project's objectives and what the project will deliver.
- **Project phasing plan** - for projects greater than one fiscal year, provide a project phasing plan that defines, where possible, independent phases/subprojects.
- **Baseline schedule** – identify the high-level tasks and major milestones for the project to include, where appropriate, procurement, analysis, design, development, configuration, data conversion, testing, training, and implementation.
- **Project organization** – define in narrative and chart formats the project's governance structure, to include the sponsor, executive steering committee, oversight entities, and project management and implementation teams.
- **Quality assurance plan** – describe the agency's approach to quality measurement and control. Tools may include a deliverable acceptance plan, phase gate process, project change/contract management plan, status reporting, testing plans, and IV&V.
- **Risk management** – describe the agency's processes for identifying, documenting, and mitigating project

[7] United States Census Bureau. Florida Fastest-Growing State for First Time Since 1957 (census.gov)

issues and risks.

- **Implementation plan** – describe approach for placing the system into production and retire current system(s). Tools may include a transition plan, knowledge transfer plan, and organizational change management.

Predictability, accountability, and flexibility are key elements that must be embraced by the overall project management approach to ensure DOS's satisfaction and project success. Successful project management must include active and visible leadership, multiple controls and checkpoints with measurable outcomes, and engagement with all stakeholders. The DOS believes strong project management is critical throughout the life of any successful project.

In alignment with the DOS goal to bolster its technical infrastructure, it is continuing its modernization efforts for multiple systems. These modernization projects will enhance the services DOS is statutorily charged to provide to the state of Florida, including strengthening elections integrity and security. For this project, the DOS intends to utilize a project portfolio management (PPM) approach for oversight of the following three system modernization projects:

- FVRS modernization
- FES modernization
- FLRules.org (site and system supporting administration of the Florida Administrative Register, Florida Administrative Code, and the Laws of Florida)

PPM is a process by which multiple projects are evaluated and executed to ensure strategic alignment with organizational goals. PPM provides executives, project managers, team members, and stakeholders an overarching view of their projects, including how they fit into the organization's directives and strategy, thereby lending insights into the potential returns and risks involved. Under this PPM approach, the three system modernization projects are managed centrally through the PMO's strategic oversight and management infrastructure, as well as at the individual project level through the respective modernization project manager. The PPM also drives the following positive outcomes:

- Clarity of purpose
- Big picture thinking
- More effective resource allocation and management
- Increased efficiency and productivity (cost effectiveness)
- Improved agility
- Maximized return on investment

The DOS's project management approach will utilize the technical skills, tools, and techniques needed to succeed, as well as the dedication to accountability, resource commitment, and organizational focus. Project success will be the result of active communication among all individuals, understanding everyone's role in the project, and clear delineation of responsibilities.

The DOS believes successful project management is substantially dependent on the following factors:

- Clearly established project goals and requirements
- Ongoing assessment of quality against established standards
- Constant measurement of success against established deliverables and milestones
- Personal presence and commitment of key project leadership
- Proactive identification and communication of risks and issues

The primary project management methodology used by DOS is based on the Project Management Institute's Project Management Framework. The DOS Project Manager, along with any contracted vendors supporting the FVRS Modernization Project, will determine an appropriate project management methodology. The Project Director or Project Sponsor may consider changes to the methodology at any phase of the project, as deemed appropriate,

including the use of Agile methodologies that focus on customer satisfaction through the early and continuous delivery of working software, close cooperation between business users and software developers, quality improvement, and continuous attention to technical excellence and good design.

Regardless of the specific project management methodology employed, certain management and control mechanisms will be relevant to all phases of this project, including:

- Project Charter that clearly conveys what will be accomplished by the project, signed, and authorized by the Project Executive Sponsor
- Project contract(s)
- PM Plan
- Baseline project schedule
- IV&V
- Change Management Procedures
- Project Issues Register
- Project Risk Register
- Financial Management
- Reporting

The use of the project control framework indicated above, together with application of the PM Plan will assist both the Project Manager and Project Sponsor in planning, executing, managing, administering, and controlling all phases of the project. Control activities will include, but may not be limited to:

- Monitoring project progress, identifying, documenting, evaluating, and resolving project-related problems that may arise
- Reviewing, evaluating, and making decisions regarding proposed changes; changes to project scope will be tightly controlled according to a documented change request, review and approval process agreed to by all stakeholders
- Monitoring and taking appropriate actions regarding risks as required by the risk management plan
- Monitoring and tracking issues as required by a documented issue reporting and management process
- Monitoring the quality of project deliverables and taking appropriate actions regarding any project deliverables that are deficient in quality

The sections below expand upon elements of the FVRS Modernization PM Plan that will be in place at project initiation. The PM Plan is compliant with Rules 60GG-1.001 through 60GG-1.009, F.A.C., known as the Florida Information Technology Project Management and Oversight Standards.

A. Project Charter

The project charter establishes a foundation for the program by ensuring that all participants share a clear understanding of the DOS's purpose, objectives, scope, approach, deliverables, and timeline. It serves as a reference of authority for the FVRS Modernization Project. The subsections that follow explain the project management approach for the FVRS Modernization component of the overall PPM process described above. Project management for modernization of the FES and Florida Rules system, as part of the PPM process described above, is addressed in separate Schedule IV-Bs.

1. Project Name

This project is known as the **Florida Voter Registration System (FVRS) Modernization**.

2. Purpose and Objectives

The FVRS is owned and operated by DOS in accordance with section 98.035, FS, which states, in part, that DOS "shall be responsible for implementing, operating, and maintaining, in a uniform and nondiscriminatory manner, a single, uniform, official, centralized, interactive, computerized statewide voter registration system." The FVRS is currently operating on hardware and software built in 2006, with no significant software upgrades since 2015. Over the same time period, the number of registered voters in the State of Florida has grown to more than 14.5 million and voter registration requirements have changed in Florida.

Within DOS, BVRS coordinates and manages the official statewide voter registration system, including assisting the 67 SOEs with voter registration and voter removal processes. The BVRS provides public assistance through the Voter Assistance Hotline and public email boxes, including general voter registration matters and support for the online voter registration system. The BVRS also coordinates with other agencies required to conduct voter registration activities under the National Voter Registration Act and oversees third-party voter registration organization activities.

The FVRS Modernization project will satisfy the following objectives:

- Leverage increased efficiencies and serve Florida citizens in the most effective manner possible
- Position BVRS to further maximize the benefit of the state investment in technologies implemented to support the FVRS system
- Modernize BVRS in accordance with the state's Long Range Program Plan (LRPP), statutory guidelines for data storage and maintenance, and federal guidelines to ensure election infrastructure security
- Create a modern, integrated system that supports the business units by leveraging modern technology and a cloud-based solution
- Eliminate parallel systems utilizing Access databases for data tracking and reporting
- Eliminate parallel systems utilizing Access databases for data tracking and reporting
- Reduce or eliminate redundant processes between state and counties
- Provide BVRS staff and supervisors with timely access to information necessary for performance and quality management with functionality to generate reports on demand
- Increase automation in processing data on voters deemed mentally incapacitated
- Provide easier access to data through improved user interfaces
- Develop functionality that reduces or eliminates of the need for paper forms, documents, as well as email and phone contacts for data processing.
- Design system to incorporate current and future statutory and legislative requirements
- Increase database capacity to accommodate growth in data storage needs
- Employ project management best practices throughout the life of the project
- Complete the project within agreed budget and timeframes

3. Project Phases

This project will be developed in four phases:

I. Pre-implementation
   a) Develop and Execute Procurement
      - Project Management
      - Independent Verification and Validation
      - Vendor Based Programming for IT Development

II. Define

This phase will include the following activities:

a) Map Workflows
b) Establish Teams Internally
c) Define System Architecture
d) Determine Software Development Methodology
e) Procure Third-Party Software Components and Libraries
f) Develop PM Plan

III. Design/Develop

This phase will put into place the core solution functionality. Modernization efforts will cover the following initiatives:

a) Establish System Architecture
b) Data Conversion
c) Define, Design, Develop, Test, Deploy (module development in iterative sprints)
d) User Acceptance Testing
e) Staff Training
f) Project Management
g) Organizational Change Management
h) Independent Verification and Validation
i) Benefits Realization Management

IV. Implement and Operations and Maintenance

This phase will include the final rollout of the full, modernized solution developed for each BVRS business process. Following full implementation, DOS will move into in-house O&M.

B. Project Scope

The vision of this modernization effort is to implement immediate system performance and functional improvement needs while positioning DOS with secure, scalable, cost-efficient, and sustainable system architecture and agile support processes.

To realize this vision for immediate improvement and long-term sustainability, technology and resource investments are necessary in fiscal years 2024-25 through 2029-2030. These investments will result in long-term benefits to DOS in the form of immediate functional improvements and to the state through increased functionality for and enhanced integrity and security of the list of registered voters in Florida.

To ensure the most efficient and effective implementation of projects included in the modernization project, DOS intends to acquire the services of a vendor experienced in the planning and oversight for implementation of multi-year system modernization initiatives, as well as IV&V services, to ensure that projects are executed with minimal cost and schedule variance.

DOS will oversee a governance process ensuring that there is an integrated process, vertically and horizontally, for requesting new projects and funding. Specifically:

- Vertical integration requires receiving bottom-up input on the costs and status of each project element and top-down prioritization and approval of prospective projects.
- Horizontal integration requires the internal transfer of knowledge and information between functional and operational support units to maximize effectiveness of prospective projects and mitigate against risks of unintended future consequences.

The FVRS Modernization Project Team will work in conjunction with the PMO, with a focus on attaining the FVRS Modernization Project goals and objectives. The FVRS Project Manager will coordinate with the PMO for budget, schedule, scope, and status reporting.

The scope of this project will include a significant business process analysis and requirements development effort as well as the design, development, testing, user training, and statewide implementation of all the FVRS modernization to support the following teams and activities:

- Project Management Team
- Organizational change management
- IV&V
- Solution architecture
- Integration of business units
- Data conversion and integration
- External interfaces (full SDLC)
- Self-service portal (full SDLC)
- Case and workload management (full SDLC)
- Reporting functions (full SDLC)
- System implementation
- Content development for training materials
- End-user training
- Operations and maintenance planning

C. Project Implementation Plan

The Implementation Plan describes the proposed steps needed to implement the FVRS Modernization Project, including all system replacements and enhancements. The plan begins with the initial procurement of external resources needed to achieve project outcomes, outlines initial deliverables for the overall project, and finishes with a communication plan for the project. All three elements of the Implementation Plan are subject to change as the enterprise modernization project evolves, the systems develop, and the corresponding program areas identify any additional requirements or changes. The final Implementation Plan will be incorporated into the PM Plan and approved by the PMO, Project Sponsor, and Executive Committee.

1. Procurement Management Approach

The procurement management plan seeks to outline how the project will procure resources necessary to complete project objectives for all for the FVRS Modernization Project included within this project charter. It will define the procurement methodology for this project, lay out the process for managing procurement throughout the life of the project, and will be updated if and when project needs change. When finalized, this plan will identify and define the goods and services to be procured, the types of contracts to be used in support of this project, the contract approval process, and the decision criteria. Coordinating the procurement activities, establishing firm contract deliverables, and setting metrics in measuring procurement activities are critical to project success.

The DOS Purchasing Office and any external resources contracted for procurement support will provide oversight and management for all procurement activities under this project. The FVRS Modernization Project Team, in conjunction with the PMO, will review and refine all procurement needs prior to approving the development of final procurement documentation.

Each of the three systems within the DOS Modernization Project may have unique procurement requirements and approaches. The following subsections propose details for the FVRS Modernization Project's procurement management approaches, which must be approved by the Project Sponsor and Purchasing Manager prior to inclusion in the project.

Table 9: Procurements Essential for FVRS Modernization Project's Success proposes the goods and services

determined to be essential to the FVRS portion of the DOS Modernization Project that must be obtained outside of DOS resources. These items may change as the project evolves and initial planning activities are conducted within DOS.

Table 9: Procurements Essential for FVRS Modernization Project's Success

Procurement	Description	Justification	Needed By
Project Management Office (PMO)	The PMO provides a management structure that standardizes the project-related governance processes and facilitates the sharing of resources, methodologies, tools, and techniques. Project managers within the PMO complete all the required project documents and processes. Additionally, the modernized FVRS will require diligent management, involving training and transparent communication with all affected staff and partners and strategic deployment of new processes and information. Because system documentation of the current FVRS/BVRSA system is incomplete, OCM process should include a comprehensive review of how the design and functionality of the new system will impact current processes and staffing.	DOS intends to use a central PMO for all concurrent system modernization projects. A single PMO will ensure project alignment and resource maximization. A contracted PMO will provide management resources not available within DOS due to limited staff resources to be dedicated to a special, long-term project. The PMO will also be responsible for OCM activities related to the modernization project. This includes system documentation, partner liaising, staff training, communication planning, and policy updates.	July 2024
Vendor Based Programming	A vendor will be procured based on the current state term contract for IT project development services.	Contracted vendor based IT development staff will be used to produce project deliverables and to ensure project completion within the established schedule.	September 2024
IV&V	IV&V services will provide independent oversight of the	Outsourcing these services is essential for an independent, unbiased	July 2024

Procurement	Description	Justification	Needed By
	project activities.	perspective on project activities.	
Third-Party Software Products and Libraries	The recommended technical solution for FVRS modernization is a hybrid approach of a combination of custom solution development and third-party software products and libraries.	Based on the design phase and research on available products that may meet certain modernization needs, DOS will procure these products for purchase and development use, as well as any required ongoing licensing agreements.	September 2024

2. Project Deliverables

Table 8: Project Deliverables below contains a preliminary list of project deliverables for the FVRS Modernization Project. The final deliverables list, which will include acceptance criteria, will be developed in conjunction with the selected PMO and as system architecture and design are finalized.

Table 10: Project Deliverables

Name	Deliverable Description
Project Management Status Reports	Weekly status reports by the PMO to the project management team.
Risk and Issue Registers	Prioritized lists of risks and issues identified and reviewed during the course of the project.
Meeting Summaries	Record of decisions, action items, issues, and risks identified during formal stakeholder meetings.
Schedule IV-B Feasibility Study (Updates)	Incorporates information to be submitted with the DOS Legislative Budget Request for follow-on phases.
Project Charter	Issued by the Project Sponsor and formally authorizes the existence of the project and provides the Project Manager with the authority to apply organizational resources to project activities.
PM Plan	Includes the following documents as required by the DOS Project Director: • Work Breakdown Structure • Resource Loaded Project Schedule • Change Management Plan • Communication Plan

Name	Deliverable Description
	• Document Management Plan • Scope Management Plan • Quality Management Plan • Risk Management Plan • Risk Response Plan • Issue Management Plan • Resource Management Plan • Conflict Resolution Plan • Baseline Project Budget
As-Is Business Process Flows	Represents, graphically, the current state of public assistance business processes using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
To-Be Business Process Flows	Represents the future state of BVRS business processes, as reengineered by the system modernization with BVRS subject matter experts. The process flows are developed using standard business process notation. This document should include narrative descriptions of key activities, including owners, inputs, and outputs.
Technical Design Specification	Detailed technical design for data and information processing in the new business system to include: • Data Model/Entity Relationship Diagram • Data Dictionary • Technical Architecture (to include a hardware usage plan)
Design Demonstration	Review and acceptance of the system design required before proceeding to development. Key stakeholders will experience the prototype and then a go/no-go decision will be submitted to the Project Sponsors for action.
Data Conversion Plan	Plan for converting data from existing systems to meet the specifications of the new database design. This includes the processes of detailed data conversion mapping, data extraction, transformation, and loading.
OCM Plan	Describes the overall objectives and approach for managing organizational change during the project, including the methodologies and deliverables that will be used to implement OCM for the project.
OCM Status Reports	Regular status reports by the OCM vendor.
Stakeholder Analysis	Identifies the groups impacted by the change, the type and degree of impact, group attitude toward the change and related change management needs.
Training Plan	Defines the objectives, scope, and approach for training all stakeholders who require education about the new organizational structures, processes, policies, and system functionality.

Name	Deliverable Description
Change Readiness Assessment	Surveys the readiness of the impacted stakeholders to go-live with the project and identifies action plans to remedy any lack of readiness.
IV&V Project Charter	A document issued by the Project Sponsor that formalizes the scope, objectives, and deliverables of the IV&V effort.
IV&V Status Reports	Quarterly reports to the Executive Management Team.
IV&V Periodic Assessments	Documents the results of IV&V activity to determine the status of project management processes and outcomes including, but not limited to: • Schedule Review Summary • Budget Review Summary • Business Alignment Summary • Risk Review Summary • Issue Review Summary • Organizational Readiness Summary • Recommended Next Steps/Actions for each of the above areas • Milestone and Deliverable reviews (to determine if the project is prepared to proceed to the next phase in the project work plan) • Current scorecard of the project management disciplines • Strengths and areas for improvement in the project management disciplines • IV&V Next Steps/Actions
IV&V Contract Compliance Checklist	Documents that vendors involved with the project have met all contractual requirements.
Test Plans and Cases	Detailed test plans for unit testing, system testing, load testing, and user acceptance testing. Test cases will include documented sets of actions to be performed within the system to determine whether all functional requirements have been met.
Implementation Plan	Detailed process steps for implementing the new business system statewide.
Knowledge Transfer Plan	Based on a gap analysis, this plan will detail the steps taken to transfer knowledge about the system to the resources that ultimately will be responsible for implementation and post-implementation support.
Functional Business System	Final production version of the new business system.
System Operation and Maintenance Plan	Detailed plan for how the finished system will be operated and maintained.

a. *Project Milestones*

It is anticipated the project will be managed according to Table 11 below. Go/no-go checkpoints may be added to the project schedule where appropriate based on the chosen solution. Checkpoints will require the Project Sponsor to sign-off prior to commencing the next activity.

Table 11: Project Milestones

Milestone	Deliverable(s) to Complete
Legislative Approval	• Updated Schedule IV-B
Vendor Procurement	• Post bid for PMO Service • Post bid for IV&V Service • Post bid for Development Services
Vendor Selection and Contract Execution	• Select PMO Vendor and Execute Contract • Select IV&V Vendor and Execute Contract • Select Development Service Provider and Execute Contract
Project Kick-Off	• Project Charter
Project Management Documents Completed	• Various (See deliverable list)
Business Process Analysis Completed for Each Phase	• As-Is Business Process Flows • To-Be Business Process Flows
Acceptance of Functional and Technical Requirements for Each Phase	• System Requirements Document • Validated Functional Requirements Document • Requirements Traceability Matrix
Acceptance of User Interface Prototypes for Each Module	• User Interface Prototypes
Acceptance of Each Phase's Functional and Technical Design Specifications	• Functional and Technical Design Specification documents
User Acceptance Testing for Each Module Completed	• Not Applicable
End User Training for Each Module Completed	• On-site training sessions • Training materials
Final System Deployment Approval	• IV&V system readiness certification
System Deployment Phases	• Functional system released into production
Project Close-out	• Lessons Learned • Knowledge Transfer • Contract Compliance Checklists • Project Close-out Checklist

b. *General Project Approach*

The following activities are required to finish the FVRS Modernization Project:

1. Submit a Legislative Budget Request
2. Perform Schedule IV-B Feasibility Study update

3. Execute procurement(s)
4. Execute contract(s)
5. Execute the project
6. Monitor and control the project
7. Develop and test the proposed solution as described in the Technology Planning section
8. Implement the proposed solution modules as completed and validated (iterative)
9. Conduct OCM and communications activities (iterative)
10. Develop and Conduct Training (iterative)
11. Deploy the fully modernized system to trained users who are fully prepared to use the new system and are supported by on-screen help
12. Conduct knowledge transfer
13. Continued operations, administration, and support of the system via in-house operations and maintenance
14. Close out the project
15. Operate and enhance the system throughout its service life

c. *Change Request Process*

Projects of this magnitude should expect change as the project progresses through the design, development, and implementation phases. All change requests will be formally documented and validated by the Project Team in accordance with a documented change management plan or documented change management procedures. Once validation has occurred, the appropriate stakeholders will assess the change, determine the associated time, and cost implications.

Upon acceptance of the change request by the Project Sponsor and its validation by the Project Team, the tasks to implement the change will be incorporated into the project plan and a project change order will be initiated. A priority will be assigned, and the request will be scheduled accordingly.

3. Project Communication

Communication management seeks to provide a comprehensive framework for all communication necessary to keep stakeholders informed about the project's direction and status. The purpose of the project communication plan is to put into place infrastructure to facilitate clear and timely communication of project objectives and promote successful project outcomes.

a. Communication Plan

The communication plan is designed to provide the right information, at the right level, to the right audience, at the right time. The plan addresses key audiences, messages, frequency, and methods of communication.

This plan, depicted in Table 12 below, describes the various forms of communication, appropriate channels of communication, and target audiences for this project. The communication matrix identifies the different tools that will be used to guide the planning for communication about the project to various audiences and purposes. It should be considered a general guide for the effective dissemination of information that is received, understood, and utilized by the target audiences for successful completion of the project. This communication matrix will be customized for each project to reflect the various communication forms, frequencies, and audiences that will actually be used during the course of the project and to ensure communication channels are properly maintained throughout the project and updated if communication needs to change.

Table 12: Project Communication Matrix

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Status Reports	Provide detailed information on the progress of the project against the plan	Email	To Be Determined (TBD)[8]	Mandatory	FVRS Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Status Meetings	Review the status report, resolve issues, and make decisions	Meeting	TBD	Mandatory	FVRS Modernization Project Manager	DOS Leadership, Project Team	Verbal and follow-up email
Sponsor Meetings	Review project progress, resolve issues, and make decisions at an executive level	Meeting	TBD	Mandatory	DOS CIO	DOS Leadership (Project Sponsor)	Verbal and follow-up email
Project Deliverables	Provide deliverables to Modernization PM	Email	Per project schedule	Mandatory	FVRS Modernization Project Team Member	FVRS Modernization Project Manager and Deliverable Review Team, PMO	Written vetted, consolidated, and actionable comments
Deliverable Review Feedback	Provide vetted, consolidated, and actionable written comments	Email	Per project schedule	Mandatory	Deliverable Review Team	FVRS Modernization Project Team Member (Deliverable Developer)	Written /email follow-up using Deliverable Review Comment Form
Deliverable Review Meetings	Confirm mutual understanding of desired deliverable changes	Meeting	As needed	Informational	FVRS Modernization Project Team Member (Deliverable Developer)	FVRS Modernization Project Manager, Deliverable Review Team, subject matter experts (SMEs)	Verbal or written

[8] The status reporting and meeting cadence will be determined by the project team and will meet requirements of section 60.gg-1.006, Monitoring and Controlling, Florida Administrative Code.

Item	Purpose	Format	Frequency	Type	Initiator	Recipient	Feedback
Work Sessions	Gather information from subject matter experts (current providers)	Meeting	Per project schedule	Mandatory	FVRS Modernization Project Team Member	SMEs	Verbal and follow-up email
Work Session Follow-Up	To answer questions or clarify information gathered	Email	As needed	Informational	FVRS Modernization Project Team Member	FVRS Modernization Project Manager, Deliverable Review Team, SMEs, PMO	Verbal or email follow-up
Project issues	Documentation of project issues	Email	As needed	Mandatory	Any Stakeholder	FVRS Modernization Project Manager Vendor Project Manager PMO	Written/email follow-up
Project issues escalation	To resolve project issues	Email	As needed	Mandatory	FVRS Modernization Project Manager	FVRS Modernization Leadership (Project Sponsor)	Written/email follow-up
Change requests	Document project changes to scope of work	Email	As needed	Mandatory	FVRS Modernization Project Manager and PMO	DOS Leadership (Project Sponsor)	Written/email follow-up
Project closeout and lessons learned	Formal project closeout meeting	Email	Per project schedule	Mandatory	FVRS Modernization Project Manager	DOS Leadership (Project Sponsor), PMO	Written/email follow-up

b. Status Reporting

Vendors will be required to submit status reports throughout the project at several levels. The primary source of status information is the recurring (at regular intervals per the project schedule) written status report, which will communicate, at minimum, the following information. The PMO presides over the regular DOS Modernization Project Meeting, which is attended by the Project Managers from the three modernizations. Status reports are collected by the PMO ahead of the meeting, reviewed, and discussed at the regularly occurring meeting.

Project Status. This section depicts the project status at a summary level using a red/yellow/green method supported by two to three essential questions that are answered to determine summary status. The red/yellow/green method is not meant to be a grading system but instead it is a way to easily identify the areas of the project that need the most attention to make the project successful.

Overview of Project Progress. This section describes significant accomplishments achieved in the reporting

period.

Project Milestones, Deliverables, and Latest Tasks. This section contains the major deliverables of the project, their planned and actual completion dates, and their status.

Risks, Action Items, Issues, and Decisions. This section will link to the project risk, action item, issue, and decision tracking tool. The project tracking tool contains all items tracked during the project.

D. Project Schedule

Schedule Management is to be conducted at both the portfolio and individual project level. Schedule management consists of the following three areas: schedule development, schedule administration, and schedule change control. The actual project schedule will be highly dependent upon the business need priority, technical complexities, and solutions available. The development of the actual project schedule will be the responsibility of the FVRS Modernization Project Manager and the PMO. The PMO's primary schedule management responsibility is to develop an Integrated Master Schedule, which will encompass the three individual modernization project schedules. It is important to maintain a centralized view of the schedules, especially as DOS will leverage shared resources across projects.

The implementation roadmap illustrates the high-level phases and activities that are key components in delivering a successful solution to be completed over the four-year schedule.

1. Schedule Development

Schedule development is the process of taking the project scope of work and breaking it down into activities and tasks that can be assigned and managed in project management software capable of tracking tasks. Tasks that are dependent on others are linked using the predecessor and successor columns.

A schedule baseline establishes the expected delivery dates of project activities at a point in time. Baselines are used to track variances from original approved plans for the project. The FVRS Modernization Project Team uses the baseline feature of the project management software to establish a snapshot of the established dates for tasks. A schedule baseline will be updated only if needed to correct errors and adjust for any approved change requests. Once a change request is approved, the PMO performs a re-baselining of specific tasks impacted.

The FVRS Modernization Project Team reviews the progress of tasks against the baseline dates to monitor project progress and identifies areas of schedule slippage requiring corrective action to ensure the project remains on schedule.

The Project Schedule is developed with various views that are configured by the modernization project team for specific purposes. The columns displayed within the default view should include:

- **ID:** A sequential number to denote a line number.
- **Unique ID:** A number that is assigned to a created task (row) and is carried within that task, regardless of a change in its line number.
- **Task Name:** A text descriptor of the task.
- **Percent Complete:** A percentage representation of the task's completion based on its duration.
- **Duration:** A number (in days) denoting the length of a task from start to finish.
- **Start Date:** The date the task is scheduled (planned) to begin.
- **Finish Date:** The date the task is scheduled (planned) to complete.
- **Start Variance:** The amount of time (in days) representing the difference between the baselined start date and the current planned start date.
- **Finish Variance:** The amount of time (in days) representing the difference between the baselined completion date and the current planned completion date.
- **Predecessor:** The ID (line number) of the task that precedes a given task.
- **Successor:** The ID (line number) of the task that follows a given task.
- **Notes:** A free-form text column that is used to capture any comments or information about a task.

2. Schedule Administration

The schedule will be kept up to date as specified in the PM Plan. Task progress and percent completion will be input into the schedule. Variances between planned and actual progress will be managed with particular attention to the critical path. The PMO will evaluate the baselined schedule against current progress, identifying the following at a minimum:

- Overdue tasks and computation of the percentage of late tasks related to total tasks to date (number of overdue tasks divided by number of total tasks).
- Overall task completion trending towards an overall project variance equal to or greater than 10%.

The FVRS Modernization Project Manager will communicate the variance explanation to the key stakeholders. This information will be used as input into the status reporting. Any variance where the critical path is significantly behind will automatically result in an action item for discussion at the recurring status meeting or earlier.

Corrective actions will be developed as needed to resolve schedule variances. Schedule management techniques of crashing, fast-tracking, and compression will be considered as will other solutions like resource shifting or work rescheduling. Schedule forecasting will be used to look beyond the current status so that, to every extent possible, corrective actions can be applied before there are schedule variances.

Below are quality control checks proposed to be used by the DOS PMO to maintain a functional and reliable Project Schedule.

- **Task Traceability:** All non-summary project tasks have at least one predecessor to depict relationships between different project tasks and outputs so project subcomponents can be fully traced through project completion. Task traceability demonstrates that the schedule responds dynamically to date shifts, i.e., delayed activities.
- **Critical Path Monitoring:** The project management tool should calculate the Critical Path based on how the tasks are connected in sequence. The Critical Path is considered accurate if the necessary dependencies among tasks are correctly established using predecessors and successors. The PMO is responsible for validating the calculated Critical Path weekly. The PMO also reviews the critical path as new tasks are added or reconnected with other tasks.
- **Schedule Management Best Practices Checks:** The PMO will conduct Best Practices checks regularly and follows as part of its quality checklist the guidelines provided by Florida Digital Service.

3. Schedule Changes

Once the schedule has been developed, approved, and baselined any significant changes (impacting the Critical Path, deliverable milestone dates, or the project completion date) will have to be approved through the Change Management process. All other schedule changes can be made at the discretion of the FVRS Modernization Project Manager and the PMO. Such changes will be reported in the Status Report and discussed at the Status Meeting.

E. Project Organization

The purpose of this section is to outline how the enterprise DOS Modernization Project will manage staffing requirements and resource tasks appropriately. This project plan calls for procurement of a vendor experienced with large scale system modernizations and integration. The needs for each project have been estimated before the project and will be refined during requirements gathering and procurement of services.

Successful implementation of the proposed solutions requires establishing a model of governance by applying a structured decision-making process. Functions critical to project success within this governance process will include measures to document and maintain requirements and compare solutions in advance of implementing architectural change. Such a process will also facilitate decision-making and manage all aspects of the modernization efforts.

Effective collaboration is essential to the successful implementation of the proposed solution. Collaboration provides visibility to stakeholders, produces the necessary exchange of information, coordinates work efforts, and produces useful information about stakeholder needs. The DOS Project Team will establish guidelines for effectively managing collaboration with project stakeholders before, during, and between projects or project phases.

The DOS's enterprise approach and governance structure will be developed in order to make coordinated IT decisions at an enterprise level and align business decisions with strategic objectives. Roles and functions within the proposed organizational governance structure will evolve over time to ensure organizational agility and continuous modernization. For the initial structure, roles, responsibilities and/or processes are outlined in Table 13: Proposed Governance Structure.

Table 13: Proposed Governance Structure

Project Role	Potential DOS Actor(s)	Responsibilities
Executive Committee	Assistant Secretary/Chief of Staff Chief Information Officer Elections Division Director Director of Administrative Services	• Communicate policy objectives that will drive or materially impact IT strategy • Receive and review communications or reports from the IV&V and meet regularly with IV&V • Make go/no-go decisions, provide written approvals for proposed projects, and, to the extent required in a given PM Plan , provide approvals for individual project phases • Provide final approval for acceptance of all active project deliverables • Make recommendations to close or terminate an active project
Project Sponsor	Chief Information Officer	• Approve scope and objectives, schedule and resources, roles, and responsibilities • Review progress and provide strategic direction along with executive team • Make and enforce decisions as appropriate • Obtain resources as needed • Authorize change request analysis • Approve project change requests • Set priorities and resolve conflicts • Provide input on the requirements of the project • Review project plan and relevant documents • Ensure staff participates in work sessions • Promote project buy-in
PMO Project Manager	Contracted PMO Lead	• Provide full support for project logistics, staff participation/reviews and communications • Verify work products meet contractual requirements • Participate in bi-weekly status meetings • Obtain project sponsor's approval of project deliverables • Monitor and recommend change management activities for

Project Role	Potential DOS Actor(s)	Responsibilities
		DOS and program areas • Conduct a comprehensive review of how the design and functionality of the new system will impact current processes and staffing • Identify issues that may arise due to system modernization and develop plan(s) to mitigate risk and ensure a smooth transition from current to future state • Collaborate with Project Team and program areas to develop needed changes to policies, processes, and work protocols • Develop and implement training for all areas impacted by system changes • Advise IT and program leaders on communication planning and activities
PMO Team	Contracted PMO Staff	• Analysis and preparation required for procurement documents • Project management oversight • Quality management oversight • IV&V oversight
IT Project Lead	DOS Director of Information Technology and Security Services	• Serve as member of the DOS Project Team • Provide oversight and input to align DOS system projects and project activities with broader goals and support objectives of DOS system services • Provide management and oversight for the following work activities: o Information architecture o Technical architecture o SDLC management o Software documentation management o SSAE 18, SOC 1 – Type 2 and SOC 2 – Type 2 reports (as may be required) o Systems testing / User Acceptance Testing o Data Security o System Security • Conduct regular meetings to facilitate collaboration, exchange information vital to project success and gather essential input. Such regular meetings might include: o Checkpoints – Strategic meetings with system and project management teams to identify needs and resolve concerns o Quarterly project update meetings – Periodic meetings to provide updates on proposed project planning, active project progress, and upcoming activities

Project Role	Potential DOS Actor(s)	Responsibilities
Program Project Lead	BVRS Chief	• Serve as member of the DOS Project Team • Provide oversight and input to align system projects and activities with broader goals and performance objectives of the program's business processes • Provide necessary input and documentation regarding functional requirements and functional specifications for system projects and project activities • Validate business process workflows, diagrams, descriptions, and other program-specific documentation • Conduct regular meetings to facilitate collaboration, exchange information vital to project success, and gather essential input. Such regular meetings might include: o Checkpoints – Periodic meetings with program and project staff to provide updates on proposed project planning, active project progress, and upcoming activities o Regular stakeholder meetings – Periodic briefings with external stakeholders, including county and partner agencies, legislative and executive branch staff, and others as appropriate
Vendor Manager	Purchasing Manager (or designee)	• Procurement oversight and management • Vendor contract management
IV&V Vendor	TBD	IV&V is required for all projects with a total budget over all years of greater than $10 million per 216.023(4)(a)10, F.S. The selected IV&V contractor shall perform ongoing project monitoring activities and will review and validate issues/deficiencies/risks identified with the project. Minimally required project monitoring activities and deliverables include, but are not limited to: • Providing an independent, objective, third-party view of project efforts with the intent of protecting the State's interests • Providing personnel, processes, approaches, and tools to perform IV&V services for Florida information technology projects • Performing assessments on both project and program management processes and work products • Providing objective observations and recommendations • Assessing and reporting overall project performance, extrapolating future project progress and success, and identifying any possible impediments to successful project completion • Examining all project artifacts and documents to evaluate the effectiveness of the project management controls, procedures and methodology • Assessing the effectiveness of project communication, assessing Customer involvement • Developing performance metrics that facilitate the tracking of progress / completion of project tasks and milestones • Reviewing all project cost and expenditure documentation and making recommendations for efficient use of funds • Validating identified risks and issues and proposed

Project Role	Potential DOS Actor(s)	Responsibilities
		response(s) and assessing impact to the project progress or success • Verifying and validating the quality of project work products (deliverables) • Reviewing statements-of-work, solicitations, and contracts to verify alignment between requirements and solicited or contracted terms • Providing guidance and training on standards and best practices for project management • Ensuring project teams follow required standards, including, but not limited to, Administrative Rule, Florida Statutes, and federal requirements

F. Project Quality Control

Whether DOS executes project tasks with internal resources, or oversees deliverables provided by contracted providers, Quality Management will be a key factor for project success. Quality Management details the processes to ensure quality services and deliverables. The DOS Modernization Project Team will use disciplined processes and inspections to confirm quality throughout the life of the project. These inspections are performed at key points in the creation and review of documents and confirmation of the value of services the project team provides. Quality Management includes two components, deliverable quality control and services quality. The purpose of this section is to provide instructions on these processes. The modernization project team commits to the highest quality in project execution and project team members' performance. To achieve a positive outcome, these processes will be carried out, so expectations are understood, aligned, and met.

The DOS Modernization Project Team will follow a rigid quality assurance process. The project will follow these processes and procedures to ensure the highest level of execution.

Quality Management. The primary responsibility of the project quality manager (a role within the PMO) is to provide oversight and ensure the modernization objectives are met by meeting regularly with project stakeholders and department leadership.

The FVRS Modernization Project Manager is responsible for understanding the FVRS Modernization Project requirements and DOS expectations. A preliminary internal project meeting is held near the start of the project with all stakeholders. This meeting will include a discussion(s) of task assignments to clarify the scope of work and how it will be accomplished. The following quality management activities will be completed for the project:

- **Internal Kickoff Meeting –** Prior to project commencement, the FVRS Modernization Project Manager will ensure all team members understand the project's requirements, scope, and quality control processes. This meeting includes a discussion of task assignments to clarify the scope of work and how it will be accomplished. This awareness is maintained throughout the duration of the project within ongoing and as necessary project team meetings.
- **Sponsor Checkpoints –** The FVRS Modernization Project Manager will schedule regular contact with the Project Sponsor. This allows the FVRS Modernization Project Manager to voice their perspective on assignment progress and communicate any relevant risks, action items, issues or decisions made or encountered during the project.
- **Deliverable Reviews –** Prior to submission to the FVRS Modernization Project Manager and designated deliverable review team, all deliverables are required to first undergo a thorough quality review. This review includes technical editing, validation, clarity, and ensuring conformance to DOS standards and expectations.

G. Project Tracking

This section describes the "RAID" methodology for tracking risks, action items, issues, and decisions. The modernization project will follow a centralized approach that minimizes miscommunication or misinformation among project stakeholders. DOS will diligently maintain a master project tracking log for the project, a Microsoft Excel workbook with multiple tabs intended to capture the details and the latest attributes of items tracked by Project Managers.

See the link below for the project tracking log. Each tab is fully explained in the following sections.

RAID-Template.xlsx

1. Risk Management

Risks are characteristics, circumstances, or features of the environment that may have an adverse effect on the project or the quality of the work products. The risk management plan outlines the process to identify and analyze the effects of uncertainties on the project. This plan establishes a framework of working practices, which enables project team members to identify, analyze, respond to, monitor, and communicate risks before they become issues and jeopardize the success of the project. If a risk becomes an issue, the modernization project management office will work with the involved stakeholders to assess its impact on the project and assign responsibility for issue resolution, including a target date for closure.

Risks will be managed in the following manner:

- During status meetings, any stakeholder can raise a risk for discussion.
- The DOS Modernization Project Team will discuss the risk and determine if it warrants being monitored in the risk log.
- The PMO staff will enter the item in the risk log.
- The team will discuss response strategies and assign who will own the risk item.
- At each subsequent status meeting, the risk(s) will be reviewed until the risk(s) can be closed.

2. Action Items

Action items are unplanned tasks that occur during a project that are too small to be added to the schedule. These items must be within the scope of the project and are often tasks that support scheduled tasks, issue resolution, risk management, or some other aspect of the project. The action item log is created and maintained as part of the project tracking log.

Action items will be managed in the following manner:

- During status meetings, any stakeholder can raise an action item for discussion.
- The project team will discuss the action item and determine if it warrants being monitored in the action item log.
- The project management office staff will enter the item in the log.
- The team will set the priority for the action item (high/medium/low), assign an action item owner, and set a planned completion date.
- At each subsequent status meeting, the action item(s) will be reviewed until they can be closed.

3. Issue Management

An issue is defined as a current situation or event that must be resolved to avoid adverse impact to the project. Issues can originate from a risk that has materialized. The PMO will document all issues that are brought up in meetings.

When issues arise, they need to be resolved in a disciplined manner in order to maintain the quality of the work products and control the schedule and costs. The issue resolution process verifies differences, questions, and unplanned requests are defined properly, escalated for management attention, and resolved quickly and efficiently.

The issue resolution process is intended to handle technical problems, requirements, or issues/conflicts, as well as to address process, organizational, and operational issues of the engagement.

Issues will be managed in the following manner:

- During status meetings, any stakeholder can raise a potential issue for discussion.
- The project team will discuss the potential issue and determine if the item is indeed an issue.
- If the team determines the item is an issue, the project management office staff will enter it in the issue log.
- The team will discuss resolution steps, assign who will own the issue item, and set a target date for resolution.
- At each subsequent status meeting, the issue(s) will be reviewed until they can be closed.

4. Decisions

Decisions are leadership answers to questions that arise during the project. The decision log is created and maintained as part of the project tracking log.

Decisions will be managed in the following manner:

- During status meetings, any stakeholder can raise a question that requires a decision.
- If the team determines a decision needs to be made, the project management office staff will enter it in the decision log.
- The team will discuss the impact to the project, assign a decision maker, and set a date for when the decision is needed.
- At each subsequent status meeting, the decision item(s) will be reviewed until they can be closed.

SCHEDULE IX: MAJOR AUDIT FINDINGS AND RECOMMENDATIONS **Budget Period: 2024-25**

Department: Department of State **Inspector General:** David Ulewicz

Budget Entity: 45000000 **Phone Number:** 850-245-6195

(1) REPORT NUMBER	(2) PERIOD ENDING	(3) UNIT/AREA	(4) SUMMARY OF FINDINGS AND RECOMMENDATIONS	(5) SUMMARY OF CORRECTIVE ACTION TAKEN	(6) ISSUE CODE
Auditor General 2023-183	4/4/2023	Bureau of Departmental Information Systems	**Finding 2: Department Information Technology access privilege controls for the Grants System need enhancement to better prevent and detect inappropriate access.** **Recommendation:** We recommend that Department management enhance policies and procedures to provide for periodic reviews of the appropriateness of Grants System user access privileges, ensure that information related to removed Grants System user accounts is retained, and promptly remove Grants System user access privileges upon a user's separation from Department employment or when access privileges are no longer required.	The Bureau of Departmental Information Systems will enhance the system's current auditing methodology by consolidating logging information. The Bureau of Departmental Information Systems, in conjunction with the Grants liaison group will target release of these enhancements by 11/1/2023.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
Auditor General 2023-183	4/4/2023	Bureau of Departmental Information Systems	**Finding 3: Certain security controls related to Grants System user authentication need improvement to ensure the confidentiality, integrity, and availability of Department data and IT resources.** **Recommendation:** We recommend that Department management improve certain security controls related to Grants System user authentication to ensure the confidentiality, integrity, and availability of Department data and related IT resources.	Since three major user groups exist for the application, there is not a single solution that may be implemented to cover all needs. To meet the recommendations offered by the Auditor General's Confidential Finding Memo, enhancements will be implemented over the next 12 months and will likely be released in separate stages during that time period.	
DOS OIG A-2023-DOS-004	7/12/2023	Division of Administrative Services	**Finding 4: Building security could be enhanced by strengthening procedures for key management.** **Recommendation:** The audit recommended improving physical security controls related to this area.	We are not disclosing specific details of the issues in this report to avoid the possibility of compromising the Department's physical security. However, we have notified appropriate Department management of the specific issues.	
DOS OIG A-2023-DOS-004	7/12/2023	Division of Administrative Services	**Finding No. 5: Security systems and cameras at Department facilities should be improved.** **Recommendation:** We recommend the Division of Administrative Services seek funding to implement the recommendations of the evaluation once completed.	DAS staff have completed numerous security enhancements and strengthened procedures for handling visitors to the R.A. Gray Building. DAS will hire a security consultant to review the Department's entire campus, after receiving an appropriation from the legislature in this past Legislative Session. These recommendations will be shared with the consultant. This Inspector General report, along with the security consultant's recommendations will be used to solicit a Legislative Budget Request to implement these security upgrades and replacements.	

REPORT NUMBER	PERIOD ENDING	UNIT/AREA	SUMMARY OF FINDINGS AND RECOMMENDATIONS	SUMMARY OF CORRECTIVE ACTION TAKEN	ISSUE CODE
DOS OIG A-2023-DOS-002	9/6/2023	Bureau of Departmental Information Systems	**Finding 1: System security plans** **Recommendation:** The audit recommended improving identity management and access controls related to this area.	We are not disclosing specific details of the issues in this report to avoid the possibility of compromising Department data and related IT resources. However, we have notified appropriate Department management of the specific issues.	
DOS OIG A-2023-DOS-002	9/6/2023	Bureau of Departmental Information Systems	**Finding 2: Physical environment** **Recommendation:** The audit recommended improving identity management and access controls related to this area.	We are not disclosing specific details of the issues in this report to avoid the possibility of compromising Department data and related IT resources. However, we have notified appropriate Department management of the specific issues.	

Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of State

Agency Budget Officer/OPB Analyst Name: Antonio Murphy/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.

		Program or Service (Budget Entity Codes)					
	Action	4501	4510	4520	4530	4540	4550
1. GENERAL							
1.1	Are Columns A01, A04, A05, A91, A92, A93, A36, A10, IA1, IA4, IA5, 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 or Web LBR Column Security)**	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	Have Column A03 budget files been copied to Column A12? Run the Exhibit B Audit Comparison Report to verify. **(EXBR, EXBA)**	Y	Y	Y	Y	Y	Y
1.4	Have Column A03 trust fund files been copied to Column A12? Run Schedule I **(SC1R, SC1 or SC1R, SC1D adding column A12**) to verify.	Y	Y	Y	Y	Y	Y
1.5	Has Column A12 security been set correctly to ALL for DISPLAY status and MANAGEMENT CONTROL for UPDATE status for Budget and Trust Fund files? **(CSDR, CSA)**	Y	Y	Y	Y	Y	Y
TIP	The agency should prepare the budget request for submission in this order: 1) Copy Column A03 to Column A12, and 2) Lock columns as described above. A security control feature included in the LAS/PBS Web upload process requires columns to be in the proper status before uploading to the portal.						
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 57 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 *Section 3* of the LBR Instructions (pages 15 through 28)? 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.	Y	Y	Y	Y	Y	Y

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		Program or Service (Budget Entity Codes)					
	Action	4501	4510	4520	4530	4540	4550
AUDITS:							
3.2	Negative Appropriation Category Audit for Agency Request (Columns A03 and A04): Are all appropriation categories positive by budget entity and program component 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.						
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 60 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

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	Action	Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
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 2022-23 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. Note that there is a $5,000 allowance at the department level.						
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 28 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 63 through 70 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 67 through 70 of the LBR Instructions?	Y	Y	Y	Y	Y	Y
7.4	Are all issues with an IT component identified with a "Y" in the "IT COMPONENT?" field? If the issue contains an IT component, has that component been identified and documented?	Y	Y	Y	Y	Y	Y
7.5	Does the issue narrative explain any variances from the Standard Expense and Human Resource Services Assessments package? Is the nonrecurring portion in the nonrecurring column? (See pages E.4 through E.5 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.6	Does the salary rate request amount accurately reflect any new requests and are the amounts proportionate to the Salaries and Benefits request? Note: Salary rate should always be annualized.	Y	Y	Y	Y	Y	Y

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	Action	Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
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 93 through 95 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?	Y	Y	Y	Y	Y	Y
7.10	Do the 160XXX0 issues reflect budget amendments that have been approved (or in the process of being approved) and that have a recurring impact (including Lump Sums)? Have the approved budget amendments been entered in Column A18 as instructed in Memo #24-003?	Y, N	Y, N	Y, N	Y, N	Y, N	Y, N
7.11	When appropriate are there any 160XXX0 issues included to delete positions placed in reserve in the LAS/PBS Position and Rate Ledger (e.g. unfunded grants)? Note: Lump sum appropriations not yet allocated should not 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	Y	N/A	N/A	Y
7.13	Has the agency included a 160XXX0 issue and 210XXXX and 260XXX0 issues as required for lump sum distributions?	N/A	N/A	N/A	N/A	N/A	N/A
7.14	Do the amounts reflect appropriate FSI assignments?	Y	Y	Y	Y	Y	Y
7.15	Are the 33XXXX0 issues negative amounts only and do not restore nonrecurring cuts from a prior year or fund any issues that net to a positive or zero amount? Check D-3A issues 33XXXX0 - a unique issue should be used for issues that net to zero or a positive amount.	Y	Y	Y	Y	Y	Y
7.16	Do the issue codes relating to special *salary and benefits* 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 27 and 89 of the LBR Instructions.)	Y	Y	Y	Y	Y	Y
7.17	Do the issues relating to *Information Technology (IT)* have a "C" in the sixth position of the issue code (36XXXCX) and are the correct issue codes used (361XXC0, 362XXC0, 363XXC0, 24010C0, 30010C0, 33011C0, 160E470, or 160E480)?	Y	Y	Y	Y	Y	Y
7.18	Are the issues relating to *major audit findings and recommendations* 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:							

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	Action	Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
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)**	Y	Y	Y	Y	Y	Y
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))**	Y	Y	Y	Y	Y	Y
7.24	Has narrative been entered for all issues requested by the agency? Agencies do not need to include narrative for startup issues (1001000, 2103XXX, etc.) that were not input by the agency. **(NAAR, BSNR)**	Y	Y	Y	Y	Y	Y
7.25	Has the agency entered annualization issues (260XXX0) for any issue that was partially funded in Fiscal Year 2023-24? Review Column G66 to determine whether any incremental amounts are needed to fully fund an issue that was initially appropriated in Fiscal Year 2023-24. Do not add annualization issues for pay and benefit distribution issues, as those annualization issues (26AXXXX) have already been added to A03.	N/A	N/A	N/A	N/A	N/A	N/A
TIP	Salaries and Benefits amounts entered using the OADA/C transactions must be thoroughly justified in the D-3A issue narrative. Agencies can run **OADA/OADR** from STAM to identify the amounts entered into OAD and ensure these entries have been thoroughly explained in the D-3A issue narrative.						
TIP	The issue narrative must completely and thoroughly explain and justify each D-3A issue. Agencies must ensure it provides the information necessary for the OPB and legislative analysts to have a complete understanding of the issue submitted. Thoroughly review pages 63 through 70 of the LBR Instructions.						
TIP	Check BAPS to verify status of budget amendments. Check for reapprovals not picked up in the General Appropriations Act. Verify that Lump Sum appropriations in Column A02 do not appear in Column A03. Review budget amendments to verify that 160XXX0 issue amounts correspond accurately and net to zero for General Revenue funds.						
TIP	If an agency is receiving federal funds from another agency the FSI should = 9 (Transfer - Recipient of Federal Funds). The agency that originally receives the funds directly from the federal agency should use FSI = 3 (Federal Funds).						
TIP	If an appropriation made in the FY 2023-24 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.						

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		Program or Service (Budget Entity Codes)					
	Action	4501	4510	4520	4530	4540	4550
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?	N/A	N/A	N/A	N/A	N/A	N/A
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?	N/A	N/A	N/A	N/A	N/A	N/A
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.)	Y	Y	Y	Y	Y	Y
8.12	Is this an accurate representation of revenues based on the most recent Consensus Estimating Conference forecasts?	N/A	N/A	N/A	N/A	N/A	N/A
8.13	If there is no Consensus Estimating Conference forecast available, do the revenue estimates appear to be reasonable?	Y	Y	Y	Y	Y	Y
8.14	Are the federal funds revenues reported in Section I broken out by individual grant? Are the correct CFDA codes used?	Y	Y	Y	Y	Y	Y

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	Action	Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
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?	N/A	N/A	N/A	N/A	N/A	N/A
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	N/A	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?	Y	Y	Y	Y	Y	Y
8.26	Does the Schedule IC properly reflect the unreserved fund balance for each trust fund as defined by the LBR Instructions, and is it reconciled to the agency accounting records?	Y	Y	Y	Y	Y	Y
8.27	Has the agency analyzed for continuing appropriations (category 13XXXX) and properly accounted for in the appropriate column(s) in 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

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	Action	Program or Service (Budget Entity Codes)					
		4501	4510	4520	4530	4540	4550
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!						
TIP	Determine if the agency is scheduled for trust fund review. (See pages 121 through 126 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 *Base Rate Audit* on page 156 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 91 of the LBR Instructions.)	N/A	N/A	N/A	N/A	N/A	N/A
10.2	Are amounts in *Other Salary Amount* appropriate and fully justified? (See pages 94 and 95 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.						

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		Program or Service (Budget Entity Codes)					
	Action	4501	4510	4520	4530	4540	4550
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**						
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, include the total reduction amount in Column A91 and the nonrecurring portion in Column A92.						
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 100 through 103 of the LBR Instructions regarding a 10% reduction in 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
TIP	Compare the debt service amount requested (IOE N or other IOE used for debt service) with the debt service need included in the Schedule VI: Detail of Debt Service, to determine whether any debt has been retired and may be reduced.						
TIP	If all or a portion of an issue is intended to be reduced on a nonrecurring basis, in the absence of a nonrecurring column, include that intent in narrative.						
15. SCHEDULE VIIIC (EADR, S8C) (NO LONGER REQUIRED)							
16. SCHEDULE XI (UCSR,SCXI) (LAS/PBS Web - see pages 105-109 of the LBR Instructions for detailed instructions) (Required to be posted to the Florida Fiscal Portal in Manual Documents)							
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.)	Y	Y	Y	Y	Y	Y
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 2022-23 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

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		Program or Service (Budget Entity Codes)					
	Action	4501	4510	4520	4530	4540	4550
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: The activities listed in **Audit #3** do not have an associated output standard. In addition, the activities were not identified as a Transfer to a State Agency, as Aid to Local Government, or a Payment of Pensions, Benefits and Claims. Activities listed here should represent transfers/pass-throughs that are not represented by those above or administrative costs that are unique to the agency and are not appropriate to be allocated to all other activities.)	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")**	Y	Y	Y	Y	Y	Y
TIP	If Section I and Section III have a small difference, it may be due to rounding and therefore will be acceptable.						
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 53 through 109 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 detail?	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 129 and 130 of the LBR instructions for exceptions to this rule)? Have all IV-Bs been emailed to: **IT@LASPBS.STATE.FL.US?**	N/A	Y	N/A	N/A	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	Y	N/A	N/A	N/A
AUDITS - GENERAL INFORMATION							
TIP	Review *Section 6: Audits* of the LBR Instructions (pages 155 through 157) 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	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?	Y	Y	Y	Y	Y	Y

Fiscal Year 2024-25 LBR Technical Review Checklist

Department/Budget Entity (Service): Department of State

Agency Budget Officer/OPB Analyst Name: Antonio Murphy/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
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?	Y	Y	Y	Y	Y	Y
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